High School Principals' Values and their Symbolic and Cultural Leadership Approaches to Character Education in China

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HIGH SCHOOL PRINCIPALS' VALUES AND THEIR SYMBOLIC AND CULTURAL LEADERSHIP APPROACHES TO CHARACTER EDUCATION IN CHINA

by

T. C. KAO

A dissertation submitted in partial fulfillment of the requirements for the degree of

Doctor of Education
University of San Diego

May 28, 2005

Dissertation Committee

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Abstract

Relatively little is known about the symbolic and cultural leadership practices and approaches used to imbed character education in high schools in China. In addition, there is a lack of published studies and reports investigating the revival between character and moral education in the Chinese school system. Without additional information, it is impossible to understand and develop effective leadership approaches that will shape and mold school cultures to effectively support both character and moral education. The literature reviewed in this study revealed little information about if, and in what form, there is a return to moral education focusing on traditional Chinese, including Confucian-related, values, virtues, and principles in China.

The research methodology consisted of a case study of three carefully selected high school principals. The study sought to: 1) identify traditional Chinese, including Confucian-related, values, virtues, and principles held by these principals; 2) describe the roles played by these high school principals in shaping and molding character education; 3) delineate symbolic and cultural leadership approaches used in implementing and supporting character education; and, 4) discuss leadership implications in character education development and implementation.

Within the cultural context of China, the researcher developed a symbolic and cultural leadership portrait of the high school principal, and how principals shape and mold school culture through their leadership actions to support character education. The following are some of the general findings of this study: 1) The role of the principals in China is similar to that of a government agent: ie they receive orders and directives that
they must follow. Within the school setting, they are the ‘lead’ character educator and they play out this role by ‘modeling’ the desired morals and values in both their personal and private lives; 2) Confucian-related moral and ethical teachings were considered helpful and somewhat important in character education by the principals. However, these morals and values were not found in the formal moral curricula established for the respective public high schools in China, rather, they were found in some of the articles used within the school’s literature curriculum; 3) the five most important morals and values that should be at the heart of character education programs in China were found to be: patriotism; love to learn; loyalty to one’s responsibility; honesty; and filial piety. Based on these findings, six recommendations for further study were made.
Dedication

This study is dedicated to my parents and my ancestors who proceeded them. It is my hope to instill those values that have preserved the Chinese culture over thousands of years in my children so that they may pass those values on to their children.

“If we are to have a peaceful and prosperous country, it is up to me!”

-- Cheng-Tung Kao
The founder of Chung-Hsin High School, Taiwan
Acknowledgments

Throughout the three and half years it took to conduct this research study, life went on: birth of my second child, Shuohan, and the passing away of my dear Grand Mother. I want to take this opportunity to express my deep gratitude to my family, especially my Mom and Dad for their unconditional love and faith in me, my wife Meiyao, and my eldest son Shuoyuan who always stood by me when I struggled the most.

Deep appreciation is extended to those people who supported and inspired me as this research study was conducted. Many thanks to the three principals of the high schools involved in the study. Their candor, openness, and enthusiasm enriched the research process of this study. Without their dedication, the results of this study would not have been as meaningful. I also would like to take this opportunity to express my appreciation to my dissertation committee members; thank you, Dr. Edward DeRoche, Dr. Raymond Latta, and Dr. Bobbi Hansen for your inspiration and sincere guidance. Your encouragement enabled me to push on in time of doubt and discouragement. Special thanks to Dr. Raymond Latta for introducing me into the program and giving me continuous support throughout the process. A word of thanks for the outside editors Ms. Linda Libsack and Dr. Philip Brown. A special thank you to Dr. John Jenkins for his valuable editing and support.

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CHAPTER 1

THE PROBLEM

Introduction

When Fortune magazine reported that China “is the fastest-changing place on earth—maybe in history” (Rohwer, 2001, p. 72), chances are the international headlines were not motivated by a desire to save the core fabric of Chinese society. However, the news highlighted the sparks of change i.e., globalization, information technology, and the shift from an agricultural to an industrial economy, which had already spread like wildfire—capturing all aspects of Chinese Society. This dramatic change is creating a new cultural revolution. It is occurring in all parts of the society. It is also happening at an increasingly accelerated pace that is threatening the core fabric of the Chinese society. The political, economic and social changes inevitably led to a new cultural revolution marked by uncertainty – particularly since their disillusionment with Communism as an ideology and their disappointment with the monetary focus of Capitalism left them with no easy political solutions. To complicate matters, a loss of social cohesion, social order, and a breakdown in Chinese communities resulted in moral confusion and a moral crisis. ("A soulless society," 1995).

Rising concerns about crime, teenage pregnancies, the decline of family structure, alcohol and drug abuse, and random acts of violence and destruction, prompted some policy makers to look at their ancient Confucian roots as an effective way to build a
better future. In no uncertain terms, traditional Chinese scholars expressed their support for such a movement. They stated that the "Confucian precepts offer a means of reestablishing firm values in society" and that they "are fundamental to the idea of being Chinese" (Mooney, 2002, p. 17). Chinese values, virtues and principles are largely founded on Confucian-related philosophy and concepts, which have been passed on from generation to generation and infused into the Chinese way of life for over 2,500 years.

Thus, a 'Confucian Revival', born in response to the dramatic social changes, characterized the recent educational reform movement designed to broaden Chinese school curricula from its primary focus on ideological (or political) teachings to one inclusive of lessons that support moral development and ethical behavior ("Old wisdom for a new age," 1995). For example, the reform movement called for children to enroll in classic Confucian education programs and several major universities set up degree programs in Chinese traditional culture (Mooney, 2002).

Statement of the Problem

The possibly occurred Confucian-based symbolic and cultural leadership practices used to guide the contemporary high school character education programs in China have not been at the forefront of scholarly investigation. As a result, relatively little involving this topic has been learned, documented or published. The lack of related information has made it difficult for Chinese educational leaders to develop effective plans likely to influence the kind of changes needed in schools to support character education programs. It also has hindered non-Chinese educational researchers from an in-depth understanding the possible changes of character education in China.
Purpose

This study was designed as a first step towards building a body of research that can be useful for individuals interested in the development of character education programs in China. Through the use of thick, rich descriptions, gleaned primarily from three practicing principals in China, the researcher developed a deeper understanding of the roles principals played in designing and implementing character education programs at their respective high schools. The meaning behind various symbolic and cultural leadership practices, and traditional Confucian-related values, virtues, and principles were also explored and described in fine detail.

More specifically, the purpose of the study was to 1) to explore the role of selected high school principals in China with respect to character education; 2) identify the core Chinese values, virtues, and principles emphasized by these principals; 3) and, examine the key symbolic and cultural leadership practices that Chinese high school principals use to influence the moral development of their students.

Specific Research Questions

The following research questions served to guide this study:

1. What roles do high school principals play as shapers and molders of character education?

2. What core traditional Chinese, including Confucian-related, values, virtues, and principles are identified and described by high school principals as being important for character education?

3. What symbolic and cultural leadership practices do these high school principals employ to support character education?
The central focus of this qualitative study of high school principals in China is to identify the traditional Chinese Confucian-related values, virtues, and principles espoused; describe the roles played to shape character education; delineate the symbolic and cultural leadership approaches used in character education; and, based on the findings, discuss the implications for educational leadership with respect to further development and successful implementation of character education programs in China.

**Methodology**

The qualitative approach of this study allowed the researcher to eventually gain a more complete or holistic perspective of an evolving and complex system at work. As such, the researcher played no part in manipulating the various settings; nor did he attempt to control events or situations. The design of the study involved three participants; all three were high school principals in China.

**Data Collection**

The three forms of data used included: tape recorded interviews; on site observations; and a review of documents. In-depth, open ended, one on one interviews were conducted with each participant and used as the primary source of data collection. The nature of open-ended interviews, along with the luxury of follow-up interviews with each of the principals, allowed the research to obtain clarification regarding terms, statements, or ideas expressed during the interviews. This research method provided opportunities to further explore emerging themes and incorporate new concepts as they emerged.

The principals were also “shadowed” during the school working day for observation purposes. Data gathered from the open ended interviews and via observation (shadowing)
were then triangulated with data gleaned from the review of formal documents. A thorough review of the documents and other published materials and sources related to Chinese character education substantiated statements and themes that had emerged from the interviews and observations. Finally, principals were also asked to complete "Q-sort values cards", which provided the researcher with a starting point for theme analysis and coding. A total of six data collection points were utilized in the study, which involved six months of field work in China.

Data Organization

The tape-recorded interviews were promptly transcribed and subsequently translated from Chinese to English. The information on the "Q-sort values cards" helped the researcher begin to identify themes that surfaced in each of the interviews. The themes were coded in accordance with the themes that emerged during the interviews. Eventually, all the data (from the interviews, field notes and documents) were organized into manageable categories and subcategories.

Data Analysis

In qualitative research, data collection and data analysis occur simultaneously, so essentially, data analysis begins when the researcher formulated his research questions and continued throughout the data collection and organization process. As an example of how data analysis began with the formation of research questions, consider the author's initial taxonomy of symbolic and cultural leadership with regard to character education. It was employed using the following four categories: Leadership roles for character education; traditional Chinese values, virtues, and principles; behaviors/actions; and, cultural icons/artifacts.
The key to successful analysis involved placing the raw data into logical, meaningful categories, and subsequently examining the data using creative insights and intuitive hunches. All of the emergent concepts and themes were grounded in the data and served to provide thick, rich descriptions of the phenomenon under study. Indeed, the researcher deeply immersed himself in the details of the raw data by reading the transcripts, listening to the tapes, reading and re-reading his field notes, and reflecting on the data. He examined and compared bits of data within themes and across themes.

This interpretive, inductive-based analysis was conducted “across the three individual cases “to discern and isolate the emerging ‘overarching’ themes (Rubin & Rubin, 1995, p. 251) among the three participating principals. In this manner, the researcher was able to notice previously unnoticed patterns that helped him make better sense of the data. Time and time again, the researcher uncovered answers to questions that surfaced during the analysis or made connections that subsequently tied in more and more of the data – at last, subsuming it all.

Access, Entry, and Rapport

Access was not a difficult obstacle for this researcher to overcome as he had already established a strong relationship with a gatekeeper of the Chief of China’s governmental agency on Moral Education in Beijing. This particular individual was supportive of the researcher’s endeavor and had previously indicated that he would facilitate access and entry. Specifically, the gatekeeper offered to assist in gaining official governmental permission to help speed up the consent process required to conduct the research study.

Moreover, the researcher spent the past eight years building good rapport with various key educational leaders throughout China including Beijing and the provinces of
Shandong, Yunnan, and Guandong. Many of the researcher’s contacts throughout the region were established during his tenure as an educational administrator in China. Specifically, the researcher served as the Managing Director of a senior high school in Taiwan. This position afforded him ample opportunity to travel throughout China and establish rapport with educational leaders in the aforementioned provinces.

To summarize, professional respect and trust (essential elements for access) were assured in numerous ways. For example, his recent presentations on “Facing the 21st Century, The Future of a Quality Education” given at Yun Nan Normal University, He Nan Normal University, and Guan Zhou University were all well received. Since the researcher is fluent in the Chinese Mandarin language and well versed in Chinese history, culture and traditions a sense of trust was created.

**Interests**

In this age of globalization, the researcher is particularly passionate about preserving traditional Chinese language and cultural identify. Towards that end, he is interested in contributing to the literature on Chinese character education by uncovering the types of character education programs that currently exist in Chinese high schools and describing the principles, values and beliefs upon which these programs are based.

The researcher’s 20-year passion for character education and moral education has paternal roots since his father established a progressive senior high school in Taiwan during the 1970’s. From its inception, the school emphasized traditional Chinese character education, and it continues to emphasize moral education and foster student discipline employing traditional values. The first hand knowledge and experience piqued the researcher’s interest in the topic of Chinese character education; it fueled his desire to
discover new ways in which to effectively and seamlessly pass on Chinese moral heritage and classical Confucianism – especially during the present turbulent era rocked by dramatic political, social and economic changes.

Significance of the Study

There is an urgent need to discover commonly “shared values in a troubled world” (Kidder, 1994) as global interdependence accelerates. Indeed, China’s long chapter in history as an agricultural society isolated from most industrialized cultures is over. It was succeeded by a new period: five decades of rapid change, featuring the transition from an agricultural to an industrial society and a Cultural Revolution that shook the moral fiber of its society.

In a society where research is currently limited, this study lays a foundation for further research that examines the symbolic and literal significance of Chinese character education. It contributes to a greater understanding of how schools in China fostering character education can contribute to the betterment of society. It provides Chinese and non-Chinese with insights in the use of traditional Chinese values, virtues, and principles in relation to moral education in a changing, contemporary global society.

Delimitations of the Study

The author anticipated the following delimitations:

1. The participants (N=3) involved in this study were high school principals, a.k.a. educational leaders as opposed to staff, teachers and/or students.

2. The emphasis of the study was on secondary education, not on elementary or post-secondary educational levels.
3. The study concentrated on exploring and examining the symbolic and cultural leadership dimensions of schooling — and not on social/interpersonal, managerial, political or transformational aspects of educational leadership.

4. The research specifically involved symbolic and cultural educational leadership that examined the values and practices related to character education in China only — this research was not intended for cross-cultural comparisons.

5. This research is limited to the examination of traditional Chinese (Confucian-related) values, virtues and moral principles. It does not examine trans-rational, metaphysical, spiritual, or religious values.

**Limitations of the Study**

The author anticipated the following limitations:

1. The participants’ willingness to fully and openly discuss their professional leadership role, values and behaviors in relation to character education may have been negatively influenced by the political environment in China. Even if participants choose to authentically share their views, they may not have the ability to accurately articulate their priority core values. In addition, their willingness to share did not guarantee that they could accurately express their efforts to shape their school’s culture in ways that advance character education.

2. The researcher’s personal experiences and former knowledge related to Chinese character education and Chinese cultural experiences may have affected his ability to remain totally unbiased throughout the entire research process. In order to keep the data from being contaminated by researcher biases, he made a conscious effort to facilitate the interviews without influencing the direction of
the discourse. In that same vein, he remained careful to not allow his biases to influence the outcome of his interpretation of the data. In order to guard against such contamination, his focus was on the participants’ views of reality as he concurrently remained sensitive and aware of his own experiences.

3. An N of 3 was construed as a limitation. This study provided a concentrated look at school leadership, character education and moral education using three cases with high school principals. However, this particular limitation involving the number of participants is necessary due to time limitations, available resources and dissertation requirements. Admittedly, this decision restricted both the breadth and depth of the information obtained.

4. Due to the lack of accessible scholarly published information related to symbolic and cultural leadership and character education in China, the literature review for this study was fashioned from Western sources.

5. Translation and transliteration difficulties between the Chinese and English languages posed foreseeable and unforeseeable challenges. Subtle ideas, concepts and meanings were sometimes confused or distorted from one language to another.

**Definition of Terms (Alphabetical Order)**

**Character Education:** The cultivation of values and virtues attending to character.

**Cognitive-Developmental Model:** An approach to character education based on Kohlberg’s (1976) stages of moral development.
**Communitarian Approach:** An approach to character education based on a social consensus arising from shared experiences and democratic life.

**Confucius and Confucianism:** A major system of thought and philosophy based on the moral teachings of Confucius who was a great teacher of China born in the year 551 B.C.

**Cultural Revolution:** The historical period of chaos in China dated from 1966 to 1976 wherein the government of China attempted to establish a new cultural order in China.

**Filial Piety:** Faithfulness to and love and respect for parents.

**Gatekeeper:** An individual who serves to protect access to an environment.

**Holistic/Comprehensive Approach:** An approach to character education based on an adequate theory of what good character is and encompasses the components of cognitive, affective, and behavioral aspects of morality.

**JunZi:** The Romanization of a Chinese character meaning a superior person.

**Li:** The Romanization of a Chinese character meaning propriety.

**Neo-Classical Approach:** An approach to character education focused on the shared, historical virtues of Western civilization.

**Psychological Approach:** An approach to character education emphasizing the development of self-esteem, feelings, emotions, and self-actualization.

**Q-Sort Value Cards:** A device utilized to generate participant responses.

**Ren:** The Romanization of a Chinese character meaning love, goodness, humanity and kind-heartedness thought to be the source of all virtues.

**School Culture:** School culture involves the values, symbols, beliefs, and
shared meanings of a school community.

*Shu:* The Romanization of a Chinese character meaning altruism

**Symbolic and Cultural Leadership:** Leadership that structures the community culture through language and actions that have meaning beyond the language or actions themselves.

**Transformational Leadership:** According to Hughes (1999), “...in its highest form, this leadership style moves the organization from its custodial orientation to a climate of creative awareness and response. It is oriented towards social change and brings about that transformation through a community of leaders” (p. 75).

**Values Clarification:** An approach to character education focused on the development of valuing and decision-making skills.

*Yi:* The Romanization of a Chinese character meaning righteousness.

*Zhi:* The Romanization of a Chinese character meaning reason and wisdom.

*Zhong:* The Romanization of a Chinese character meaning faithfulness to self and others.

**Summary**

Chapter one presented the overall rationale of the study. It outlined the background for the study, defined the problem, provided formulations of the overarching research goal, and listed the specific research questions. It provided an overview of the methodology and data analysis strategies used in the study and discussed the significance of the study along with the delimitations and limitations. The next chapter is a review of the literature which influenced the author’s conceptual foundation for addressing the problem and forming the research questions.
CHAPTER II
REVIEW OF LITERATURE

Introduction

Chapter two reviews the literature integrating core concepts and ideas, approach and empirical research findings primarily from four literature bases: Symbolic and cultural leadership; principal leadership; character education; and, traditional Confucian-related Chinese values, virtues, and principles. These four areas of literature form the conceptual foundation (illustrated as circles) for the study as indicated in Figure 1 below.

![Conceptual Foundation Circles](image)

*Figure 1. Conceptual Foundation Circles*

Initially, there is a discussion of symbolic and cultural leadership, followed by a discussion of the roles of a principal, character education, and then, the traditional
Confucian related Chinese values, virtues and principles.

**Symbolic and Cultural Leadership**

In discussing school cultural leadership Seyfarth (1999) stated, “...the principal is seen as a leader who is responsible for shaping and molding the cultural characteristics of schools” (p. v). Elaborating further, Deal and Kennedy (1982) asserted that in order to build a culture of excellence in a school system, the leader should first explore and document the school’s history, develop a set of core values that comprise the shared covenant for the educational community, identify and celebrate special people, and use ceremonies to enhance the meaning and significance of teaching. In addition, Deal and Peterson (1990) commented that school culture is the...

...invisible, taken-for-granted flow of beliefs and assumptions that gives meaning to what people say and do. It shapes how they interpret hundreds of daily transactions. This deeper structure of life in organizations is reflected and transmitted through symbolic language and expressive action.

Culture consists of the stable, underlying social meanings that shape beliefs and behavior over time (p.7).

School culture includes values, symbols, beliefs, and shared meanings. Culture can be seen as a powerful and enduring force that permeates everything in a school and infuses a school with meaning, passion, and purpose. Sergiovanni (2000) in describing school culture stated, “With shared visions, values, and beliefs at its heart, culture serves as a compass setting, steering people in a common direction” (p.1). School culture shapes and governs the ways people think, feel, act, and even what they believe in. It focuses attention on what is important, valued, and expected. Recently, Schein (2000) said it all
“Culture matters” (p.3). Thus, culture impacts all aspects of reality and human functioning in organizations.

Schein (1985) described four primary mechanisms that leaders use to embed culture: a) what they pay attention to, b) their role modeling, teaching, coaching, c) their reactions to critical incidents, and d) criteria they use for selection, reward, status, and termination. In one study, Leithwood, Begley, and Cousins (1992) identified six leadership actions that appeared to have an influence on the culture of schools:

1. Strengthening the existing culture by reinforcing norms, values, and beliefs.
2. Using bureaucratic mechanisms to stimulate and reinforce cultural change.
3. Planning staff development with value content.
4. Engaging in frequent communication with teachers, students, and parents about cultural norms, values, and beliefs.
5. Sharing power and responsibility with others.
6. Using symbols to express cultural values.

At least some of the leadership actions on this list are regularly taken by principals in an effort to achieve identified goals that they have. But this effect on shaping and influencing the school culture may be incidental to the principals’ purpose. However, this suggests that principals need to be sensitive to the symbolic and cultural implications of all their behaviors and actions.

The above leadership mechanisms and actions can shape school cultures because they enhance meaning through symbolic leadership that highlights what is considered to be important and valued in the school (Sergiovanni, 1995). In adding more clarification, Kirschenbaum (1995) defined symbolic leadership as “those specific actions a leader...
takes that have meaning far beyond the actions themselves. They are actions that send a
signal about the values the leader stands for, actions which symbolize the values the
leader wants to instill in the organization” (p.149).

In discussing the relationship between leadership and culture, Sergiovanni (1984)
remarked, “leadership acts are expressions of culture. Leadership as cultural expression
seeks to build unity and order within an organization by giving attention to purposes,
historical and philosophical tradition, and ideals and norms which define the way of life
within the organization and which provide the basis for socializing members and
obtaining their compliance” (pp. 106-107). In describing effective leadership Bolman and
Deal (1994) concluded, “At its core, leadership is inherently symbolic” (p.85).
Sergiovanni (1995) considered both symbolic and cultural leadership styles to be
essential aspects of successful schools.

As principals are expressing symbolic aspects of leadership to capture attention,
they simultaneously practice cultural leadership. In support of this integration,
Sergiovanni (1991) stated that cultural leaders “define, strengthen and articulate those
enduring values, beliefs, and cultural strands that give the school its unique identity”
(p.104). Thus, the expression and practice of symbolic and cultural leadership becomes
interwoven since leadership is always exercised in a cultural context. In discussing a
school principal’s primary mission, Deal and Peterson (1994) noted that it is to “create, to
reinforce, to instill, and to shape” (pp. 6-10) a school’s culture that provides meaning.
According to Starratt (1993), leadership from a cultural perspective is demonstrated
“...by reminding people in the organization of the essential meanings of the culture, by
promoting ritual and celebration that sustain those essential meanings and values of the
organization" (p.5). Starratt's description seems to be an integration of both symbolic and cultural leadership. In addition, Reitzug and Reeves (1992) added that symbolic and cultural leadership should be combined because symbolic leadership involves selective attention, and cultural leadership involves articulating what is important. Thus, the distinction between symbolic leadership and cultural leadership disappears. Reitzug and Reeves (1992) further stated that they are inseparable for "as principals practice symbolic leadership, they simultaneously practice cultural leadership" (p.215).

When viewing principal leadership metaphorically, Sergiovanni (1995) proposed that it was comprised of a set of forces that principals use. He identified five "forces" of leadership that are at the disposal of educational leaders. They include: Technical, human, educational, symbolic, and cultural forces. Technical leadership aspects are managing structures and events; human aspects are managing the psychological factors that impact people; and educational aspects are managing the core education, instructional, and schooling matters. In contrast, the symbolic aspects are managing sentiments, expectations, and commitments to focus attention on what is important. The cultural aspects include shaping and molding the school's culture around values, symbols, beliefs, and shared meaning.

The literature on the technical, human, and educational aspects of school leadership is extensive. School-based studies of symbolic leadership are less prevalent except for the relatively recent work of Bista (1994), Bista and Glasman (1998a, 1998b), Bolman and Deal (1992), Deal and Peterson (1994, 1999), and Reitzug and Reeves (1992). Deal and Peterson (1994) described seven symbolic leadership roles of the school principal as: Historian, anthropological detective, visionary, symbol, potter, poet, actor, and healer.
1. Historian—appreciates and understands the school’s historical patterns (past crises, challenges, and successes); hears and can develop and recount stories of past heroes and heroines, and leaders. Provides deeper explanations of what is really going on in the school and how it is connected to its beginnings.

2. Anthropological Detective—listens for and gathers clues to the school’s present routines and rituals; assesses existing norms, values, and beliefs; establishes informal networks to obtain a regular update on the current culture of the school.

3. Visionary—identifies and communicates hopes and dreams for the future of the school; continually refocuses the purpose and mission of the school.

4. Symbol—embodies and affirms values through demeanor, behavior, concerns, attention and routines—all of which communicate what the principal values.

5. Potter—shapes and is shaped by the school’s heroes, rituals, traditions, ceremonies, and symbols.

6. Poet—uses language to reinforce values and sustains the school’s best image of itself.

7. Actor—improvises key roles in the ongoing human drama, comedies, and tragedies of the schools; shifts roles to reinforce values as appropriate.

8. Healer—oversees the natural transitions, painful losses, and changes in the life of the school; heals wounds of past and current conflicts to keep the social fabric of the school whole (pp. 87-88).

From their field-based qualitative research studies of school leaders as symbols, Deal and Peterson (1999) stated:
“Everyone watches leaders in a school. Everything they do gets people’s attention. Educational philosophy, teaching, reputation, demeanor, communication style, and other characteristics are important signals that will be read by members of the culture in a variety of ways. Who school leaders are—what they do, attend to or seem to appreciate—is constantly watched by students, teachers, parents, and members of the community. Their interests and actions send powerful messages. They signal the values they hold. Above all else, leaders are cultural “teachers” in the best sense of the word” (p.90).

As a result of their research on school leadership, restructuring, and culture building, Peterson and Deal (1998) described,

“…the specific ways school leaders shape culture as: 1) They communicate core values in what they say and do; 2) They honor and recognize those who have worked to serve students and the purpose of the school; 3) They observe rituals and traditions to support the school’s heart and soul; 4) They recognize heroes and heroines and the work these exemplars accomplish; 5) They eloquently speak of the deeper mission of the school; 6) They celebrate the accomplishments of the staff, the students, and the community; 7) They preserve the focus on students by recounting stories of success and achievement” (p.30).

Reitzug and Reeves (1992) investigated the symbolic leadership behavior of a principal, Mr. Sage, who was the principal of an 800-student elementary school. He was chosen in a purposive manner as someone who was perceived as exemplary by district teachers and administrators. This qualitative study used an interview protocol and
observations over a three-month period. A symbolic and cultural taxonomy of leadership forms was derived from the work of Deal and Kennedy (1982), Deal and Peterson (1990), and the leadership forces model of Sergiovanni (1984) to sort and examine the data. The results from a theme analysis of narrative descriptions indicated that Mr. Sage was indeed a “superprincipal” who demonstrated both overt and subtler forms of symbolic leadership. The Reitzug and Reeves (1992) study added to the conceptual understanding of symbolic and cultural leadership and offered rich descriptions and illustrations. One of the key limitations was that the principal, Mr. Sage was “atypical,” being an extremely effective leader, which would reduce the generalizability of the findings to typical elementary school principals.

Bolman and Deal (1984, 1997) offered a framework for classifying and understanding leadership and organization. They identified four distinct frames: Structural, human resources, political, and symbolic. The structural frame emphasizes goals, structures, policies, systems, roles, technology, and efficiency. The human resources frame highlights people's needs, skills, feelings, and importance of the interaction between individual and organizational needs. The political frame focuses on power, conflict, and allocation of scarce resources that require negotiating, bargaining, networking, and coalition building. The symbolic frame centers attention on meaning and symbols, rituals, ceremonies, stories, or other symbolic forms to cultivate commitment, hope, and loyalty.

Based on these four frames and assumptions Glasman and Glasman (1997) developed specific definitions of leadership practices applied directly to school leadership:
1. Structure—"...is designing and implementing organizational structures for
the purpose of accomplishing organizational goals and solving organizational
problems" (p.9).

2. Human resource—"...is establishing a good fit between individuals and the
organization so that individuals do meaningful and satisfying work while
providing the human resources for the organization to accomplish its mission"
(p.9).

3. Political—"...is making decisions involving the allocation of scarce resources
by enhancing the development of group coalitions and the process of
negotiation" (p.9)

4. Symbolic—"...is designing and creating organizational symbols so as to
reduce levels of ambiguity, uncertainty, and confusion in the organization and
to provide direction for its structure and activities" (p.9).

In a combined qualitative and quantitative field research study, Bolman and Deal
(1992) explored what leadership frames were applied by school principals located in
Broward County, Florida, and the Republic of Singapore. The qualitative research part
of the study involved having principals write accounts of challenging leadership incidents in
which they had been involved. Then, the narratives were coded using the four frames
leadership model. In both samples, the human resource frame was dominant, followed by
structural themes being the second most common, political themes were third most
frequent, and, the symbolic themes were least often discussed. Thus, in both the U.S. and
Singapore samples the school principals used the symbolic frame much less than any
other. Bolman and Deal (1992) in discussing the neglect of the symbolic frame
highlighted that symbolic issues "...often lurked in the background without being made explicit by the case writer" (p.318).

In the quantitative part of their investigation Bolman and Deal employed a five-point Leadership Orientation survey instrument to identify both self-reports and ratings from colleagues (superiors, peers, subordinates, and others) along with measures of perceived leadership and managerial effectiveness. And, using a regression analysis method the results "...showed that leadership effectiveness was strongly associated with the symbolic orientation but only modestly related to structural frame" (p.328). Thus, the findings were mixed since in the qualitative analysis the symbolic frame was least frequently mentioned and in the quantitative part the symbolic orientation was strongly associated with leadership effectiveness. From a methodological point of view, Bolman and Deal (1992) used a qualitative approach in which descriptions of critical incidents prepared by the principals were used as a base for determining what frame was used. The open-ended nature of the instrument, which did not define or explain what constituted symbolic leadership, may have led the principals to prepare narrative accounts which had a smaller number of symbolic examples.

Later, Deal and Peterson (1999) commented that, "This neglect of the symbolic aspect of schools does not square with the ideas of what successful leadership is all about" (p. 10). Since according to them "one of the most significant roles of leaders (and of leadership) is the creation, and encouragement and refinement of the symbols and symbolic activity that give meaning to the organization" (p.10). Pondy (1976) pointed out that the effectiveness of a leader is in the ability to make actions meaningful to others. Stating the case for cultural leadership even more forcefully Schein (1985) said, "there is
a possibility underemphasized in leadership research, that the only thing of real importance that leaders do is to create and manage culture and that the unique talent of leaders is their ability to work with culture” (p.2). Bolman and Deal (1994) proposed, “At its core, leadership is inherently symbolic” (p.85).

In a large quantitative study, Bista and Glasman (1998a, 1998b) reported on Bista’s (1994) study, which used the four-approach framework, developed by Bolman and Deal (1994) along with nine management functions (e.g., planning, decision-making, reorganizing, evaluating, etc.) associated with each of the four approaches. They examined the perceptions of a stratified sample of 188 California school principals using a 36-item scaled leadership instrument originally developed by Bolman and Deal (1984). The overall perceived use of each of four leadership approaches (structural, human resource, political, and symbolic) was determined. The most predominant approach was human resource. The next was symbolic followed by structural, and with the least preferred being political. The key finding of this quantitative study was that the symbolic approach was used to a great extent along with the human resource and political approaches. These results were inconsistent with those reported earlier by Bolman and Deal (1992), which indicated that the symbolic approach was used least often. A possible explanation for this disparity is because the difference in the methodologies used. One was quantitative and the other was qualitative. Bista and Glasman (1998a, 1998b) used a questionnaire for data collection purposes that provided the principals with examples of symbolic leadership behaviors and asked them to rate the extent to which they applied these behaviors. The questionnaire provided examples that may have influenced the principals’ responses. In contrast, earlier Bolman and Deal (1992) used a qualitative
method with a more open-ended instrument without examples to describe challenging leadership incidents.

The next section of the literature review discusses the resurgence of character education and summarizes the history of character education in the United States. The literature is also reviewed for information regarding approaches to character education. The role of the principal in character education is reviewed followed by a discussion of the traditional Chinese values used in character education in China.

**Principal Leadership**

Leadership has been a subject of thousands of articles, books, and debates for thousands of years. However, it is only in the twentieth century that leadership became a subject for sustained formal analysis by scholars and researchers. Likewise, educational leadership is a field that has been well researched with resurgence particularly in the last ten years. Still the comments of Kanungo and Mendonca (1996) about leadership theory and research that, “our understanding remains incomplete in spite of decades of research” (p. 10) seems to continue to be true today. The centrality of educational leadership for the success of school systems is well recognized. Greenfield (1995) argues that since schools are uniquely moral enterprises, there is a necessity for school administrators to rely on leadership. In summarizing the research findings on the effectiveness of the principal Kimbrough and Burkett (1990) said, “there is abundance of research to support the fact that principals have a strong leadership role in the schools” (p.16). Similarly, in discussing the principalship Roe and Drake (1994) indicated that, “the opportunities to exert leadership are abundant” (p.67). An NASSP (1990) report on Principals of the 21st Century clearly stated, “the principal is the school’s most important figure” (p.12).
Blumberg and Greenfield (1986) in a qualitative research study using in-depth interviews with eight successful principals pointed out that the principals did make a difference in their schools when they indicated, “...as the principal goes, so goes the school...” (p. 223). Similarly, Sergiovanni (1995) asserted even more emphatically that, “principals are important! Indeed, no other school position has greater potential for maintaining and improving quality schools” (p.83 italics in original). Schools need leadership from principals. Without leadership, the school is much like a rudderless ship adrift in a turbulent and changing environment. The principalship position is central and pivotal to the success of the school.

The conceptualization of the principal leadership role has evolved considerably (Hallinger & Heck, 1996), and most dramatically in the past twenty years (Glasman & Heck, 1992). Some of the principals’ roles have included: Administrator, manager, change agent, instructional leader, transformational leader, moral leader, cultural leader, and character builder. In a recent review of the current literature Seyfarth (1999) noted, “three of the themes that appear in recent writings are the principal as a manager-by-results, the principal as cultural leader, and the principal as professional manager” (p.17, italics in the original). These definitions have been developed to more accurately describe the changing reality that principal’s experience in their daily work. Glasman and Heck (1992) argued that the changing conceptualization might result from increasing external demands and reflect the reforms in education. From a historical review, Beck and Murphy (1993) found that many of the school leadership metaphors were triggered by social and cultural changes outside the school. Seyfarth (1999) added further that the principalship adjusts in response to changing conditions in society and schools that create
new expectations and leadership challenges for the principals’ role.

Greenfield (1995), in a preliminary development of a theory of school administration, identified five interrelated role demands that constituted the school administrator’s unique demand environment. In addition, this array of role demands is always changing in terms of complexity and intensity. The role demands are: Moral, social/interpersonal, instructional, managerial, and political dimensions. Each dimension is described as:

1. **Moral**—relates to standards of goodness, rightness, or wrongness that impact the conduct of the administrator and shape the fabric of school life. It is influenced by the moral values and culture of particular school and community.

2. **Social/Interpersonal**—characterized by the day-to-day social nature of the school administrator’s work involving working directly with and through people to influence, coordinate, and monitor their efforts while developing and implementing programs and policies to accomplish the school’s goals.

3. **Instructional**—focuses on the content and objectives of the school’s curriculum, the processes of teaching and learning, organization of and climate of instruction, and instructional effectiveness.

4. **Managerial**—all the activities associated with planning, organizing, coordinating, and controlling the operation of the school in support of the instructional program, related school goals, and efficiency requirements.

5. **Political**—the development and use of power to influence the allocation of resources in the midst of conflicting and competing interests within and outside the school (pp. 69-73).
Besides the multiple role requirements (Loader, 1997), the demands on the principalship leader role are extraordinary (Lashway, 1997). In addition, Deal and Peterson (1994) indicated, "pressures on the principalship show no signs of decreasing in their intensity" (p. 113). The leadership challenge becomes ever more important because leadership is particularly significant and central due to schools being fundamentally moral enterprises (Greenfield, 1995). Educational institutions form and transmit values (Hodgkinson, 1991). An effective institutional leader needs to be involved in shaping, promoting, and protecting values (Selznick, 1957, Burns, 1978). Fullan (2001) refers to this critical leadership activity as pursuing and attending to the broader moral purpose of the organization. While discussing the same concept, Sergiovanni (1999) argues that educational leaders are exceptionally effective when their actions create a positive school character the "life-world of leadership." In summarizing some 20 years of educational leadership research Keller (1998) reports, "principals make a big difference in shaping the education that goes on in a school" (p.25). While discussing the principal's leadership role in the 21st century Murphy (1998) emphasizes that school principals are moral agents who need to recognize the ethical and "moral dimensions of their work...voice shared values and help define purpose within their schools" (p.26). He further notes that the principalship position "is being slowly transformed into an instrument of social justice" (p.26). DeRoche (2000) underscores the significance of leadership in character education when he expresses, "The principal has a major leadership role in initiating and supporting the school's character education program" (p.33).

In a state-wide research study of a values education initiative, Irwin (1988) reported that central to the success of character education programs was the school
principal's dedication, knowledge, and role-modeling as being pivotal in school system commitment to character and values education, and in the promotion of a positive climate for instilling ethical values in students. Wynne and Ryan (1992) reiterate Irwin's position when they assert, "if one person in a school must be identified as critical to school efficacy, that person must be the principal" (p.184). In order to accomplish this end, the principal must articulate a vision for the school with regard to values, establish a "moral ethos", provide students with opportunities to practice constructive roles, and encourage community support for the school's efforts (Lickona, 1988). Consequently, it is imperative that the school's principal establish, model, and consistently enforce "high standards of respect and responsibility" otherwise the "moral ethos" of the school will be undermined and teacher effectiveness compromised (Lickona, 1993, p. 11). After extensive research in the field of character education in a large public school system, Vessels (1998) concludes, "success depends upon character education becoming the highest priority of the school principal" (p.162). Similarly, Huffman (1994) based on his experiences in initiating a district-wide character education program makes a convincing case for strong leadership in creating a successful program in character education.

DeRoche and Williams (2001a) propose a nine-component model for creating and implementing a comprehensive character education program. This framework consists of nine keys for success: leadership, expectations and consensus, school climate, implementation criteria, standards, training, partnerships, resources, and assessment. The first and central component of this character education framework is leadership. Additionally in another work, in which leadership is the central theme they note, "We cannot emphasize enough the importance of school principals as leaders for character
education initiatives" (DeRoche and Williams, 2001b, p. xii). They highlight and clarify a number of the leadership roles for school principals to perform in the character education realm. These role dimensions are: visionary, missionary, goaltender, standard-bearer, architect, educator, communicator, provider, and evaluator. The principal’s key leadership responsibilities in character education include creating a vision, developing the program’s mission, goals, expectations, plans, and facilitating implementation, action taking, and evaluation.

In summary, the key to effectiveness of character education rests in the leadership hands of the school principal who plays a key leadership role in a successful character education effort. The school principal must be the catalyst for, champion of, and the continual supporter of character education. In addition, character education demands moral leadership the notion of leading with integrity, display of character and moral excellence (Sergiovanni, 1992). Bennis (1998) describes this style of leadership as “character-based leadership” and in a similar fashion Covey (1991) labels this same phenomenon as “principle-centered leadership.” The success of character education is dependent upon and demands strong leadership (Lickona, 1993, Northhouse, 1997, DeRoche & Williams, 2001a, 2001b). The school principal in the role of leader of character education can make a positive difference in the lives and character of students.

Selected Studies of Principal Leadership in Character Education

The principal does matter as a developer and shaper of character education initiatives. Empirical studies provide a clearer picture of the principal as a leader of character education, perceptions about character education, change strategies and the importance of leadership. Williams (1999) conducted a study of the relationship between
the principal’s preferred leadership style and the levels of implementation of character education program in the Kanawha county schools in West Virginia. This quantitative study consisted of a population of all 87 elementary, middle and junior high schools, high schools, and alternative school principals. The response rate was 82.7% with 72 of 87 principals completing the surveys.

Two instruments were used in this study one was the Leadership Behavior Description Questionnaire-Self survey which measures the perceived leadership styles of the principal in terms of consideration and initiating structure (Halpin, 1957). The other one was the Character Education Assessment Checklist specially designed to measure implementation levels of seven components of a character education program.

A linear regression model was used to determine the effect of leadership style upon implementation levels. A significant relationship was found to exist between leadership style and levels of implementation of a character education program. The higher the initiating structure scores the higher levels of implementation of the character education program. Williams (1999) concluded that the principal’s role was extremely influential within the school setting, and those principals with higher initiating structure scores “are able to assist their staff in developing working relationships” (p. 48). These principals can introduce the character education program and will be “more successful at gaining staff approval for a program” (p. 49). In addition, he also concluded, “as principals’ initiating structure score rose they were more successful at goal setting and program development” (p.49). He implied that the initiating structure leadership style enabled school principals to guide their staffs towards goal attainment for the implementation of the character education program. But other situational variables (for instance school configuration and
size of the staff) need to be examined before any definitive conclusion can be made regarding the most appropriate leadership style for character education program implementation.

In another study, East (1996) investigated South Carolina public high school principals' perceptions of character education programs and their efficacy in addressing school discipline problems. The sample consisted of 194 high school principals with the return rate being 65% reflected in the 126 surveys returned out of a possible of 194. The instrument used in the study was designed by the researcher and included multiple-choice, Likert-type scale items and fill in questions. The results of this comprehensive survey indicated that the public high school principals were supportive of the principles of character education, which transcended both personal and professional characteristics of the principals. The principals also signified that they viewed character education as a legitimate function of the public high schools and that character education could be an effective deterrent to school violence and discipline problems. East (1996) also noted, "principals believed that they play a valuable role in the character education initiative by providing leadership and support" (p. 82).

In a similar study to that of East (1999), Wood and Roach (1999) explored school administrators perceptions of character education in the rural state of South Dakota. The random sample consisted 200 school principals from various levels who were mailed a questionnaire. The return rate was 60% (or 120). The questionnaire was developed from a review of character education literature and used Likert-scaled items. The questions focused on school policy, character education curriculum, stakeholder support, core values, faculty training, and negative aspects of teaching character education. Wood and
Roach (1999) reported their findings in terms of percentages with 81% of the principals agreeing that character education should be included in the curriculum. And that 78% of these principals indicated that in their opinion teachers were supportive of teaching character education. The five most important core values to teach were honesty, good citizenship, respect, responsibility, and cooperation.

Being primarily interested in the process of change and the strategies used to establish character education programs, Freado (1997) researched the implementation process. His purpose was to identify those strategies or elements of the process for implementing character education programs considered to be important by public high school principals in western Pennsylvania. In his initial survey, twenty-nine of fifty-one public high school principals responded (for a fifty-seven percent response rate) to determine which schools had the highest character education implementation rate. The questionnaire consisted of 42 questions with a 5-point Likert type scale. Then, seven principals from the high schools with the highest overall average implementation scores were asked to complete a second survey to rate the importance of sixteen strategies for implementing character education programs using a Likert Scale. Follow-up interviews were then conducted with respondents to clarify and confirm their responses and to gain further insight into their respective character education experiences.

The second survey revealed seven strategies rated important or very important by the seven respondents including: “(1) include all stakeholders, (2) decide on an approach, (3) identify and define character traits to be taught, (4) put a long-range plan in place, (5) be prepared to answer why, what and how, (6) have strong leadership at the building and central office levels, and (7) develop a communications plan for informing
the community and all employees” (p.61). Freado (1997) states, “The strategies that were rated as important in this study are consistent with those found in the literature as they relate to the process of change” (p. 64). It should be noted that in the important strategies are not in any particular sequence for implementation. Freado (1997) suggests that, the implementation of a character education program is unique to each school because of the sensitive nature of the issues involved in character education. He also emphasizes the need for developing and defining a common vocabulary and knowledge base about character education to support implementation.

The following section of the literature review introduces the traditional Chinese values, virtues and principles of the Chinese culture important to understanding the context within which the data of this research study was conducted.

**Character Education**

* A Brief History of Character Education in the U. S. A. in the 20th Century

Character education has been an important and often controversial, component of the educational process throughout American history (McCellan, 1992; Leming, 1993; Lickona, 1993; Rhodes, 1998; Hunter, 2000). From its beginning American education has been concerned with building character as essential for the success of a democratic society. In the twentieth century, there were three significant periods of interest in character education—the character undertakings of the 1920s and 1930s, the moral and values education endeavors of the 1970s and 1980s, and, finally the character education movement of the 1990s (Leming, 1997).

*1920s and 1930s*

During this period, there was fast-paced technological change, increasing
immigration and urbanization, and an upheaval in social and moral behavior characterized as the “Roaring Twenties.” Character education became a major preoccupation of schools (Yulish, 1980; McCellan, 1992). The character education process used educational programs designed to develop specific character qualities and ideals. Elaborate codes of conduct for teaching character were employed (Pritchard, 1988). One popular code of conduct, the “Children’s Morality Code” outlined the “ten laws of right living”: self-control, good health, kindness, sportsmanship, self-reliance, duty, reliability, truth, good workmanship and teamwork (Hutchins, 1917). Student clubs were organized to provide the opportunity to practice these virtues. Schools attempted to integrate such codes in all areas of school life (Leming, 1997). Character was taught explicitly, through discipline and direct education. This is what is often referred to as a “traditional” or “inculcation” educational model.

A major research inquiry during the 1920s into the nature of character and the school’s role in its development (Hartshorne & May, 1928-1930) concluded that character education programs had little impact on children and that character traits were more situationally based rather than grounded in some aspect of the person. Later on other researchers refuted some of these findings, emphasizing that schools’ character education programs could make a difference in the behavior of students (Dewey, 1938; Leming, 1988). But, nonetheless, this marked the beginning of the reduction in the practice of directly inculcating values through the curriculum with lessons on character.

During the late 1940s and 1950s, a gradual shift in societal and educational priorities began to take place (Brooks & Goble, 1997; McCellan, 1992). During the “cold war”, science and mathematics, the cognitive domain (academic achievement and
cognitive skills), was emphasized in schools to help ensure America’s technological development. The concept of “moral relativism” gained acceptance and character education in schools further declined. “Morality was ‘privatized’—made to seem purely a matter of private choice, not a matter for public debate and certainly not for public transmission through the schools” (Lickona, 1993, p.8). In the 1950s, there was a new emphasis on personal freedom and the thinking that morals, values, ethics, and the building of a child’s character as a personal and private matter and less of a societal concern. And by the end of the 1950s, formal character education programs had all but disappeared from American schools (Titus, 1994).

1970s and 1980s

The second period of interest in character education began in the late 1960s. The 1960s were a turbulent and confusing era characterized by questioning and frontal attacks on America’s core values. Some of the events that occurred during this period were counterculture revolution, civil rights marches, Vietnam War, Watergate, and the assassination of three of the decades leaders (John Kennedy, Robert Kennedy and Martin Luther King, Jr.). The American people became increasingly skeptical about their traditions, value system, and moral standards of what was right and just. The United States government and authority in general was questioned in the wake of Vietnam and Watergate.

Also, in the 1960s, the United States Supreme Court began to make a clear distinction between what could and could not be taught in American schools (Alexander & Alexander, 1998). Two Supreme Court cases Engel v. Vitale (1962) and Schempp (1963) seemed to undermine the role of public schools in moral development. They
presented a strict view of the separation of church and state and the protection of the freedom of religion eliminated formal devotional Bible reading and non-denominational prayers from the classroom (Bailey & Kennedy, 1994). Thus, fear of violating the strict separation between church and state caused many educators to refrain from character education in any form (or to be vague and morally neutral). Character education became more of a responsibility of the church and home rather than the responsibility of the school (McClellan, 1992).

The retreat from character education became both rapid and purposeful. But in the late 1960s two highly influential moral education models emerged — values clarification and moral reasoning. These two approaches attempted to re-introduce character education into public education via less intrusive means. They worked to keep character education alive in American public schools. Together these approaches largely replaced the traditional approach to character education in the school curriculum (Brooks & Gobles, 1997; Leming, 1993; Lickona, 1993; Vincent, 1996).

Values clarification methods were introduced in public schools with the publication of Values and Teaching (1966) co-authored by Louis Raths, Merrill Harmin and Sydney Simon introduced the theory and practice of values clarification. By 1972, Values Clarification: A Handbook of Practical Strategies for Teachers and Students sold more than 600,000 copies placing a copy in practically every school in the country (Leming, 1997). The goal of values clarification was to encourage students to “clarify” their values and to learn a valuing process composed of three stages: choosing, prizing, and acting. The values clarification approach promoted the idea that students needed to act on the values that they claimed to hold and develop some consistency between their behavior
and beliefs. The teachers would act as “guides,” only facilitate the valuing process, and were advised to withhold their opinions about moral choices.

At about the same time Lawrence Kohlberg (1966) linked his cognitive-developmental theory of moral reasoning with the practice of moral education in schools. He used a moral dilemma-discussion approach to help teachers to guide students to achieve higher levels of moral reasoning, progressing from pre-conventional, to conventional, and to post-conventional. The moral dilemmas were used to create genuine conflict that required thought and reasoning before a student could recommend a particular course of action.

Throughout the 1970s and 1980s, character education utilized values clarification, or a moral reasoning approach to character education both of which became popular. Although these two approaches to moral education were different in many ways, they both emphasized that moralizing was not part of the teacher’s role. Instead the role of the teacher was to be a value-neutral facilitator. Children were treated as if they were already adults having fully developed and functioning value system (Lickona, 1993). In addition, both approaches focused on developing process and thinking (cognitive) skills as oppose to specific moral content. Both of the approaches were criticized for promoting “moral relativism” (Leming, 1997).

Although both of the values clarification and cognitive moral reasoning approaches have had their critics, they were both widely used in public schools in the United States, and have made significant contributions to character education. In 1970s and 1980s these approaches legitimized the discussion of value-laden and moral issues in schools as being appropriate and acceptable (Kirschenbaum, 1992).
The third period of interest in the character education movement was a renewed effort to restore character education to a central place in the school’s efforts. The approach was a values-centered approach to character education, which in many respects resembled the justification and methodology of the earlier 1920s and 1930s era (Leming, 1997).

While character education was considered controversial among some groups, including some educators, it began to take hold (again) in the late 1980s. The U.S. Secretary of Education, William Bennett, in 1986 made a concerted effort to put character education back into public schools (Benninga, 1991). Publications such as Educating for Character (Lickona, 1993), Why Johnny Can’t Tell Right from Wrong (Kilpatrick, 1992) and The Book of Virtues (Bennett, 1993) all continued to make pleas for the return of character education to school curricula.

Some startling statistics used by Kilpatrick (1992) gained a great deal of attention when he estimated that 525,000 attacks, robberies and shakedowns occurred in public schools each month (p.14). Nearly 135,000 students carried guns to school daily, with an even larger number (one-fifth of all students) reporting that they carried a weapon of some type to school (p.15). There was a growing public concern about the disintegration of social values along with the significant escalation in the amounts of teenager suicides, crime, drug and alcohol abuse, the availability of weapons, violence, gang activity, and the breakdown of the traditional American family. The negative moral condition of the society and the deterioration of the character of the youth, in particular, prompted an extraordinary public outcry, which acted as a catalyst for a reevaluation of the schools’
role in teaching, values (Leming, 1993; Lickona, 1993; Vincent, 1996).

National organizations and coalitions emerged on the character education landscape. In 1992, the Josephson Institute of Ethics convened a group of educators, leaders of youth organizations and character education experts to draft a mutually acceptable statement on character education (Huffman, 1994). The results of their efforts became known as The Aspen Declaration. The following statement was part of the “Aspen Declaration on Character Education (1992)”: “The present and future well-being of our society requires an involved, caring citizenry with good moral character… People do not automatically develop a good moral character; therefore, conscientious efforts must be made to help young people develop the values and abilities necessary for moral decision making and conduct… Effective character education is based on core ethical values which form the foundation of democratic society, in particular, respect, trustworthiness, responsibility, caring, justice, and fairness, and civic virtue and citizenship.”

In 1993 the Character Education Partnership (CEP) was formed as a national organization, a clearinghouse of character education resources and information, dedicated to promote the development of character education in schools. It was dedicated to developing the civic virtues and moral character in young people. The CEP had established what they referred to as The Eleven Principles of Effective Character Education that outlined the characteristics of a comprehensive character education program that placed a high premium on the involvement of parents, students, community, and educators. The Character Counts! Coalition, sponsored by the Josephson Institute of
Ethics was also started later in 1993 following the recommendation of the Aspen group. The goal of this coalition was to carry out and to help implement the *Aspen Declaration.*

By 1993, many Americans as diverse as Jesse Jackson, Barbara Bush, Barbara Jordan, Tom Selleck, and Marian Wright Edelman began to aggressively support the discussion of virtues in the classroom (Rosenblatt, 1995). Kirschenbaum (1995) stated that there was a broad-based public concern about values and character in society at that time with a strong statements being made on the desire to do something in schools to improve the moral condition of society. Huffman (1994) asserted that the question is not “should schools teach values?” but “how should schools teach values” (p. 6).

The grassroots support for character education sprang up in many places around the United States (Stafford, 1995). It became so sweeping and gained such a national focus that Congress and the President strongly endorsed character education. President Clinton, in both of his 1996 and 1997 State of the Union addresses spoke of the importance of character education in schools.

Thus, the character education movement of the 1990s saw a shift that restored “good character” to its historical place as a central outcome of the school’s mission (Lickona, 1993; Enright, 1983; Slavin, 1990). Not surprisingly, with growing support for re-infusing character education into public schools there was a dramatic increase in the variety and number of character education curricula (Leming, 1997). Character educational initiatives became more holistic fully embracing Lickona’s (1993) call for a comprehensive approach to character education that included the cognitive, affective, and behavioral domains.

This growing resurgence has become a national movement in education in the
United States to return schools to their historical mission of educating for character (Huffman, 1994). Brooks and Goble (1997) advocated that the school must again teach values and instill good character. Despite this new emphasis, there are many confusing and ambiguous terms with different and sometimes controversial meanings in the field of character education. In an attempt to bring clarity to the conceptualization of character education, Lickona (1999) offered the following comprehensive explanation:

“Character education is the deliberate effort to cultivate virtue. Virtues are objectively good human qualities, such as a commitment to truth, wisdom, honesty, compassion, courage, diligence, perseverance, and self-control. Virtues are good for the individual in that they are required to lead a fulfilling life. They are good for the human community in that they enable us to live together harmoniously and productively. Virtues are grounded in human nature and experience; they provide a standard for defining good character” (In Williams & Schaps, 1999, p.23).

In this study, the teaching of traditional or moral virtues will be referred to as “character education”. Lickona (1999) expressed that, “the more virtues a person possesses then, the stronger the character” (in Williams & Schaps, 1999, p.40). Character can be thought of as representing the inner strength to do the right things. It is an old-fashioned concept—“character”—yet quite descriptive for as Kirschenbaum (1995) stated it, “invokes a set of internal qualities that have always been admired as hallmarks of goodness, virtues, and moral maturity” (p.21). In defining character Ryan and Bohlin (1999) state that it is “simply the sum of our intellectual and moral habits” (p. 9) and for them good character has three intimately connected parts: “knowing the good, loving the
good, and *doing the good*” (p.5, italics in original). And, character education is the core goal and the very foundation for all education and it involves helping students to become “persons of good character and integrity” (p. xvi). From a related perspective, building character is as Lickona (1993) sees it a process that develops the cognitive, emotional, and behavioral parts of character. In addition, Ryan (1999) elaborates further that, “The formation of sound character is based upon good habits of thought, feeling, and action, combined with the capacity to discern right from wrong” (p.16).

Throughout history, thoughtful philosophers and educators have been concerned about the cultivation of character traits and virtues such as honesty, courage, fairness, loyalty, respect for self and others, and responsibility. People with good character habitually display good behavior, and such habits are intimately embedded in the person. According to Berkowitz (1999), the “goal of character education is to build a good person” (in Williams & Schaps, 1999, p.19). He further developed a comprehensive interpretation of a good person as one having moral values, moral behavior, moral personality, moral emotion, moral reasoning, and moral identity (Berkowitz, 1997). The question now becomes what are “the good” character traits, values, and virtues that need to be developed? Are there universal moral values? Are there fundamental human values that tell people what they ought to do and with what they are obliged to comply?

In summing up the current status of the character education movement DeRoche and Williams (2001) state that it is “…beginning to take hold because the public has come to appreciate the importance of the young learning about human achievements, ethical principles, and moral values that underpin democratic, civilized life.” (p.12). And in looking at the future it seems apparent that now character education will be able to
remain central and a key component of a school’s educational thrust in 2000 and beyond (DeRoche & Williams, 2001).

Approaches to Character Education

Much debate concerning character education centers around the different strategies employed in character education, and their underlying philosophies. The variety of approaches can be broadly categorized into four major perspectives regarding character education: Psychological (cognitive-developmental approach and values clarification); neoclassical; communitarian; and holistic/comprehensive. A brief description of each follows.

Psychological

This approach follows the work and insights of developmental and educational psychologists and rests on the assumption according to Hunter (2000) that, “…all of us possess an innate capacity for moral goodness; character resides within each of us, largely independent of the relationships we have or the communities into which we are born…only needs to be coaxed out and developed within the personality” (p.10). Values are an inherent part of the psychological predisposition of a person. The emphasis of the psychological approach has been primarily on the development of self-esteem, feelings and emotions, and self-actualization.

The most popular process-focused tools for cultivating a valuing process and for fostering moral development are: Cognitive-Developmental and Values Clarification. Both the cognitive-developmental and values clarification models stress cognitive processes used in moral decision-making and highlight the freedom and autonomy of the individual in making value-related choices.
Cognitive-developmental model.

The cognitive-developmental approach is inexplicably linked to Lawrence Kohlberg (1976; 1978; 1984) and his theories and models of moral development. Building on earlier work about the relation of morality and thinking advanced by Jean Piaget and educator John Dewey, Kohlberg (1978) theorized that individuals go through six predictable and sequential stages of moral development concomitant with their cognitive growth. Through research and a set of longitudinal studies he identified six successive stages of moral reasoning.

Kohlberg’s Six Stages of Moral Development

Pre-conventional Stages

1. Punishment-obedience orientation.

The physical consequences of action for oneself determine its goodness or badness. Avoidance of punishment and unquestioning deference to power are valued insofar as they are beneficial to oneself.

2. Instrumental-relativist orientation.

Right actions are those that instrumentally satisfy one’s own needs. Human relations are chiefly a matter of reciprocity interpreted in an immediate, pragmatic way: “you scratch my back and I’ll scratch yours.”

Conventional Stages

3. Interpersonal concordance orientation.

Good behavior is that which pleases others and is approved by them, and it is conceived of in stereotyped terms of what the majority does or what it is “natural” to do. Good intentions (“he means well”) influence the judgments of
action for the first time. One can earn approval by being “nice.”

4. Law and order orientation.

Right behavior consists of doing one’s duty, showing respect for authority, and helping to maintain the social order for its own sake. Obedience to rules is important.

Post-conventional, Autonomous or Principled Stages

5. Social-contract orientation.

Right action is defined in terms of general individual rights and standards that have been critically examined and agreed upon by the whole society. The diversity of personal values and opinions is recognized, and there is an emphasis upon procedural rules for reaching consensus. There is a corresponding emphasis upon the “legal point of view,” but with recognition of the possibility of changing the laws out of rational considerations of social utility. Outside the legal realm, freely arrived at agreements are the major elements of obligation.


Right action is defined according to abstract, autonomously adopted ethical principles appealing to logical comprehensiveness, universality, and consistency. Basically, these principles are justice, the reciprocity and equality of human rights and respect for the dignity of human beings as individual persons. (Kohlberg, 1978, pp.40-42)

An upward movement from stage to stage is a long-term process, and progress occurs only one stage at a time in sequence without skipping a stage of moral growth.
(Kohlberg, 1976). However, progress is not automatic and may be arrested at any stage. Thus, not every person will reach the higher stages.

Kohlberg used hypothetical moral dilemmas (or problematic situations) to create genuine conflict that required thought and reasoning before a student could recommend a course of action. He professed that teachers could cause students to become “moral thinkers” through a process of Socratic dialogue—the method used by philosophers Socrates and Plato. He believed that the method provided a way for students to make their own moral decisions without having values imposed upon them.

Kohlberg’s approach to moral education has commanded considerable attention because of its theoretical origins and the high quality of research on which it was founded. Despite some theoretical challenges and practical concerns DeRoche & Williams (2001) observed that he, “…did alert educators and others to the notion that the young are moral thinkers and that discussing moral dilemmas in classrooms under the guidance of a teacher, acting as a questioner and facilitator, takes students beyond merely their own opinions and possibly enhances their moral reasoning abilities to a more mature level (i.e., stages of moral development)” (p. 10). Kohlberg (1984) focused on developing students’ powers of moral reasoning so that they could judge which values are better than others.

The cognitive-developmental approach to moral education provides a model for understanding children’s moral behavior and the development of moral reasoning skills. Lickona (1993) stated that as children progress to successively higher stages of moral development they are “better able to stand in the shoes of others, integrate conflicting perspectives on a moral problem, appreciate the consequences of this or that course of
action and make a decision that respects the rights of all parties.” (p.24). It is also used as a guide for character education program development and sequencing for it supports the presentation of clearly identified moral curricula delivered at a level consistent with students’ moral growth. In conclusion, Kohlberg’s approach to moral reasoning in character education remains as a respected component in many contemporary character education programs.

*Values clarification.*

Like the cognitive-developmental approach to moral education values clarification is also from the cognitive perspective, and it focused on the development of valuing and decision-making skills. It was originally developed and intended to be a clear, concise, and easy to use model that would appeal to Americans of diverse value systems. The values clarification process encouraged students to ask difficult questions that dealt with moral dilemmas, theoretical situations, and current issues of the day (Raths, et al., 1966; Simon, et al., 1972; McClellan, 1992). The goal was for the individual to reexamine those values learned earlier in life, bring their own values to a greater level of consciousness, and develop a set of “self-chosen” values. Students were exhorted to question values they had learned from their family and community. They were asked to share their views and opinions and all of their ideas had validity.

Values clarification teaches a valuing process, critical thinking, and decision-making skills that students need and can use throughout their lives (Kirschenbaum, 1977). The valuing process involved choosing, prizing, and acting with each of these processes further divided into seven sub-processes. Choosing required that choices be freely made from alternatives, prizing one’s beliefs entailed cherishing and being
satisfied with the choice, and acting involved translating values into appropriately consistent behaviors (Raths, et al., 1966).

The teacher’s role was unique in the values clarification model. Simon, Howe, and Kirschenbaum (1972) asserted that the teacher’s role was to act as a facilitator and to provide opportunities for helping students “to apply these valuing processes to already formed beliefs and behaviors they prize and would be willing to stand up for in and out of the classroom” (p.20). Teachers would also encourage students to look at alternatives and weigh the pros and cons and consequences of each as well as helping students to match their actions with their beliefs. McCellan (1992) reported that teachers were to “use nonindoctrinative and nonjudgmental methods to help students discover and refine their values. The teacher was to stimulate thought and to encourage a process of valuing” (p.89). Values clarification provided a moral relativists approach to character education (Lickona, 1993; Vincent, 1996). Teachers acted as guides, process facilitators, and were to remain “values-neutral” (Hunter, 2000).

Critics of the values clarification approach stated that while process is important it is virtually useless without content. Christenson (1977) described values clarification premises and methodology a being faulty when he stated,

“To assume that early teen-agers especially those who come from homes almost devoid of moral training, have the judgment, experience, and perspective necessary to the independent formation of sound value judgments is wildly optimistic. To pretend, moreover, that adolescents can theorize on moral matters from their exceedingly limited and unique experiences and that they can formulate and apply moral principles as if
there were little or nothing to be learned from previous generations, is an
astonishing premise” (p.738).

Additionally, Lickona(1993) observed that values clarification made no attempt to
distinguish between what one wanted to do and what one ought to do in a situation.

Harmin (1998) when reflecting back on the values clarification process conceded
that, “it would have been better had we presented a more balanced picture, had we
emphasized the importance of helping students both to clarify their own personal values
and to adopt society’s moral values. Indeed, combining value clarity and high morality,
like combining process and content, is just plain sense” (p.25).

But despite many criticisms and difficulties values clarification is a process, which
compels students to confront values, raise value-related questions, learn and use a
“valuing process.” Kirschenbaum (1977) notes that values clarification “…promotes the
values of thinking, feeling, choosing, communicating and acting. Thinking critically is
regarded as better than thinking non-critically. Considering consequences is regarded as
better than choosing glibly or thoughtlessly.” (p.12).

Both cognitive-developmental and values clarification approaches to character
education required that teachers be non-judgmental of students values and respect,
regardless of the values arrived at or stated by the students. Children were treated as
though they were adults who already developed a sound set of values (Lickona, 1993).
These psychological approaches focused on process and thinking skills used in moral
decision-making rather than moral content.

Although both of these approaches dealing with moral decisions have had their
critics, they were both widely used in the public schools of the United States and have
made important contributions to character education. Values clarification asked students to act on the values that they declared in order to develop some congruency between their behavior and important values. The cognitive-developmental approach encouraged students to examine their logic, reasoning, and to critically examine statements of their peers. Lickona (1993) stated that, “helping teachers get inside the minds of their students is one of the major contributions of moral dilemmas” (p.248). Students were moral thinkers and teachers could help them develop their moral reasoning.

**Neoclassical**

The neoclassical approach focuses on the shared, historical virtues of Western civilization. It articulates, as Hunter (2000) notes the, “moral ideals that have been distilled through the generations: Honesty, integrity, perseverance, tolerance, and so on.” (p.10), that have been firmly established with biblical and humanistic origins. These values are commonly referred to as “family values,” “timeless truths” and traditions cited in the classical literature, which are the essential qualities that all civilizations over the ages have discerned. These universal virtues need to be explicitly cultivated, understood, imitated, and practiced so that moral habits are formed and etched in a person’s character.

This approach generally uses what is referred to as traditional or inculcation methods whereby there is direct and explicit teaching and presentation of rules, codes of conduct and values which are considered to be the “‘common core’ of moral imperatives” (Irwin, 1988, p.8). Schools and teachers play an active role in the transmission of societal values. Thus, the traditional approach which uses direct instruction and discipline was the earliest and most widely adopted method of delivering character education in the first one hundred and fifty years of American history (Hunter,
2000). And, in the last ten years there has been renewed interest and a revived emphasis in promoting societal values through moral education and character development using a simple and straightforward method.

Traditionalists who advocate the return to a character education approach which is “virtue-centered” requires the use of direct teaching approaches and curriculums. Bennett (1988) contended that students develop pro-social traits if they are exposed to positive role models who embody and exhort those values. Schools and teachers can utilize the existing curriculum in the areas of history and literature to impart “moral literacy” to America’s school children. Some of these traits are “honesty,” “courage,” “kindness and compassion,” “loyalty to country,” “faithfulness to family and friends,” “persistence in the face of adversity”, “recognizing greed,” “hard work pays off,” and “to respect the rights of others” (pp.31-32).

Ryan (1989) agreed that schools should take a more authoritative approach to character education. And, teachers must become moral agents and assist in the process of teaching values to students. Also, a need exists for “schools and teachers to give students the opportunity to practice the virtues essential to a good life in a good society. Priority should be given to training virtues such as responsibility, consideration, and honesty” (p.16). More recently, Ryan & Bohlin (1999) maintained that in order for educators to explicitly promote moral development and cultivate character that they can incorporate and practice six Es of character education: Example, explanation, ethos, experience, exhortation, and expectations. (pp. 141-149).

Communitarian

The communitarian approach (Hunter, 2000) is largely based on a “social
consensus" arising from shared social experiences and democratic life. The experience forms the basis for moral understanding and development of a social contract. Social and civic obligations are stressed. The moral authority of the community emerges creating an ethic of cooperation with the public virtues and shared ideals of self-restraint, civility, social responsibility, and duties of a participatory democracy being stressed.

Communitarians emphasize the consensus of civic virtues as articulated in such documents as the U.S. Constitution, the Bill of Rights, and the Declaration of Independence. These virtues of citizenship then become internalized in the formation of the character of individuals.

Etzioni, (1993) the founder and chairman of the Communitarian Network and a leader of the communitarian movement, stresses the importance of experience in moral and civic education and believes that it is through experience that students can participate in the moral community and practice moral action.

Initially as part of developing a communitarian initiative, Etzioni (1993) recommended holding a planning retreat for representatives from the school staff, parents, student population and the community for consensus building around the core ethical values and principles, the school's culture and the vision. He emphasized enhancing of the moral education role of schools by making sure that school experiences in all realms are supportive and consistent in developing citizenship and civic virtues. He proposes that schools should become aware and analyze school experiences in: Parking lots, cafeterias, corridors, and review the process of treating vandalism and drug sales. (Etzioni, 1993, pp.103-104).

He further encourages the creation of social bonds in schools through less
classroom rotation and more stable contact among students and between students and teachers. Additionally, he endorses such moral educational techniques as role-playing, moot courts, peer mentoring, and conflict mediation. Furthermore, communitarians insist upon an integrated relationship between school and community service and go so far as to recommend a year of national service as “the capstone of a student's educational experiences.” (Etzioni, 1993, p. 113).

In applying the communitarian strategy, the Community of Caring (a character education organization and an initiative of the Joseph P. Kennedy foundation in Washington, D.C.) is an example of this approach in action. Community of Caring works to implement five values—caring, responsibility, respect, trust, and family. These core values form the basis of a K-12 program designed to “create a caring, respectful, school environment that supports students as they develop positive values” (Community of Caring, 2002). This initiative used a total community approach to shape an entire school culture with the purpose of developing responsible and caring members of the community. It involved the training of teachers about values and why they needed to be recognized and incorporated into everyday life; student value discussions about the interactive nature of values, decisions and actions; student forums of issues of practical problems; community service projects for understanding of how values affect the community; and, family involvement and partnering with the school.

Holistic/Comprehensive

According to Lickona (1993), a character education program must first have an adequate theory of what good character is, providing a clear idea of its goals. He stated simply that, “Good character consists of knowing the good, desiring the good, and doing
the good” (p.51, italics in original). He broadly conceived of character to encompass three interrelated components: cognitive, affective, and behavioral aspects of morality and moral maturity. The school’s task then was to help children to understand core values, adopt or commit to them, and then to act upon them in their lives.

Lickona’s (1993) comprehensive concept and model of character forms the basis for desirable goals of character education. He believed that the cognitive side of character includes six specific qualities: (1) awareness of the moral dimensions of the situation at hand; (2) knowing moral values and what they require of us in concrete cases; (3) perspective-taking; (4) moral reasoning; (5) decision-making; and, (6) moral self-knowledge. All these powers of rational thought are required for full moral maturity and citizenship in a democratic society. However, Lickona also warned that moral education that is merely intellectual misses the crucial emotional side of character, which serves as the bridge between, moral judgment and action. The affective side includes these qualities: (1) conscience (the felt obligation to do what one judges as right); (2) self-esteem; (3) empathy; (4) loving the good; (5) self-control; and (6) humility (a willingness to both recognize and correct our moral failings). Finally, he asserts that moral action the third part of character, draws upon three additional moral qualities: (1) competence (skills such as listening, communicating, and cooperating); (2) will (which mobilizes judgment and energy); and (3) moral habit (a reliable inner disposition to respond to situations in a morally good way) (Lickona, 1993, pp.52-62).

Beyond his concept of character and related character education goals Lickona (1993) believed that, schools “must take a comprehensive, all-embracing approach to values education that uses all phases of school life to foster character education” (p.68,
He further contended that the school, parents and communities must work together to foster character development. In a similar fashion, Ryan and Bohlin (1999), DeRoche and Williams (2001) present comprehensive and integrative character education models or frameworks to facilitate the development of good character in schools.

Former “values clarification” proponent Kirschenbaum (1992) has reconsidered and now offers support for a comprehensive approach to values and moral education. He refers to this approach as “comprehensive values education.” He describes it as comprehensive in content, methodology, and that it takes place throughout the school and community. Additionally, Kirschenbaum (1995), states that, “Piecemeal approaches and superficial applications only produce limited results” (p.11). Etizoni (1995) provides further support for a comprehensive approach to character education. He states:

Character education should imbue the full range of school experiences. It should not be limited to classes on civics, nor is it only a matter of curriculum content. A comprehensive approach uses all aspects of schooling—the human curriculum as well as the academic curriculum—as deliberate tools for character development. The way sports are conducted, grades allocated, teachers behave, and corridors and parking lots are monitored all send moral messages and significantly affect character development. It is also important not to disregard the corrupting and corrosive effects of small but chronic rule violation. When homework is not handed in, when students insult teachers or one another, when students do not show up for detention when they sleep in class and nothing
happens, poor values are being modeled and being internalized by students. If students' characters are to be developed, schools must institute fair, consistent enforcement of the rules that govern conduct (p.226).

Contemporary undertakings in character education have been holistic in nature and use an eclectic combination of selected elements from the psychological, neoclassical, and communitarian approaches and methodologies. Theoretically blending and merging the cognitive domain (knowing--the traditional “cardinal” virtues from America's moral heritage, citizenship obligations, moral reasoning skills); with the affective domain (self-esteem, empathy, cooperation, generosity, respect for the environment); and integrated into the behavioral domain (behaving responsibly). While reviewing the character education movement DeRoche & Williams (2001) concluded that, “Character education...merges both the cognitive and affective approaches and adds the behavioral dimension ... the one which governs what people ‘do’ ” (p.11). In this vein, character education programs are now providing a combination of instruction, reflection, and practice in character development. The full range of school experiences are now being used to support character education.

Some character education organizations and schools have added a “service learning” component so that there is practice (the behavioral dimension) in developing specific qualities discussed in class. The basic idea is that students can make a contribution to the well-being of their community, as they learn in a practical way the values of caring, compassion, and responsibility” (Kirschenbaum, 1995). Service learning can include participating in service to the community initiatives in the areas of environmental and human service. Kennedy (1991) stated that, “By teaching young
children to help others, we will also be encouraging the values that will keep America
strong for the next generation.” Kennedy goes on to say that, “there are few better ways
to inspire a child’s interest in science than allowing him or her to analyze and cleanup a
polluted stream” (p.772).

**Criticisms of Character Education**

There have been a number of criticisms leveled against character education. Kohn
(1997) wrote a scathing article attacking the character education movement and
criticizing just about everyone involved in it. “What goes by the name of character
education nowadays is, for the most part, a collection of exhortations and extrinsic
inducements designed to make children work harder and do what they’re told... the
preferred method of instruction is tantamount to indoctrination” (p.429). He criticized
rewarding and awarding students for being good which, he argued, only provided
extrinsic motivation. He was also deeply concerned about the fundamental assumptions
of the character education movement. The “fix-the-kids” orientation seemed to be “driven
by a stunningly dark view of children” (p. 431).

Character education strategies were questioned. Kohn (1997) summarized his
position when he stated, “The character education programs and theorists who promote
them—seem to regard teaching as matter of telling and compelling” (p. 432).

In addition, Kohn (1997) criticized character educators as having deliberately
embraced conservative values and that these values were forced on students. Kohn (1997)
also argued that many character education programs use a model of instruction whereby
good character and values are instilled in or transmitted to students through indoctrination
based on conservative ideology. Character education at its foundation is rooted in moral
content instead of being a process of self-discovery. It is an attempt to obtain what Lockwood (1985) expressed as “mindless conformity to externally imposed standards of conduct” (p.10).

In response to Kohn’s critique, several character education leaders have answered him in the same journal (Phi Delta Kappan) with equal passion. Lickona (1998) argued that Kohn’s analysis was not “complex enough to do justice or to provide guidance in the field” (p.450). He went on to state that, “teachers like parents can teach a child that a given behavior is wrong and simultaneously teach them why it is wrong” (p.450, italics in original). Developing moral reasoning in children should go hand in hand in with socializing children. Lickona agreed that Kohn’s worry about unreflective, narrow social training can serve as a useful warning. Point by point, Lickona carefully responded to Kohn’s criticisms.

Etzioni (1998) also responded to Kohn’s attacks on character education. He reminded Kohn that the Communitarian Network has advocated a broad approach—where everything that happened in school either “shapes experiences that help build good character or end up undermining it” (p.447). Etzioni strongly disagreed with most of Kohn’s comments. When he stated “To say that character educators have deliberately embraced conservative values and have forced them on students is a dramatic misrepresentation” (Etzioni, 1998, p.448).

From another perspective, Glanzer (1998) noted that he sees a lack of rigorous and extensive teacher training in the development of character as a major weakness. Furthermore, after reviewing character education programs and curriculum, he observed that the assumption seems to be that, “children need merely to be taught some virtues,
exposed to a few posters and pep rallies, and maybe taught to exercise a little discipline to instill particular values” (pp.435-436). This is quite a shallow approach. In a like manner, Benninger and Wynne (1998) also criticized the packaged “quick-fix” nature of some character education curricula even though such programs are well intentioned, and very creative. They end up being mere surface treatment applications. Programmatic solutions or character education kits, which segments character education curriculum into distinct parts, seem to be sterile and disconnected. Instead, they advocate that character education activities need to be fully integrated into the day-to-day operations of schools and serve as the foundation that underlies everything at the school.

Unfortunately, there was not a body of research that supported either position in this debate on character education. There was definitely a great deal of posturing on both sides, although it was quite clear that all interested parties did agree to the need for instruction on virtues.

Hunter (2000) uses a historical, cultural and sociological perspective to discuss the larger context in which the character education movement takes place. He believes that in America the social, cultural and institutional condition, which are necessary to support the cultivation of good character education have started to disappear. Furthermore, Hunter (2000) observed that, now “character is a relic of another age” (p.13). The reason is that the necessary core of historical, social, and cultural roots needed to develop and cultivate character have been emptied of meaning, significance, and largely lost (Hunter, 2000). In addition, because of America’s strong quest for inclusiveness and an accommodation of diversity doctrine character education strategies result in nonspecificity of what constitutes good character and moral behavior—what clearly
distinguishes right from wrong and good from bad. A largely content less moral agenda
emerges that includes only vague generalities and abstract universals. A type of “moral
relativism” has arisen (Hunter, 2000).

The prevailing character education approaches often end up only exposing
generalities and slogans, which are lacking of “any morally compelling logic and without
having any binding moral authority” (Hunter, 2000, p.12). Thus, it seems imperative
approaches should not ignore or dismiss the importance and potential impact of culture
and societal condition on moral education and character formation in schools.

**Traditional Chinese Values, Virtues, and Principles**

Confucianism is one of major systems of thought and philosophy in the world
developed from the teachings of Confucius and his disciples. It has been concerned with
the principle of good conduct, practical wisdom, and proper social relationships for over
2,500 years. Confucianism has influenced Chinese attitudes toward life, and set patterns
for living and standards of social value. Confucian classics, virtues and principles have
been studied and embodied for countless generations in familiar sayings and in the
common-sense wisdom of the Chinese people, and has been the cornerstone of their
ethics.

In 1949, with the Communist victory, Confucianism was banned as the political
leaders believed it would be an obstacle to their political reconstruction movement, and
prove harmful to their influence. Many Confucian-based traditions were put aside. The
family system, for example, much revealed in the past as a central Confucian institution,
was de-emphasized. Few Confucian classics were published, and official campaigns
against Confucianism were initiated to eliminate Confucianism during the Cultural
Revolution. In fact, Red Guards were ordered by the communist authorities to demolish Confucian temples throughout the country. But despite this assault, and others, Confucianism has always been able to withstand adversity, overcome its severest challenges, and re-emerge. Confucianism has continued to endure and permeate all aspects of Chinese society for two-and-a-half-millennia.

Now, Confucianism’s is returning ("Religion’s comeback," 1995) and there is a revival, in part, as a reaction to China’s “crisis of morals.” There is a renaissance of the classical Chinese cultural and traditional values. As one example, textbooks emphasizing traditional ethics that feature Confucius’ teaching have been recently published under the title The Complete Works of Confucianism—in all 250 volumes. Also, in recent years Confucian temples abandoned for the last half century have been renovated and rebuilt. According to Mooney (2002), these temples “now draw crowds of students, burning incense, and praying for high marks in their entrance exams” (p. 17).

Confucianism can be viewed as a set of rules for proper human interaction, and a system of social ethics concerned with the formal, external aspect of life. According to Confucius, human beings are essentially social creatures and innately capable of goodness. It is the task of man to discover his own natural human capacities, and to bring his will into harmony with the way of nature.

Confucianism is a cohesive value system that according to Berling (1996) has “often been characterized as a system of social and ethical philosophy rather than a religion” (p.5). The predominant theme of Confucianism is an emphasis on moral conduct as the basis of social harmony. The centerpiece of Confucian ethics is ren, variously translated as “benevolence,” “humanity,” or “kind-heartedness.” While ren is
not any one virtue, it is the source of all virtues; a supreme virtue representing human qualities at their best in human relations construed as relating one person to another. *Ren* is manifested in *zhong* or faithfulness to oneself and others, and *shu* or altruism. *Shu* is best expressed in the Confucian golden rule, "Do not do to others what you do not want done to yourself." Other important Confucian virtues include *cheng* (honesty, sincerity, truthfulness), *xin* (credibility), *yi* (righteousness), *li* (propriety), and *xiao* (filial piety). One who possesses all these virtues becomes a *junzi* or a superior person. Some of the ethical teachings of Confucius and his disciples stressed the inborn goodness of human nature referred to three key positive human characteristics (or inborn abilities), they are: *zhi* (wisdom, the ability to reason), *ren* (benevolence, the ability to care about others), and *yong* (courage, the ability to take actions to do the right things or correct one’s faults). And, *cheng* (honesty, sincerity, truthfulness) is the kernel essence of those three key positive characteristics of human beings.

The Confucian classics sources—*Confucian Analects* (*lunyu*), *The Great Learning* (*daxue*), *The Doctrine of the Mean* (*zhongyong*), and *The Works of Mencius* (*mengzi*) were utilized to define and explain traditional Chinese values, virtues, and principles of the Confucian ethos.

**Summary**

In summary, the researcher’s review of the literature and existing research studies that are directly applicable to the problem under consideration revealed only a small amount of useful information specifically related to China. The literature bases of symbolic and cultural leadership, character education, principal as a character education leader, and traditional Chinese (Confucian-related) values, virtues, and principles act as
research lenses with which to view, identify elements, and describe the situation in high schools in China. Chapter three describes the research design and methodology to be used to investigate the research problem, achieve the overarching research goal, and addresses the research questions posed in Chapter one.
CHAPTER III
RESEARCH DESIGN AND METHODOLOGY

Introduction

Chapter one identified several research questions. Chapter two presented a thorough review of the literature on the principalship, symbolic and cultural leadership, character education, and traditional Chinese (Confucian-related) values, virtues, and principles. It highlighted research possibilities and provided insights into appropriate research strategies and methodologies. Chapter three outlines the research design, strategy, and the methodology that will be employed to investigate the exploratory research questions. The chapter was organized into eight major topics: Introduction, Research Methodology, Research Design and Strategy, Data Collection Methods, Data Analysis, Validity and Reliability, The Researcher, and Summary.

This chapter describes the blueprint for the qualitative research study to achieve the primary purposes of this study, which were: 1) to explore the role of high school principals in character education in China; 2) to identify core traditional Chinese values, virtues, and principles emphasized by the leaders of the high schools; and 3) to examine the key symbolic and cultural leadership practices that high school principals use to shape and mold students’ character in China.

The specific research questions that guided this study are: 1) What roles do high school principals play as shapers and molders of character education?
2) What core traditional Chinese, including Confucian-related, values, virtues, and principles are identified and described by high school principals as being important for character education? 3) What symbolic and cultural leadership practices do these high school principals employ to support character education?

Together the overarching research goal and specific research questions provide the direction and focus for this chapter.

Research Methodologies

Qualitative research is defined by the research methodologies or procedures employed to obtain the subjective data that form the basis for analysis and further understanding. Qualitative research is often called naturalistic inquiry (Lincoln & Guba, 1985) field research because data tends to be collected in the field. Denzin & Lincoln (1994) defined qualitative research as a “multi-method focus, involving an interpretative, naturalistic approach to its subject matter” (p. 2). Creswell (1998) defined qualitative research in a more all-encompassing way as, “an inquiry process of understanding based on distinct methodological traditions of inquiry that explore a social or human problem. The researcher builds a complex, holistic picture, analyzes works, reports detailed views of informants, and conducts the study in a natural setting” (p.15). Qualitative methodologies were chosen for this study because they can readily probe for deeper understanding about leadership and character education in China of which little is known.

In addition, the most appropriate method of inquiry for this study was qualitative research because the concept of culture is central (Patton, 1990), and in this study culture is paramount. This research focused on culture-related concepts of values, roles, behaviors, and leadership. It aimed to develop symbolic and cultural leadership portraits.
of the values educational leaders within the cultural context of China hold, and how they shaped and molded school culture through their leadership actions to support character education.

The researcher used a rigorous, systematic qualitative research approach following Creswell’s (1998) methodological tradition of inquiry. This approach provided the researcher with an opportunity to “craft” (Taylor & Bogden, 1998) a strategy and research process able to develop leadership portraits of the high school principals involved in character education from their points of view.

The researcher observed, asked questions, interacted, and talked with the high school principals in their natural educational settings in order to obtain information that was descriptive and interpretive of what these leaders believe, said, and did. In particular, the focus of this investigation was on the high school principals’ values and beliefs, expectations, explanations, examples, experiences, and behaviors.

**Research Design and Strategy**

The research design and strategy of this study was of critical importance. Since as Patton (1990) remarked, “…how you study the world determines what you learn from the world” (p. 67). The choice of the design and strategy for an inquiry in many respects predetermines what was discovered. Furthermore, Kerlinger and Lee (2000) remarked that, “if the design is poorly conceived structurally, the final product will be faulty” (p. 481). The entire research process for this study used a combination of inductive and deductive methods. The format for the research design followed a systematic process of presenting the problem, posing research questions, collecting data to answer the questions, and attempting to answer the questions. The data collection process was
empirically based on interviews, observations, and experiences from multiple sources with the descriptive data being in the form of written or spoken words, observable behavior, and cultural icons/artifacts. The design remained “open and flexible” (Patton, 1990, p.196), and evolved in order to be able to adapt to emerging situations that were observed during the ongoing data collection and analysis.

Selection of Sample and Field Sites

The sample was selected purposefully rather than randomly (Patton, 1990). Patton (1990) stated that, “The logic and power of purposeful sampling lies in selecting information-rich cases for study in depth. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the research...” (p.169, italics in original). A purposeful sampling strategy was employed which incorporates two sampling options advanced by Patton (1990). One strategy is intensity sampling, designed to obtain a sample of “information-rich cases that manifest the phenomenon intensely but not extremely” (p.182). The other strategy is the criterion sampling approach whereby criteria are pre-established so that all the selected individuals “meet the same criterion” (p.183).

The researcher participated in a selection process with a Selection Board including: Dr. Yu, Yanjing, the Vice-President of Yunnan Normal University; and Mr. Gan, Xuechuang from International Cooperation & Intercommunication Office Education Department, Yunnan Province. All these individuals were knowledgeable and experienced educators who were qualified to participate on this study’s Selection Board.

The selection criteria included typical, current practicing high school principals who were well recognized for good performance in character education, had 5-10 years
of experience, were professionally trained in educational administration, could articulate
enough to describe their leadership approaches to character education, were willing to
participate in a lengthy qualitative research interview and observation process over time,
and were interested in understanding more about school leadership and character
education.

The criteria were discussed with each Selection Board member who recommended
principals based upon the criteria. From a combined list of ten (10) potential principals
based upon the criteria stated above, after a discussion with the Selection Board members
with the researcher, three principals were selected as study participants. Dr. Yu contacted
the principals to solicit their involvement in the research study after describing the
research purpose and process to the principals. The initial meeting between the researcher
and each principal provided an opportunity to discuss the criteria for selecting the study’s
participants and determine the willingness of each principal to be involved in the research
study.

The purposeful sample included three high school principals located in different
research field sites at three high schools in Kunming, Yunnan, China. Even though the
sample size was limited it was expected that an intensive study of the individual
information-rich cases would provide insights about educational leadership in the
unexplored realm of character education in China.

The high school sites selected were vocational or academic high schools, and were
operated by the city government (or municipality) of Kunming. The ultimate decision for
site selection was based upon what principals are listed by Dr. Yu, and through a
comparison of sites that compliment criteria that allows for differences in the three
schools, but not extreme differences. Glesne (1999) asks, "How many sites should you select?" (p. 28), and answers this question when he says, "To make such decisions, you must again look at your research interests and carefully reflect on what you want to learn" (p. 28). Since character education has been researched only limitedly in China, sampling three principals and three sites provided a foundation for further research while answering the questions posed for this study.

**Confidentiality**

The intent of the researcher was to protect and conceal the principals’ and schools' identities and hold all information in strictest confidence. Confidentiality and anonymity underlay all the study's research transactions. In writing the dissertation, pseudonyms were used for personal names and school identities. Participants completed the USD Consent to Participate in Research Study Form (See Appendix D).

**Sequencing of the Field Research Activities**

There were six steps involved in the field research phase of this study. These steps represented six separate data collection points. The researcher was in China for all of the fieldwork steps. Data collection involved multiple-session interviews, observations, and the gathering of cultural icons/artifacts. The overall timeframe enabled the researcher to become thoroughly familiar with and immersed in the character education milieu in three high schools in Kunming, Yunnan.

**Step One: Selection of Sample and Field Sites**

The selection process of the high school principals and sites to be studied was conducted with Dr. Yu, Yan Jing, Vice-President of Yunnan Normal University. The three high school principals and field research sites were identified and selected using the
purposeful sampling options of both intensity and criterion (Appendices A, B, and C).

**Step Two: Familiarization and Site Visit**

The researcher was introduced to each high school principal, become familiar with the physical sites, and collected general information to develop rapport with the educator in the field settings. Direct contact was made with each principal during the initial visit to ensure each person’s understanding of the commitment to the qualitative research process. The intent was to gain an agreement and willingness to participate, and most importantly to create the beginnings of a trusting relationship between the researcher and each principal. Meeting dates, study logistics, and venue were determined and agreed upon. This introductory meeting served as a way to set aside fears for disclosures made and the safety measures to be taken to protect anonymity. The required “protection of human subjects” process was explained, agreed to, required form(s) completed, and signed. University of San Diego’s Informed Consent Form regarding protection of human subjects was used (Appendix D). Additionally, this familiarization process enabled the researcher to gain a preliminary understanding of the high schools’ learning environments, the people, school routines, activities, and facilities (Appendices E, F, G, and H).

**Step Three: The Principal’s Roles in Character Education**

Step Three primarily focuses on data collection regarding the principal’s role. At the end of Step Three, the researcher began the analysis for research question #1 related to the principal’s role. Semi-structured interviews with open-ended questions were used having the principals describe their leadership roles in character education (Appendix I). Situational determined probe type interview questions were used to clarify and obtain
complete answers for the purpose of gaining deeper understanding. The researcher used what Glesne (1999) described as a “patiently probing” (p. 87) interviewing approach using follow-up questions. In all the interviews, the researcher adopted a qualitative interviewing style that Rubin & Rubin (1995) advocated as to, “hear the meaning of what is being said” (p.17, italics in original). They indicated that it “requires intense listening, a respect for and curiosity about what people say, and a systematic effort to really hear and understand what people tell you” (Rubin & Rubin, p.17).

**Step Four: Traditional Chinese Values, Virtues, and Principles for Character Education**

Face-to-face, semi-structured interviews for clarification purposes of traditional Chinese values, virtues, and principles was conducted (Appendix J). In addition, a values clarification sorting method was used initially as a warm-up to the in-depth qualitative interviews. These techniques helped the principals to reflect on and describe their inner values and beliefs. Step Four concentrated on data collection related to traditional Chinese values, virtues, and principles.

**Step Five: Leadership Behaviors and Actions for Character Education**

This step consisted of two parts:

*Part A—* Semi-structured, qualitative interviews were conducted to elicit the symbolic and cultural leadership behaviors and practices used to demonstrate and foster the traditional Chinese values, virtues, and principles in-action (Appendix K). After given some time for reflection, member checking (Creswell, 1998) was used to clarify and confirm the initial traditional Chinese values, virtues, and principles provided in the previous Step Four.
Part B—The researcher directly observed these principals in-action in their natural settings to see how they model their values and express symbolic and cultural leadership in support of character education (Appendix L). The researcher recorded observations about how the principals spend their time, since this constitutes a powerful symbolic message in and of itself. A journal was kept to record observations. Also, the researcher collected related school documents, cultural icons, and artifacts. The purpose of this step was to determine how values and beliefs are translated into symbolic and cultural leadership actions for character education. Step Five had a dual purpose of data collection (interviews and observations) and member checking.

Step Six: Follow-up and Confirmation

The high school principals were given the opportunity to reflect, correct, and elaborate upon their previous descriptions, examples, and observations of symbolic and cultural leadership behaviors related to character education (Appendix M). Thus, the last qualitative interview, Step Six, was primarily for member checking purposes.

The Researcher’s Role

The researcher intended to define and negotiate a mutually acceptable research role as a University of San Diego doctoral student, empathetic reporter, interviewer, and an unobtrusive observer. In addition, he attempted to develop a relationship with the selected high school principals that has been described by Rubin & Rubin (1995) as a “conversational partner” (pp.10-12) to depict the active roles of both parties and the cooperative nature of the qualitative research approach for this study. The researcher practiced skills of interviewing, observing, and analysis before and during the study.
Pre-Study Preparation: Getting Ready

The researcher received feedback on interview questions from two exemplary senior high school principals in Taiwan with background, experience and responsibilities similar to the intended interviewees in China. The purpose of getting feedback was to refine the interview questions, the research questions, and the overall research approach—in a situation close to the actual reality of the study environment in Mainland China. Thus, the entire research process was reviewed in advance including the interview protocols and observation techniques. The goal was to develop the methodological skills and interviewing style of the researcher. Based on feedback from these principals, the entire research protocol was modified, refined, and finalized before embarking on the field study in China. As a result of this advance preparation, the researcher became more comfortable, prepared, and able to gather data to conduct the study. The data collected during this phase of the study was not used or incorporated into the final dissertation or will not be used in any other manner.

Data Collection Methods

This study used a combination of multiple fieldwork data collection methods to improve the depth of understanding and the trustworthiness of the data. It was felt that the use of the proposed research methods including qualitative interviews, observations, document reviews, and cultural icons/artifacts examinations enabled the gathering and generating of information both in breadth and in depth. Using these methods, the information was collected and analyzed in a comprehensive way.

The concept of triangulation (multiple data sources) was utilized to obtain corroborating evidence from qualitative interviews, observations, document reviews, and
cultural icons/artifacts examinations. Patton (1990) calls triangulation a method for “checking out the consistency of findings by different data-collection methods” (p.187) to support the research validity. The kinds of data to be accumulated and generated were in the form of multiple-session field interviews and observation notes, typed transcripts of the conversations (in Chinese and translated into English), and the examination of existing and pertinent documents and cultural icons/artifacts. Then, the validity of the findings at each school site was inferred when there was a convergence of similar finding from a number of sources. To further increase the trustworthiness of the data respondent verification procedures will be employed (Creswell, 1998). The interview transcripts, analytical thoughts and preliminary drafts of the findings was shared with the research participants in order to make sure that the statements and evidence representing them, their viewpoints, and experiences were accurate. Each principal’s verification, clarification and critique were actively sought for member checking purposes.

**In-depth Qualitative Interviews**

Qualitative interviewing was the main tool used for gathering data and information in qualitative research in this study. Rogers & Bouey (1996) pointed out: “Without a doubt, the most utilized data collection method in qualitative research studies is the interview” (p. 52). Rubin & Rubin (1995) have referred to qualitative interviews as “guided conversations” (p.122). The interview guides that are in a semi-structured format was designed and used to keep the face-to-face conversations focused and to ensure the best use of limited interview time. Even though an interview protocol was used, the researcher was able to conduct a conversation within the topic area and to ask questions spontaneously. In addition, the interview guide approach increased the
comprehensiveness of the data and makes the data collection more systematic and consistent for each informant (Patton, 1990). The questions were aimed at obtaining leadership role information, identifying traditional Chinese values, virtues, and principles, and describing symbolic and cultural leadership behaviors and actions for character education (Appendices I, J, and K).

In order to facilitate the exploring of traditional Chinese values, virtues, and principles, a “Chinese Values Card Sorting” technique using examples of traditional Chinese values, virtues, and principles was developed and utilized. This method was designed for and used in the qualitative interviewing “warm-up” phase to stimulate thoughts and to act as a vehicle for preliminary discussion. Also, the value card sorting method helped the principals to feel more prepared and be at ease so that they can answer the subsequent value-related questions. After an extensive review of the traditional Chinese values, virtues, and principles the researcher developed short statements of the core values and put them into a playing card format. An adapted Q methodology and Q sorting process described by Stephenson (1953) and Brown (1996) was employed to help the principals talk about their ranking of these core values. They were asked to sort a set of 23 cards into three piles ordered as the most important, next most important, and least important by putting seven, eight, and eight cards in the piles. Then, the researcher explored the rationale behind the principals’ rankings (Appendix J). This qualitative research technology helped to facilitate the communication flow about deeply held values and on a personally sensitive topic in a systematic manner, which may be too intellectually challenging and somewhat difficult to do. Additional interviews were conducted to expand the values discussed by the principals, clarify terminology, and to
reaffirm previously stated values.

Observations

Direct observations of the symbolic and cultural leadership behaviors of the principals' in-action related to character education were made. This was accomplished by "shadowing" the principals. An observation protocol was designed following the formulations of Covey (1991); Creswell (1998); Daft (1999); Deal & Peterson (1990, 1994, 1999); Greenfield (1995); Kotter (1990); Nadler & Tushman (1990); Peterson & Deal (1998); Reitzug & Reeves (1992); and Sergiovanni (1995), and was employed to gather information in a consistent manner (Appendix I). Observation can lead to deeper understandings than interviews alone because it provides knowledge about the dynamic context in which character education occurs. The intent was to gain as much insight as possible into the educational milieu in which character education takes place. Observational data was used for the purpose of describing the high school settings, school activities, and the principals' leadership actions. The researcher was guided by the work of Deal & Peterson (1994, 1999) who outlined and listed the key elements of a school's culture (Appendix G).

School culture in action was observed. The ceremonies, rituals, traditional celebrations, classroom sessions, school assemblies, dramatic plays, and other relevant school activities were observed to obtain a more complete picture of the school culture. The physical setting was described including the school building, architecture, recreation/sports facilities, and cafeteria.

Pertinent Document Reviews and Cultural Icons/Artifacts Examinations

Mission/vision written statements, policies, memoranda, handbooks, announcements,
school activity calendars, curricula, course descriptions, school rules/procedures, behavior codes, newsletters, bulletin boards, and displays of student work related to character education were reviewed. In addition, the researcher examined cultural icons (Rubin & Rubin, 1995) and physical artifacts such as statues and pictures that have symbolic value (Appendix H).

Field Notebook

The researcher maintained a field notebook (or journal)—as a “log” for information-recording purposes. It served as a vehicle for keeping a chronological record of events and for noting decisions, experiences, ideas, comments, problems, and emerging themes. In addition, it served as a tool to record thoughts about the data being collected and for reflecting upon discoveries and learning in the field settings.

Data Analysis

In qualitative research data collection and data analysis usually run together (Coffey & Atkinson, 1996). In qualitative research, data analysis begins when the research questions are decided upon, continues when fieldwork is initiated and proceeds through the completion of the data collection. Bogdan and Biklen (1992) defined qualitative data analysis as “working with data, organizing it, breaking it into manageable units, synthesizing it, searching for patterns, discovering what is important and what is to be learned, and deciding what you will tell others” (p.145). Analyzing interview transcriptions and multiple forms of data presents a formidable task for qualitative researchers. Rubin & Rubin (1995) stated that, “...analysis can be intimidating because of the sheer amount of data that needs to be understood” (p.227). Furthermore, qualitative researchers tend to use inductive analysis of the data, meaning that the critical themes
emerge out of the data (Patton, 1990). The researcher inspects the data and pulls out the concepts and themes grounded in the data that describe the unique world of each principal. Analyzing qualitative data is systematic, rigorous and time-consuming. Qualitative analysis requires creativity, insight, and intuition on the part of the researcher for the challenge is to place the raw data into logical, meaningful categories. The goal is to examine them in a holistic fashion, and develop a way to communicate the findings.

In order to envision the data analysis process, it is useful to conceive of it being as Creswell (1998) suggested in a “data analysis spiral” (p.142). The researcher used a combination of the above research techniques to collect and record rich descriptive data in naturalistic settings. The intention was to acquire as much insight as possible into each of the schools’ cultural realms and to be able to develop symbolic and cultural leadership portraits by capturing the subjective reality and the viewpoints of each of the high school principals. Complete descriptions were developed of the research settings (Appendix G) along with key aspects of the larger social, cultural, and physical environment. Individual background/demographic informational profiles were developed (Appendix E).
Figure 2. The Data Analysis Spiral

The Data Analysis Spiral adapted from Creswell (1998), was the data analysis process be used in this study. The analytical process in creative, non-sequential, and spiral in nature. The stages of analysis may in reality occur simultaneously and repeatedly. Raw data enters at the bottom and goes through many aspects of analysis and finally emerges at the top of the spiral diagram in the form of findings.

Organization of Data

Initially, the various types of data were merged, organized, and converted into appropriate text units so that it can be incorporated into a filing system, which is coded and based on themes that allowed for ordering and retrieving information.

Taxonomic Review

An initial taxonomy (or classifying framework) of symbolic and cultural leadership was employed. The taxonomy related to character education was derived in part from the work of Sergionanni (1984,1991) and adapted and applied by Reitzug & Reeves (1992). In addition, the taxonomy was modified and expanded by including concepts and ideas
from the works of Bolman and Deal (1992); Deal and Kennedy (1982); Deal and Peterson (1990, 1994, 1999); Greenfield (1995); Peterson and Deal (1998); Schein (1985); and Seyfarth (1999). The four categories of symbolic/cultural leadership for character education are: Leadership Roles for Character Education; Traditional Chinese Values, Virtues, and Principles; Behaviors/Actions; and, Icons/Artifacts.

The researcher deeply immersed himself (Spradley, 1979) into the raw details of the data as much as possible by reading transcripts, listening to tapes, re-reading notes, and reflecting on the data. Then, to facilitate the taxonomic review process the researcher developed a coding scheme to categorize the data into the four areas of the taxonomy. The coding was done in ways that help to provide some direction in order to begin to move towards addressing and answering the study’s research questions. The taxonomy provided a starting point for the data analysis.

**Theme Analysis**

A theme is a major idea that runs through all or most of the data. The data within the taxonomic categories was analyzed in such a way that the researcher began looking for patterns and preliminary theme formation. Content analysis (Weber, 1990) was conducted to explore the data and to conceptually identify and label what key descriptive themes emerged and so that patterns within the data itself could be ascertained (Wolcott, 1994). Data were constructed through “open coding” (Strauss & Corbin, 1990), and assembled and sorted into the key theme areas. Next, the researcher examined and compared the material within the themes. A comparison of the materials across themes was made to determine their interconnectivity.
Overarching Themes

An interpretative inductive-based analysis was conducted “across the three individual cases” to discern and isolate the emerging “overarching themes” (Rubin & Rubin, 1995, p.251) that were common along with connections between them for the three cases combined. The questions were: When viewed together, do the themes from the data comprise a completed picture? From all the elements, was there a coherent whole? Are there any meaningful gestalts? The overarching themes, then, were used to describe and explain all of the data for this study and to fit all the pieces of data together in an explanatory and holistic way. The synthesized data were interpreted in the form of presentation of findings both descriptive and narrative (Chapter IV) along with conclusions (Chapter V).

In the presentation of the research findings the researcher presented a “thick description” (Geertz, 1973) of the data in the form of leadership portraits to accurately portray the principal’ worlds. These leadership portraits were integrated and summarized from key information. The themes, illustrated with extensive quotations from transcripts of interviews and field notes, made the processes of the in-depth data analysis and interpretation fully transparent. An audit trail throughout the entire data analysis process was maintained.

Validity and Reliability

It was important for the researcher to address the trustworthiness of this qualitative research study because it is imperative that a research study incorporates specific ways to ensure validity and reliability. The validity and reliability helps to determine the amount of faith and confidence that can be put in the results obtained and conclusions drawn.
from the data. The issue of validity and reliability in qualitative research is discussed by many researchers such as Cook & Campbell, 1979; Kirk & Miller, 1986; Silerman, 1983. Lincoln and Guba (1985) identified one alternative set of criteria for qualitative research that correspond to those typically employed to judge quantitative work shown in Table 1.

Table 1

*Conventional vs. Naturalistic Terms*

<table>
<thead>
<tr>
<th>Conventional Terms</th>
<th>Naturalistic Terms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Validity</td>
<td>Credibility</td>
</tr>
<tr>
<td>External Validity</td>
<td>Transferability</td>
</tr>
<tr>
<td>Reliability</td>
<td>Dependability</td>
</tr>
<tr>
<td>Objectivity</td>
<td>Confirmability</td>
</tr>
</tbody>
</table>

Conventional (quantitative) and naturalistic (qualitative) terminology and criteria as indicated in Table 1 were related to the overall research design, methodology, and trustworthiness of the qualitative study.

*Credibility*

In conventional inquiry, internal validity refers to the extent to which the findings accurately describe reality. To establish credibility in this study, triangulation of the data will be employed whereby multiple data collection methods (Patton, 1990) will be used to enhance the accuracy of the interpretations and provide corroborating evidence.

Credibility for this study was created by careful research planning and implementing a systematic approach used for selecting the right settings and principals, asking the right questions, and using proper data collection methods. Both cross-case and cross-site
analyses were conducted which helped to improve the credibility of the study.

Transferability

Transferability refers to the possibility that what was found in one context by a piece of qualitative research is applicable in another context. As Lincoln and Guba (1985) pointed out: “If there is to be transferability, the burden of proof lies less with the original investigator than with the person seeking to make an application elsewhere. The original inquirer cannot know the sites to which transferability might be sought, the appliers can and do…. The responsibility of the original investigator ends in providing sufficient descriptive data to make such similarity judgments possible” (p. 298). This study provided sufficient descriptive data in the form of “thick description” (Geertz, 1973) that enables others to judge whether the findings are applicable to their own settings.

Dependability

Dependability refers to the degree of assurance that the findings are consistent and reproducible. For qualitative researchers, the kind of replication discussed in conventional terms is impossible to realize because the research design is so flexible and the research findings are produced by constantly changing interactions between the researcher and participants. Lincoln and Guba (1985) indicated that, “Since there can be no validity without reliability (and thus no credibility without dependability), a demonstration of the former is sufficient to establish the later” (p. 316). Nevertheless, Lincoln and Guba (1985) did propose one measure that might enhance the dependability of qualitative research. That is the use of “inquiry audit” in which reviewers examine both the process and the product of the research for consistency (p. 317).

This study provided for the possibility of an inquiry audit by having an explicit audit.
trail. From a dependability perspective, this study endeavored to have reproducibility of the results and methodology so that others using the same techniques and working with the same data would produce comparable results and draw similar conclusions.

**Confirmability**

Confirmability is "concerned with establishing the fact that the data and interpretations of an inquiry were not merely figments of the inquirer's imagination. A researcher needs to link "assertions, findings, and interpretations, and so on to the data themselves in readily discernible ways" (Schwandt, 1997, p.164). This research study has incorporated a number of the verification procedures recommended by Creswell (1998) and ideas from Glesne (1999) and Rubin & Rubin (1995) to enhance the overall trustworthiness of the qualitative data and the believability of this study.

**The Researcher**

The relevance of the researcher's past background and experience is an important factor in qualitative research. In qualitative research inquiry Patton (1990) noted that, "*the researcher is the instrument*" (p.14, italics in original) as an influence in the conduct of the study, in the design of the methods, of the data gathering, and the analysis and interpretation. This researcher is a practicing educational administrator and a Managing Director at a senior high school in Taiwan that has a culture focused on developing strong character and discipline. The researcher was well positioned with both in-depth knowledge and extensive experience to undertake this dissertation topic. He knows what it is like to be a principal. He was able to demonstrate heartfelt empathy with the principals he interviewed.

This researcher has experience in conducting research in field settings using
qualitative research methods including interviewing and observational techniques during his doctoral studies program at the University of San Diego. In one project, the researcher participated in a study of Total Quality Education (TQE) principles in three universities and colleges located in China, Japan, and the United States. Semi-structured interviews were conducted with administrators, faculty, staff, and students on the campuses of three schools. The campuses were toured and direct observations were made of campus activities in the bookstores, libraries, student centers, and business offices of the schools. The research approach, analysis, and the results were written up in the form of three international case studies.

The researcher completed another qualitative research project that investigated the sport of bowling in the U.S.A. The research activities included ethnographic type qualitative interviewing, transcription, coding, domain analysis (Spradley, 1979), and then writing up the results. Finally, the researcher’s interviewing techniques were further honed when he conducted a qualitative research study about the phenomenon of “cultural shock” with Filipino workers at a large electronic company in Taiwan. In this field study, the researcher gathered information through semi-structured interviews (Rubin & Rubin, 1995) and direct observations.

Together, these three projects helped the researcher to develop his methodological skills in the entire qualitative research process from initial research design, instrument development, data gathering including interviewing, data analysis, and ultimately in reporting the findings.

Language ability is important in qualitative research since it is such a large part of the human experience. In discussing the linkage between language and fieldwork
Spradley (1979) stated that, “whatever approach the ethnographer uses—participant observation, ethnographic interview, collecting life histories...language enters into every phase of the research process” (p.17). Qualitative research involves a discovery and description of data that makes maximum use of language. The researcher’s native language is Mandarin Chinese (including three dialects) that enabled him to comprehend and accurately portray the concepts and meanings from the principals’ interviewed.

The researcher has developed his rapport-building skills in Mainland China over the past ten years. He knows the proper modes of operating in terms of appearance, speech, and behavior that enabled him to quickly gain the trust and required acceptability to effectively pursue the research study.

**Researcher Bias**

The researcher has biases formed through having over 15 years experience in a senior high school in Taiwan. The strong emphasis on moral behavior, discipline, and character education at this senior high school helped him form a strong opinion that character education is needed and can be effective. He also has a well-developed belief in and conviction about the importance of continuing the Chinese tradition of educating young Chinese students in the core traditional Chinese values, virtues, and principles. In addition, the researcher has been brought up and lived within a democratic political ideology and culture in Taiwan that could also affect his outlook. All of this formative background and experience has helped him to develop what Glesne (1999) has termed a “subjective lens view” (p.105).
Summary

Chapter three presented the method and procedures followed in this study. Particular attention was given to data collection, data analysis, and the validity, and the reliability of the data evolving out of this study. The researcher used a combination of the above research techniques to collect and record rich descriptive data in naturalistic settings. The intention was to acquire as much insight as possible into each of the schools' cultural realms and to be able to develop symbolic and cultural leadership portraits by capturing the subjective reality and the viewpoints of each of the high school principals. Complete descriptions were developed of the research settings (Appendix G) along with key aspects of the larger social, cultural, and physical environment. Individual background/demographic informational profiles were developed (Appendix E). Chapter four contains a discussion of: 1) Secondary educational in China; 2) A brief history of character education in secondary school in China; 3) The setting in Yunnan Province; 4) The setting in Kunming City; 5) Principal background; 6) School profile; 7) Individual case analysis; and 8) Over-arching theme.
CHAPTER IV

RESULTS

Introduction

The primary purposes of this study were: 1) to explore the role of high school principals in character education in China; 2) to identify core traditional Chinese values, virtues, and principles emphasized by the leaders of the high schools; and 3) to examine the key symbolic and cultural leadership practices that high school principals use to shape and mold the character of students in China.

This study sought to provide new information, insights, and to develop an initial understanding about leadership and character education in China. Both the context of leadership and character education at high schools and the perspectives of high school principals are of prime importance. The organization of Chapter four was designed in accordance with above precepts of this research.

The first six sections of Chapter four provides necessary information concerning the contexts and the settings within which the data and information was generated so that the meaning of the data in context can be comprehended. In addition, these sections also provide non-Chinese with insights into the topic. Then, the individual case analysis of each principal according to the specific research questions are examined and discussed. Finally, an interpretative inductive-based analysis was conducted across the three
individual cases to discern and isolate the emerging overarching themes that were
common along with connections among them for the three cases combined.

Secondary Education in China

After the establishment of the Peoples’ Republic of China (PRC) in 1949, a Soviet
model of education was adopted for the school system in China along with the Mao
Zhedong’s declaration that China would “lean to one side” and “learn from the Soviet
Union” (Pye, L. W. 1999). That model influenced the educational system in China until
the early 1990’s. Since the disintegration of the Soviet Union in 1991, however, China
has adjusted this system into one that is similar to the mainstream educational systems of
other advanced countries in the world (Chen, 2004).

Overview of the Secondary Education Structure

Secondary education in China is divided into regular (academic oriented)
secondary education and vocational/technical secondary education, which is known as a
dual-track system.

Secondary education consists of junior high school education and senior high
school education. Junior high school involves either three or four years of schooling,
depending on the system (6-3 or 5-4), and senior high school is a three-year program. The
9-year schooling in elementary and junior secondary schools pertains to compulsory
education since 1986, when the “Compulsory Education Law” went into effect.

Regular secondary schools mainly provide college preparatory education. The
secondary vocational education is a mainstay of training manpower with practical skills
to support the development of economy. There are three types of secondary vocational
education in China including a Specialized Secondary School, Skilled Workers School, and Vocational Secondary School. Specialized secondary school train intermediate technical personnel. Skilled workers school train students for positions involving production and operation skills. Vocational secondary school train medium-level skilled workers including farmers and technical personnel. Most of these schools enroll junior high school graduates, and the length of study is usually two to four years while a three-year course of study is the most common. Only a few vocational secondary schools in rural areas still recruit elementary graduates to study for three years.

Such a diverse and complicated secondary schooling system reflects a reality that the secondary educational system in China is still in a transitional stage, and as such is seemingly moving gradually toward a mainstream educational system similar to that in the modern world.

Table 2 demonstrates the basic statistics of secondary schools in China by type. This table was adapted and translated from the Education Statistics Yearbook of China (2000).
### Table 2


<table>
<thead>
<tr>
<th>Type</th>
<th>Schools</th>
<th>Graduates</th>
<th>Enrollees</th>
<th>Graduates, Entrants, and Enrollment Unit: Thousand</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular Sec. Schools</td>
<td>77,268</td>
<td>19,080.60</td>
<td>27,350.99</td>
<td>73,680.91</td>
</tr>
<tr>
<td>Regular Senior High Schools</td>
<td>13,564</td>
<td>5,010.01</td>
<td>5,700.69</td>
<td>1,3010.35</td>
</tr>
<tr>
<td>Regular Junior High Schools</td>
<td>62,704</td>
<td>16,070.09</td>
<td>22,630.30</td>
<td>61,670.65</td>
</tr>
<tr>
<td>Specialized Sec. Schools</td>
<td>2,963</td>
<td>1,190.58</td>
<td>1,110.57</td>
<td>4,120.54</td>
</tr>
<tr>
<td>Sec. Technical Schools</td>
<td>2,963</td>
<td>1,190.58</td>
<td>1,110.57</td>
<td>4,120.54</td>
</tr>
<tr>
<td>Teacher Training Schools</td>
<td>4,098</td>
<td>660.25</td>
<td>510.55</td>
<td>1,560.05</td>
</tr>
<tr>
<td>Skilled Worker Schools</td>
<td>13,854</td>
<td>760.38</td>
<td>1,320.56</td>
<td>2,080.94</td>
</tr>
<tr>
<td>Vocational Sec. Schools</td>
<td>7,655</td>
<td>1,490.92</td>
<td>1,500.39</td>
<td>4,140.56</td>
</tr>
<tr>
<td>Vocational Senior High</td>
<td>7,192</td>
<td>1,200.37</td>
<td>1,220.74</td>
<td>3,300.63</td>
</tr>
<tr>
<td>Total</td>
<td>93,861</td>
<td>23,001.85</td>
<td>31,002.79</td>
<td>85,161.69</td>
</tr>
</tbody>
</table>

**Note.** English/Chinese corresponding translation—Specialized Sec. Schools (Zhong Deng Zhuan Ye Xue Xiao), Sec. Technical Schools (Zhong Deng Ji Shu Xue Xiao), Teachers Training Schools (Zhong Deng Shi Fan Xue Xiao), Skilled Worker Schools (Ji Gong Xue Xiao), General Sec. Schools (Pu Tong Zhong Xue), General Senior High (Pu Tong Gao Zhong), General Junior High (Pu Tong Chu Zhong), Vocational Sec. Schools (Zhi Ye Zhong Xue), Vocational Senior High (Zhi Ye Gao Zhong), Vocational Junior High (Zhi Ye Chu Zhong).

Senior high school level education has not been part of the compulsory educational system in China. Graduates from junior secondary schools seeking to continue their education in senior secondary schools have to sit for and pass locally organized entrance examinations before admission. The competition among junior high graduates to enter regular senior high schools is intense because the number of regular high schools is relatively small. If we only look at the academic track (instead of vocational oriented schools), the figures in Table 2 show that the ratio of the number of regular senior high
schools and regular junior high schools is about 1 to 4.3, and the acceptance ratio is probably below 30%. It means that only three out of ten regular junior high school graduates are eventually able to enter regular high school.

Curriculum

According to a circular entitled “A Notice regarding Publishing ‘Regular High School Curriculum (experimental version)’ & the Criteria of the Curriculum of the Fifteen Academic Courses (experimental version)” announced by the Ministry of Education (MOE) in 2003, the latest criteria of curriculum for regular secondary schools includes: Chinese Literature, Foreign Language (English as required course and Japanese and Russian as elective courses), Mathematics, Ideological and Political Education, History, Geography, Physics, Chemistry, Biology, General Applied and IT Technology Training, Physical and Health Education, Fine Arts, and Community Service Program (both on/off-campus).

Two ideological and political classes weekly are mandatory moral courses for all the secondary schools. These are also required-test-courses for both high school and college entrance exams. In addition, all students are required to accept approximate one-week of military training by the Army after they enroll in a senior high school. Military training program is also considered a part of moral education.

A Brief History of Character Education in Secondary School in China

It has been more than 50 years since the Peoples’ Republic of China was established in 1949. China has experienced an unprecedented change in politics, economy, and society including education. A mass political movement, the Cultural Revolution, broke
out 17 years after the birth of the country and involved almost every adult and child in
China and is considered the most extreme period in modern Chinese history. In the
following section, three historical phases are examined and described relating to the
development of character education in secondary schools in China from 1949 through
1965 referred to as The Early Period; 1966 – 1977 referred to as The Cultural Revolution;
and, 1978 to the present referred to as the Moral Restoration Movement.

1949 – 1965: The Early Period

After assuming power, the Chinese Communist Party emphasized Socialist ideology
education in secondary schools employing education in serving the new ideology.
Education was considered a powerful instrument to build a new the socialist society. This
meant that, “any professional pursuit must be combined with political ideology” (Yang,
1959).

The objectives of moral education in secondary schools, according to the MOE,
were set to develop the students’ “loyalty to the socialist motherland,” and to foster the
students’ social ethical qualities of “loving the country, loving the people, loving labor,
loving science, and cherishing public properties” (Sun, 1997, p.2). The only method to
train students was to educate them to “serve working-class politics” and “combine
education with productive labors” fundamental to Marx’s view of education (Lu, 1958).
The purpose of moral education was to cultivate patriotic socialist-minded workers. Sun
(1997) indicated that, although a complete moral education system in secondary schools
had not been completely developed, the basic objectives, contents, principles, and
requirements for Socialist moral education in elementary and secondary schools was
generally prescribed by the government (p.2).
The struggle along political lines within the Communist Party became acute after the devastating failure of the economic reform policies previously established. In 1962, the 10th Plenary Session of the 8th Central Committee of the Chinese Communist Party called for strengthening the political education throughout the whole country and “take Class Struggle as the key link” for everything. Shortly after that, moral education in secondary schools was rapidly steered towards a Class Struggle based ideological education. Students were educated in how to distinguish class allies from class enemies who were bourgeoisies, counter-revolutionaries, and revisionists. As the China Youth Journal expressed it on January 22, 1963, “When you come across new words, consult the dictionary; when you come across problems, consult the selected works of Chairman Mao.”

1966 – 1977: The Cultural Revolution

The Great Proletarian Cultural Revolution, also known as the Cultural Revolution, is dated from 1966 to 1976. The Cultural Revolution together with the education reforms that took place were the largest scaled political and educational experiment in the world and influenced the life of a whole generation of young people in China.

Mao Zedong launched The Cultural Revolution. He believed that the progress made since the establishment of the PRC led to a privileged class ruling the government. He worried that this ruling class had deviated from the ideals and the principles of Proletarian revolution and become revisionists threatening the Communist Party and his leadership. In 1966 (May/16), Mao promulgated his decision through a Central Committee’s circular known as the “5.16 Circular.” Nine days later, on May 25, a poster displayed a warning at Beijing University that the Revisionists controlled the school. By
Mao's order, the poster was read over public media nationwide. By doing so, Mao formally proclaimed the beginning of the Cultural Revolution. In response to Mao's call on May 29, the first Red Guard was organized in the Tsinghua University Attached High School (Gao & Yan, 1986, p.40). Wang (1999) described the Red Guards by saying, "They were basically a destructive force, which had enormous capacity to disturb and paralyze the existing system but little thought about how to reform it" (p. 197).

During the Cultural Revolution, the MOE ceased functioning for seven years. Most schools closed during 1966 and 1967 (Kwong, 1988). The traditional academic-based entrance examination was abolished at all levels of schooling. Education in both the elementary schools and secondary schools was cut from six to five years. Classroom learning had to be combined with work in the fields (Wan, 2001). The administration of schools was moved from the hands of "bourgeois intellectuals" to the committees made up of local workers, soldiers, peasants, students, and teachers who were sympathizers of the Cultural Revolution. Jiang (2000) describes the Cultural Revolution as troubling times in China where "heaven and earth switched places" (p. 24) for millions of Chinese people.

In 1973, in order to accelerate the Cultural Revolution, Mao Zedong directed the spearhead at Confucius, the symbolic image of traditional Chinese culture. Throughout the nation a movement criticizing and denying Confucianism began (Sun, 1996, p.3). Moral education in secondary schools became distorted by promoting only the Proletarian Revolution (Sun, 1996, p.3). The feature of moral education activities in secondary schools then was: "participating in Class Struggle activities, criticizing and fighting against 'selfishness (or egoism)', and studying the Quotations of Chairman Mao
and applying them to the daily life” (p.3).

In a study of the history of the educational system in China from 1949 to 1989, Li (1990) stated that, “Moral education is clearly for the benefit of the government rather than for the individual person (p. 159)” referring to the idea that the good of the country comes before the good of the individual.

1978 – Present: Restoration Movement

In 1976, the ten-year Cultural Revolution drew to an end along with the passing away of Mao Zedong. China began to retreat from some of the extremes of previous years. Education once again became regularized. In December 1978, the 3rd Plenary Session of the 11th Central Committee of the Chinese Communist Party was convened. In the session, the political jargon “Take Class Struggle as the key link” was officially revoked. A modern socialism became the new direction of the country.

After the Cultural Revolution, it appeared urgent to establish a new social order. A series of “restoration movements” were undertaken in all aspects of the society (Sun, 1996, p.4). A four-fold approach was used to introduce the restoration of moral education in secondary schools in China in this period of time. They were: 1) Establish the framework of moral education for school system; 2) Develop and revise the content of the moral curriculum; 3) Reinforce patriotism education; and, 4) Improve methodology in moral education by introducing new concepts and models.

Establish the Framework of Moral Education for School System

In August 1988, the MOE mandated the “Plan for Moral Education in Secondary Schools (trial version).” Chen (2004) indicated that, “This was considered the first time that China had a ‘structured schema’ for moral education after the Cultural Revolution.”

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The contents of the Plan includes: 1) The goals of moral education; 2) The contents of moral education; 3) Implementation methods; 4) Student evaluation; and 5) Moral education administration and management. The Plan clearly defined that, “moral education is ideological and political education, character education, and psychological education.” During the Cultural Revolution, moral education was called “political education” (Sun, 2000, p.8). Such a definition changed the predominant position of political education in moral education. The plan marked a new beginning of moral education by rectifying and standardizing moral education at secondary schools in China.

The plan also stressed that moral education must be implemented under the theoretical guidelines of Marxism-Leninism, Mao Zedong Thought, and Deng Xiaoping Theory to cultivate the new generations and the contributors for socialism China. In addition, the plan prescribed the goals of the moral education as to foster the young generations with *four* important qualities including having lofty ideals, moral integrity, a good education, and a strong sense of discipline.”

In the plan, the moral education curricula for junior high school level students covered Patriotism Education, Collectivism Education, Socialism Education, Idealism Education, Moral Education, On-campus Labor Education, Socialist Democracy Education, Law Obedience Education, and Personality and Psychological Quality Education. The moral education curriculum for senior high school level students was basically the same as that of the junior high, but only with Marxism Philosophy and an Off-campus Labor Education being added.

Moral education was an “umbrella” term encompassing almost every perspective of what good qualities a person should possess in a socialist society.
The plan also clarified and redefined the responsibility of moral education administration in secondary schools (Sun, 2000, p.9).

*Develop and Revise the Content of the Moral Education Curriculum*

In 1985, the MOE rearranged the curriculum for moral education in secondary schools. The respective moral education curriculum for grades 7 to 12 was: Citizenship (7th grade), Brief History of the Socialist Society Development (8th grade), Overview of the Socialism Construction in China (9th grade), Scientific Perspective on Life (10th grade), General knowledge on Socialism Economy (11th grade), and General Knowledge on Politics (12th grade) (Chen, 2004). Chen (2004) indicated that, the moral education class in the secondary schools was entitled Politics Class (*zhengzhi ke*) until the MOE changed it into Ideology & Politics Class (*sixiang zhengzhi ke*) in 1985. The rectification of the name of the moral class revealed that the government might attempt to moderate the tone of the politics in moral education overly emphasized in the past.

In 1999 (June/13), The Central Committee of the Chinese Communist Party and State Council announced a joint circular entitled “Decision on Deepening Educational Reform and Promoting Quality Education.” Part of the circular read,

The Schools at all levels and by all types must place more emphasis upon moral education by following the guidelines of Marxism-Leninism, Mao Zedong Thought, and Deng Xiaoping Theory… We should strategically carry out the education on: patriotism, collectivism, socialism, the traditional Chinese excellent heritage and the Communist revolutionary heritage, idealism, morality/ethics and civilization habits, the history of modern China, general domestic conditions, current national and
international situations, democracy and rule-by-law.... We should inherit the traditional Chinese excellent heritage, meanwhile, we should also actively draw on the experiences of the other advanced civilizations in the world as well (Article 1-3).

This was the first time that a traditional Chinese education became a formal government policy since the Cultural Revolution. Since then, “great deals of traditional Chinese (Confucian-related) teaching materials were published” (Chen, 2004).

In 2001 (October/17), the MOE promulgated the “Ideology and Politics Curriculum Criteria for Nine-Year Compulsory Education (revised version).” The revised criteria clearly designated the respective key-focus of moral education from grade 1 to 9. In secondary education, the respective moral curriculum arrangement from grade 7 to 9 was: Psychological Quality Education (7th grade), Rule-by-Law Education (8th grade), and National Situations & Government Policies Education (9th grade).

Reinforce Patriotism Education

In 1983 (July/2), the Propaganda Department and the Secretariat of the Central Committee of the Communist Party issued a joint circular entitled “Suggestions on Strengthening Propagation and Education of Patriotism.” The Suggestions highlighted the importance of the patriotism education and called for “stimulating people’s patriotic spirit in schools and on media by educating the people with the glorious Chinese history and civilization, and the sufferings, difficulties, and great achievements of the new China.” In August of 1983 (August/24), the MOE issued a circular entitled “A Notice Regarding Learning & Implementing the ‘Suggestions on Strengthening Propagation and Education of Patriotism’” considering carrying out the Suggestions at schools. According to the
Notice, all schools were required to “implement a widespread, profound, and long-lasting patriotism education especially for children and adolescents” (Article 1). “We must imprint the memory of the motherland on the souls of all of our children and infuse loving the motherland with loving the Communist Party and loving the socialism (also known as Three-Love, Article 2). And, “we must champion a concept that the interest of the motherland is above all and foremost” (Article 6). From then on, a movement of patriotism education has been widely developed in all schools (Chen, 2004).

Chen (2004) stated that, before 1983, patriotism education was only a part of the moral education in secondary schools. After the promulgation of the “Suggestions on Strengthening Propagation and Education of Patriotism,” patriotism education has gradually become one of the key components in school education and been permeated in the whole scope of academic and moral program.

The former President of Communist Party Jiang, Zemin (1999, June/15) addressed a nationwide education meeting saying that, “We must increasingly strengthen patriotism, collectivism, and socialism education upon the students. The ideological and political education is the soul of all education.” Such a statement summarizes the socialistic view of moral education in China.

The Setting in Yunnan Province

Yunnan Province is located in the southwest region of China bordering the countries of Laos, Vietnam, and Burma on the south (Appendix P). The autonomous region of Tibet lies to the northwest. Yunnan Province encompasses an area of 394,000 square kilometers (152,084 square miles), and is the 8th largest province in area in China. The population of Yunnan is around 42 million.
In all of China, there are 55 minority ethnic groups. Yunnan Province is the most ethnically diverse province with 25 ethnic minority groups residing within. The Province has a population of minority ethnic groups totaling 14 million people.

The topography of Yunnan Province ranges from alpine forest to tropical rainforest. Most of the land rests on the Yungui Plateau and approximately 93% of the land is mountainous region. The name Yunnan means “in the South of the Colorful Clouds.” Yunnan is also renowned as the kingdom of plant, animal, and nonferrous metal.

The area lags behind in industry and commerce because of difficulties with transportation to the area. Currently its per capita GDP is 4,637RMB (about US$556) ranking 28th among 31 provinces, and autonomous regions and municipalities under the direct jurisdiction of the Central government in China (Blue Paper on Education in Yunnan, 2002, p. 117). Yunnan Province remains one of the poorest regions in all of China although it has made significant progress economically in the last decade. The challenges of education of Yunnan Province are due not only to the diversity of the ethnics, but also due to the average annual income of the population (Yang, 2002).

The former Director of the Yunnan’s Department of Education, Yang, C. L. (1996) describes the educational challenges in the Province by saying,

The average promotion rate of junior high school graduates is about 40% all over the province. Each year, there are nearly 14 million students without the opportunity of entering senior high schools. Most of them are from countryside and have to go back there. Only 60,000 among 120,000 to 140,000 junior high graduates are able to enter the regular senior high schools, while others can only enter
specialized secondary schools, technical schools, and vocational schools (P. 136).

Yang's statement indicated that the insufficient number of senior high schools led to a "bottleneck" in the current Yunnan educational system. Lacking sufficient senior high schools is a nationwide phenomenon. It is one of the most important and urgent challenges in education in China (Green paper on Education in China, 2003, p.172).

The Setting in Kunming City

Kunming is the provincial capital of Yunnan Province located on the 2-kilometer high Yungui Plateau, and enjoys a protected location with mountains to the north, east, and west. The city is bounded on the south by Lake Dian, the largest lake in Yunnan Province.

The city of Kunming incorporates five districts including Wuhua, Panlong, Guandu, Xishan, and Dongchuan Districts. The population of Kunming is approximately 4.67 million, 6% of which are minority ethnic groups.

Principal Background

Principal A

Principal A was in his sixties. He grew up in a traditional Chinese family. He described that the traditional family education greatly influenced his life. Principal A gave credit to his father for providing him the profound traditional education in his childhood.

Principal A was a senior when the Cultural Revolution broke out. He joined the Red Guard at the time. The Cultural Revolution influenced Principal A in that he was unable
to enter the graduate school as he had planned.

Principal A has been a teacher for 25 years at the secondary level school. He attended an administrative training class from which he received his principal’s certification in his fifties. He had at least 15 years experiences in secondary school administration. He was encouraged to join the Chinese Communist Party in his late forties.

Principal A holds the highest professional credentials at the secondary school level in China. He has also received numerous awards for educational excellence during his tenure both as a teacher and as a principal. The rewards included the Advanced Teacher, Exemplary Class Director Award, Outstanding Teacher Award, and the Best Educator Award.

Principal B

Principal B was in his forties. He was born in a small township near Kunming. Both his parents were teachers. His schooling was delayed because of the Cultural Revolution. While in the second and third grades in elementary school, he was sent to the countryside to labor for a month because he came from a family of teachers considered to be counter-revolutionaries at the time. One of the most disappointing experiences of his childhood was the neighborhood children would not play with him because of his family background. In junior high school, he was encouraged to join the Communist Youth League and eventually became a party member of Chinese Communist Party in his twenties.

After teaching for a few years, he began working as the academic dean, and was later appointed to the posts of vice principal and then principal. He now has more than
ten years experience in the field of school administration.

Principal B holds the highest professional credentials at the secondary school level in China. During his tenure as a teacher and principal, Principal B has received numerous awards. He has been named Outstanding Teacher, Working Model, Distinguished Gardener, and an Advanced Educator.

Principal C

Principal C was in his late fifties. The childhood of Principal C was hard. His father was a soldier and not home often. He was responsible for much of the housework because his mother had to go to work to earn a living for the family.

Principal C was a high school student during the Cultural Revolution. He participated in a Red Guard Revolutionary Networking activity as a leader of a group of Communist Youth League members on a journey through China for more than four and a half months. As he described, it was one of his most unforgettable memories. After his graduation from high school, he was rejected by all of the prestigious national universities because the authorities suspected that his father might have joined the KMT's army in Taiwan.

Principal C eventually attended a local college and received his BA degree. He attended a principal training program where he received his principal's certificate. Principal C has more than 30 years of high school education experience including 15 years experience in high school administration. He joined the Communist Party in his early forties.

Principal C has received much recognition during his career including the Outstanding Gardener, the Advanced Moral Educator, and the Outstanding Communist
Award. Principal C also holds the highest professional credentials at the secondary school level in China.

**School Profile: A General Description of three Field Sites**

The research site selection followed the criteria described in Chapter three, Research Design and Strategy: Selection of Sample and Field Sites. The ultimate decision for this site selection was based upon what principals were selected through a comparison of sites that complimented criteria that allowed for differences in the three schools, but not extreme differences. The theoretical basis for this selection process was one of depth rather than breadth in understanding of the topic. In general, these three schools are all typical urban *public regular complete high schools* in Kunming, Yunnan, China, under the jurisdiction of Kunming Municipal Government. *Regular* refers to its academic-orientation. *Complete* refers to the school providing both three-year junior high level education and three-year senior high school level education in one school, but not necessarily on one campus.

General descriptions of these three schools are summarized below in order to present a complete picture of the contexts and settings of these three schools from which the data was gathered.

**Administration in Moral Education**

By regulation, Principals in high school are the legal representatives of the school (MOE, 1998, March/16), and take charge of the students’ moral education (MOE, 1988). In addition, every school also equips an on-campus Communist Party organization. The head of the party organization called the *Secretary (shuju)* is assigned by and directly responsible to the Communist Party. The job description of the Party Secretary in high
school is “democratic supervision.” Usually the party secretary takes charge of the school’s moral education program under the direction of the principal.

There are three mandatory on-campus moral education related sub-organizations at each school. They include the Communist Youth League (for students age 14 to 28), China Young Pioneer (for the students age 7 to 14), and the Student Union. The Communist Youth League and China Young Pioneer organizations are considered the “key components” in moral education at the high schools in China (Li, Ed., 2001, p.2174 & p.2192). Most of the school’s moral education related activities are designed and conducted through these three sub-organizations.

The Communist Youth League and China Young Pioneer play a role as a “reserve force” (Li, Ed., 2001, p.2174 & p.2192) for Chinese socialism construction and an “incubator” for future Communist Party members. The Student Union is composed of the class committee members from each class, usually responsible for organizing school wide on/off campus student activities. The China Young Pioneer and Student Union are both under the direct leadership of the Communist Youth League Committee of the school.

**Student Enrollment**

The student body size of these three schools is from 2,300 to 3,000 approximately. The enrollments ratio between senior high and junior high of these three schools is about 55:45, which means that all three senior high school programs are little larger than the junior high programs in enrollments. The teacher-to-student ratio of these three schools is approximately 1:11 to 1:15. The average student number per class at each school is around 55 to 60.
These three principals said that since the “Compulsory Education Law” was activated in 1986, their junior high schools were required to adopt the “walking admission” policy. The students enroll in the junior high schools by school districts organized by the municipal government. All residents who applied had to be accepted. However, the students who wanted to enroll in the senior high schools still needed to take the Senior High School Entrance Examination conducted by the provincial government. The schools only accept the students who reached the recruitment “score line.”

The local government regulates the number of classes and the number of students per class. By regulation, the average number of each class is about 45. The local government also would grant a policy to the schools by allowing them to recruit 15% more students than the planned index. The 15% extra-enrollment was called “adjusted index.” The students enrolled under the adjusted index category still have to meet strict regulations granted by the local government, which are: 1) Their entrance examination scores could be lower than the regular requirement score line but only to a certain degree, for example, 20 or 30 points lower; 2) the students enrolled by the adjusted index category would not be eligible to enjoy government subsidies such as full tuition payments. Such a policy explained why the size of each class was larger than what it was supposed to be. According to one of the principals, the policy was not only for accommodating the requirement of central government to enlarge the size of high school enrollments but also for improving the finance of schools.

*School Year and Class Session*

The opening-day of each semester was around September 1 and March 1. Before the school formally begins, a three-day orientation session for new teachers, new students,
and parents would be held

The students are required to arrive at the school around 7:45 a.m. and are dismissed around 6:00 p.m. There are seven class sessions conducted daily from Monday to Friday; four in the morning and three in the afternoon. Each class period is 40 minutes long. There is a lunch break between 12:00 noon and 2:30 p.m. Students are permitted to leave campus for lunch, and many of them return home during this period. The students are required to exercise in groups three times a day including a 20 minute morning exercise, five minutes eye-protect exercise, and a ten minute interval-time exercise. Teachers rotated to the classrooms. The students in the homeroom class remain together during the entire day and took all classes together in the same room except for some specialized classes such as the computer class.

*Academic and Extra-curriculum*

All three schools followed the criteria issued by the central and local government to arrange daily academic courses. In general, they were: Chinese Literature, Foreign Language (English only), Mathematics, History, Geography, Physics, Chemistry, Biology, Physical and Health Education. Most of these courses were required-test-courses of the High School/College General Entrance Examination.

All students were required to participate in club activities one afternoon per week. The clubs included a large variety of activities including English club, computer club, dancing club, literature club, all kinds of sport clubs, etc. some of which were designed and promoted by the students themselves.
Character Education Program

Two Ideological and Political Class are required weekly as a mandatory course in all three high schools. A test-course in the High School/College General Entrance Examination is required.

Field trips to “Patriotism Education Bases” were arranged every school year. A one-week military training at the military base would also be undertaken for freshmen in the senior high school. Both of the programs were mandatory and considered part of the moral education program.

All three schools had a bulletin board area along the corridor named “Moral Education Hallway” including various moral education related contents such as: Important character education related policies and regulations of both the educational authorities and the school, the propagation posters of the Communist Youth League, China Young Pioneer, and Student Union, and class and student honor rolls. Many plaques of proverbs quoted from revolutionary heroes/heroines and Communist political leaders were posted on the walls. In addition, pictures and sketched profiles of world famous scientists like Newton, Marie Curie, and Einstein were also posted either in the classrooms or on the wall of the hallways.

The Ministry of Education (MOE, 1981) issued a code of conduct for all the secondary school students in the country entitled the “Code of Conduct for Secondary School Students” (Appendix O). The complete rules were published either in the student handbook or as fliers of each of the three schools and used as guidelines to curb and evaluate the students’ daily school life. In addition, a nationwide policy entitled “The Elementary and Secondary Schools Teachers’ Professional Moral Code” (Appendix P)
was announced by the MOE in 1991. It outlines the basic moral qualities and code of conduct that all the elementary and secondary school teachers should comply with.

**Student Award**

“Three-Good-Student (san hao xue sheng)” was one of the student awards valued the most by the school, the parents, and the students in all three schools. Three-Good refers to: good academic, moral, and physical achievement. Students were selected annually for the awards. The students who were elected form each class are eligible to participate in school-level competition, and then, each of the schools would recommend their Three-Good-Student(s) to compete in the upper level conducted by the district, the municipal, and the province. Once students received the provincial Three-Good Student Awards, they would be entitled to gain extra points on their scores on the High School/College General Entrance Examination.

There are also assorted awards for students who perform well in other respects. For example, the Civilized Student Award in moral education, and the Outstanding Student Award in academic, science and technology, fine arts, or computer skills.

**Assembly, Celebration, Ceremony, and Ritual**

**Assemblies** - A weekly flag raising assembly was conducted by all three high schools. All of the school personnel and students were required to attend without exception. During the session, Students assembled by class, the National Anthem was played, announcements were made, and awards were presented. A five-minute speech is made by a student entitled, “A Speech under the National Flag” (guo qi xia de jiang hua). This 20 minutes flag raising assembly highlighted the importance of patriotism and the collective spirit.
Celebrations - There were numerous celebrations conducted including Lei Feng Day on the fifth of March. Lei Feng, 1940-1962, was a national hero of the PRC. He was noted for his devotion to communism and the New China. The essence of the Lei Feng Day was to learn his spirit of unselfishness, sacrifice, and dedication. International Women's Day on March 8th; Youth Day on May 4th commemorating a large student mass patriotic movement against the government under the control of the Warlords in 1919); Old People's Day honoring senior workers on campus on September 9th; and Teacher's Day on September 10th are designed to show respect for those honored on the day. The People's Republic of China National Day is on October 1st and a week long holiday celebrating the birth of the PRC.

The schools have many such ceremonies and an equal number of rituals that they follow. Before the school year formally begins, a three-day orientation is held for new students, parents, and new teachers. On the opening-day of each semester, a ceremony held is where principal of each school makes a speech to all of the students and faculty. At the end of the school year, the graduation ceremony is held honoring those students who had completed the course of study at the school. During the second term of the school year, a celebration honoring students who come of age (eighteen) is held at the school entitled "Coming of Age Ceremony." During the ritual, a speech is made by the principal to emphasize the responsibility as grown-ups that these students had to now assume. A ceremony is held ritually by the Communist Youth League on the 4th of May and China Young Pioneer on the 1st of June respectively every year to receive, honor, and celebrate students who became members of the organization.

In addition, the research found a written document of the MOE entitled "The
Elementary and Secondary Schools Moral Education Agenda” issued on March 16, 1998. Part of the Agenda read, “All elementary and secondary schools must comply with the ‘National Flag Law’ to establish the flag raising regulations (Article 22),” and, “On significant national festivals, memorial days, and traditional festivals of each nationality, all elementary and secondary schools ought to develop and organize various corresponding educational activities. The schools should have those activities become the schools’ norms also (Article 23).” Principal A confirmed that the secondary schools in all provinces, state-governed cities, and autonomous regions had to follow the Agenda including his school. It helped to explain the similarities among three schools on assemblies, celebrations, ceremonies, and rituals.

*Relationship with Parents*

The school’s relationship with parents of the students was intense in these three high schools. Parents meeting, telephone contact, and family visits were regular activities of the homeroom teachers in building a positive relationship with parents. Homeroom teachers were also required to complete a parent report in each student’s journal to be signed by the student’s parents. There was no volunteer program developed that involved the parents at the school.

The researcher found that, in 2001, the State Council announced a circular entitled “The Decisions of the State Council Regarding Reform & Development of Basic Education.” The circular accentuated the importance of linking school education with family education by saying “…(the schools should) build a close relationship with students’ parents through various activities and channels, for example like family visits, etc. (The schools) should also guide parents by offering them correct concepts of family
education..." All three school principals have accommodated the requirements of the central government.

**Individual Case Analysis**

The research questions of this study are: 1) What roles do high school principals play as shapers and molders of character education? 2) What core traditional Chinese, including Confucian-related, values, virtues, and principles are identified and described by high school principals as being important for character education? 3) What symbolic and cultural leadership practices do these high school principals employ to support character education? The data was collected from three sources including personal interviews, icons and artifacts (including printed materials), and observation of each principal. The data in the following section was triangulated using these three data sources to identify reoccurring themes in each individual case.

**Principal A**

*How Principal A Considered His Role as a School Leader in Character Education?*

In the interviews, Principal A described his role as a principal of the school as like a "missionary." Principal A stated that, "I need to set up the direction and the long-term goals for the school. Additionally, I also need to make plans and implement them in work. Principal A also described himself as a "pioneer." He said, "If a principal as a leader who lacks the ability or desire to innovate, the school can never have great development. A leader needs pioneering spirits." In addition, Principal A viewed his role as a principal as that of a "communicator" stating that he liked "to make my ideals, aims, and tasks known
to all…” The data also revealed three roles that Principal A addressed most often regarding his role as a principal in character education including a “character educator,” a “teacher of teachers,” and a “moral example.”

Principal A stated in the interview that,

The principal’s duty is tremendous because it’s about how to cultivate and form a person…The role of a principal is not only to develop students academically but also to develop a whole person, and the challenge is recognizing the individual differences of the students…Education should not only be primarily involved in shaping and molding our young people into future workers or citizens but also be concerned with all aspects of a person such as morally, mentally, and physically…and, moral education is above all.

During the recheck interview, Principal A stated,

I paid a great deal of attention to character education since the school was first established…Character education is a tough but imperative task….only when we (teachers) improve our own moral standards can the students have a good moral quality…but such a goal only could be achieved with the support of parents and the whole society.

The practice of interacting personally with students concerning their problems was common at the school. Principal A told of a program where troubled students were assigned to teachers and administrators who counseled with the students individually during the entire school year. Principal A indicated that over 200 students were assisted annually through this program. Teachers were usually assigned two students in the program. The program identified students with specific needs and assigned a counselor to
assist them in coping with their problems.

One of the problems in character education Principal A indicated was that,

The contradiction between the positive school environment and a negative social environment caused difficulty to the school character education... Students too often hear different voices concerning the same issues creating confusion for them... A big challenge of character education we encounter now is the negative influence of society.

The general impression the researcher left with was that Principal A not only talked about character education in words, but also genuinely demonstrated his care and concern for the students' moral development in deeds. He is dedicated to fostering a positive moral education environment on campus by employing his 'high visibility' as principal of the school and being a 'walking model' for all the students.

*Teacher of teachers.*

The second theme regarding the role of a principal in character education that emerged from the data was principal A's role as a "teacher of teachers." Principal A stressed that,

...we could only educate the students through our teachers. The moral quality of students is based upon the moral standard of the teachers. As a teacher, the moral awareness is as important as his/her academic proficiency. A principal should highlight the importance of character education among teachers and foster their moral awareness, so that the moral standard of the teachers could be improved.

At the beginning of each term, a two-day teachers' training seminar was...
conducted by Principal A. The history of the school was discussed, the rules guiding the teachers were reviewed, the management system of the school was described, and the importance of teachers as examples was also emphasized. Principal A stated that, "Being a teacher, he/she should have moral integrity… moral integrity is the core." Principal A believed that it was his responsibility to show concern for the importance of students' character education to all his teachers. Principal A said,

The main thing I do is to improve the teacher's moral integrity, and to have them permeate moral values into every course designed for the students... The moral education program of the school not only aims at the students, but also at the teachers... teachers' academic teaching skills is important, but if they are not morally strong they would not be able to positively influence the students.

In shadowing observation, the researcher found that the teachers were willing to come to Principal A to discuss concerns that they had regarding students or school related business. The teachers appeared comfortable in Principal A's presence, and even welcomed him into their classrooms. Before the flag raising ceremony, teachers were observed approaching and talking with Principal A in a casual manner. The cultural and symbolic leadership that Principal A demonstrated during the observation period reflected the emerged theme that his role as principal was a teacher of teachers.

*Moral example.*

Just as Principal A expected his teachers to be a good example, he expected himself to be even more so. He stated, "I can only exert an unobtrusive influence on the teachers with my 'character charm.'" He believed that if a leader did not have a good character
that leader would lose the respect of the followers. Principal A assumed that his “public credibility and image were important.” If one wanted to be a good example, one had to possess the ability of self-examination. He said,

I always keep a simple life pattern. I ask myself to come to the school earlier than most of the teachers and students. I dress appropriately and speak softly. I am seldom late for meeting. At night, I am still reviewing what I did in the day to find out what I did well and what I am not satisfied with, and how I will compensate for that.

During the recheck interview, Principal A summarized the importance of being a good example again when he said,

I hope to lead the teachers by setting examples, and then the teachers can do the same to their students...As a principal, I am the model of the exemplary behaviors...Principals have to practice what they proclaim so that the whole group can form a cohesive force and make the entire moral education implementations more powerful...Principals have to be a model to students, teachers, and sometimes even to parents.

The data confirmed his strong belief that being a moral example is important for him and the teachers in implementing character education practices at school.

What Traditional Chinese Values Principal A Identified and Described and Considered Important in Character Education?

Table 3 illustrates the traditional Chinese values (including Confucian related values) that Principal A arranged into the three categories of most important, next most
important, and of least importance. The analysis of the data reflected that Principal A was consistent in practice with what was expressed through the value sorting cards and interviews regarding the important values that he emphasized in character education.

Table 3

**Principal A's Value Card Sorting Results**

<table>
<thead>
<tr>
<th>Most Important</th>
<th>Next Most Important</th>
<th>Of Least Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Credibility</td>
<td>2. Ingenuity</td>
<td>2. Whole-heartedness</td>
</tr>
<tr>
<td>7. Simplicity</td>
<td>6. Faithfulness</td>
<td>7. Short-sightedness</td>
</tr>
</tbody>
</table>

Note. 1. The Principal was asked to rate 23 value cards including traditional Chinese (Confucian-related) values by weighing their importance. 2. See the values in Chinese at Appendix K.

Principal A considered *honesty* (sincerity, truthfulness) and *credibility* the foundation for character education. He said, “We can only talk about other virtues and merits based upon *honesty* (sincerity, truthfulness) and *credibility*...Doubt is created when these two virtues are absent.” He also emphasized the importance of *filial piety* when he said,

If a person shows no ability to respect, to love, or even to forgive his/her parents, he will lose his/her credibility to be a trustworthy person in the society.” He also stressed that, “Only if the family runs smoothly will the whole country run..."
smoothly. Filial piety is the kernel essence to family...Honesty (sincerity, truthfulness), credibility, and filial piety are considered three of the most important moral qualities.

Other values were mentioned less frequently, but still received emphasis from Principal A. He indicated that people should conduct themselves properly, behave with proper decorum, be of humble spirit, and be willing to examine themselves.

*What Symbolic and Cultural Leadership Practices Principal A Employed in Character Education?*

Principal A, in developing the moral culture of the school, has documented and published a booklet entitled “Students Must Read”. The content of the booklet includes: school history, school motto, student’s code of conduct, student’s daily behavioral norm (both national version issued by the MOE and the school enforcement rules and regulations), teacher’s professional moral code (national version, MOE), student’s awards and punishments regulations, evaluation and competition policy, campus security policy, class norms, and public facility use and management policy.

Principal A has also developed a set of goals of the school regarding character education and had these goals compiled in the “Students Must Read” handbook and posted them on a wall as well. Part of them read, “Learning to be a good person then a useful person, and eventually a person with both character and intelligence.” The guiding concept of character education is: “To carry out Communist Party’s education policies thoroughly, to improve the education quality, and to take care of every single student.”

Symbolic and cultural leadership refers how a principal shapes and molds the school moral culture and what values a principal symbolically highlights in leadership practices.
to draw the attention of students, teachers, and parents. Earlier in this chapter, many
examples of these three principals’ symbolic and cultural leadership practices were
described (See School Profile - A General Description of the Field Sites). In principal A’s
school, for example, students were organized to visit designated Patriotism Education
Bases every school year; all the freshmen of senior high school were required to accept
one week military training by the Army, a weekly flag raising assembly, and the student’s
“Speech under the National Flag” were regularly conducted; during the “Coming of Age
Ceremony” the students would be required to swear an oath called “One Red Heart and
Two Preparations” (One red heart referred to love the motherland, the people, and the
socialism and the two preparations referred to the either preparing to continue one’s
education, or preparing to contribute to the country by becoming a qualified worker); In
addition, on specific occasions or during significant national festivals and memorial days
like the school opening ceremony, graduation ceremony, the admittance rituals of the
Communist Youth League and China Young Pioneer, and the Lei Feng Day, the principal
hosts the ceremony. All of these programs and practices were designed to develop the
school culture and to highlight the values the principals wanted to enforce and instill in
students’ character education.

During the shadowing observation, Principal A was observed entering various
classrooms and interacting with the teachers and students. His genuine concern for the
students was reflected by how he responded to the students he encountered as he walked
the hallways or entered a classroom. He always appeared to have patience for anyone
with whom he interacted. The students and teachers also showed respect to him.

The most important moral qualities principal A believed that a student should
possess were *honesty* (sincerity, truthfulness), *credibility*, and *filial piety*. He said that he highlighted those values in most of his speeches to the students and the teachers on various occasions.

Principal A highly valued the importance of communication by saying,

A principal should communicate well with the teachers and the students, and care for their demands sincerely. We need to combine what teachers and students need with what we anticipate them to do...only sincere and effective communication brings us shared visions, values, and beliefs.

Being exposed to the question concerning what a principal’s role in character education was like, Principal A emphasized his role as a moral example. He said, “Principals have to practice what they proclaim so that the whole group can form a cohesive force and make the entire moral education implementations more powerful.” Principal A highlighted both “setting shared values” and “being an exemplary” as the two most important elements in quality character education.

The data also revealed that patriotism was the core element of most of the symbolic and cultural leadership practices in character education of Principal A. According to Principal A’s definition, patriotism referred to “loving your motherland, being loyal to your country, and feeling proud of being a Chinese.” Patriotism focused education permeated almost all the character education related activities and programs at Principal A’s school. In the interviews, Principal A implied himself as a “patriot.” He believed that “patriotism education was important in character education.” In addition, he highlighted the importance of “patriotic spirit” in most of his symbolic leadership behaviors.
Principal B

How Principal B Considered His Role as a School Leader in Character Education?

Principal B considered character education work for a principal extremely "challenging." Principal B emphasized the importance of character education when he said, "Moral education is the focal point of our education. If we fail in character education, math, science would mean little to students." When Principal B was asked what role he considered important in character education, he expressed "The role of a principal is to bring every factor together to build a positive moral climate for character education at school."

Principal B indicated that his role as a principal in character education was to "highlight what is important, and activate all the teaching staff to go for it." He believed that the character education program should be "constantly stressed by the teachers in all aspects of the educational program permeating the entire culture of the school." Teachers were expected to wholeheartedly fulfill their duties to their students and constantly improve themselves at Principal B’s school. Principal B indicated that one of his central tasks as the principal was to "improve the quality of the teachers in moral teachings." He also stressed, "We asked our teachers to seep character education into all school academic activities and pay attention to the students’ moral formative process and mental health."

A unique comment merited attention when Principal B said, "In part, I am an explorer who study and seek hard for creating a proper moral education environment that suits the reality of our school and the present society." It was Principal B’s idea that,

We should take things into consideration scientifically in our moral education...crux
of the matter is to put the scientific based knowledge into actual practice...character education is not a ‘guess work,’ it is tricky to develop moral programs basing upon our common senses only... Academic achievement and moral development necessitate a basis in research and fact.

He stated further, “A school leader should constantly read, study, and seek new knowledge.” Principal B summarized his idea by saying, “A principal is also, in part, a student learning is an endless journey. A principal needs to keep a ‘humble mind’ to constantly explore the new knowledge and pursue the truth.”

When Principal B was asked what leadership role he considered the most important in character education as a principal, he responded by saying, “A moral example.” He further elaborated,

Both the principal and the teachers should set good examples for the students. Without being exemplary, principal and teachers cannot create an atmosphere of respect. No respect, then no leadership. The principal and teachers should develop the students’ moral awareness by providing an example for students to emulate.

Principal B stressed the importance of practicing morality as well as teaching morality. He said, “The only way to evaluate moral quality is not by what one says but what one does. Only teaching moral values verbally, is useless. Additionally, you need to demonstrate the moral value in your actions.” The importance of being an example repeatedly occurred in Principal B’s conversation. He emphatically stated, “Being a principal, ‘walk your talks’ is the only way to make you a qualified principal in character education.”
What Traditional Chinese Values Principal B Identified and Described and Considered Important in Character Education?

The second research question of this study relates to the traditional Chinese values that a principal identifies, describes, and considers important in character education. Table 4 illustrates the traditional Chinese values (including Confucian related values) that Principal B arranged into the three categories of most important, next most important, and of least importance.

The analysis of the data showed that Principal B considered diligence, love to learn, and self-faithfulness three of the most important quality for the students. He said, “These three merits...are the essential basis for a student to be able to stand on his/her own feet in the society in the future...being a student, he/she should bear these qualities first.” He further elaborated, “Being a high school student, by nature, studying diligently is his/her first duty.” Thus, he placed diligence as the most important quality a student should acquire. Principal B’s explanation for his placing the importance upon the quality of self-faithfulness in character education summarized by the researcher was that, self-faithfulness creates strength. The purpose of education is to cultivate a “responsible doer” and “independent thinker.” Without self-faithfulness, hardly can a person be responsible and independent.

Principal B also indicated that it was difficult for him to make distinction by importance among those values. He considered all of the values shown in the value cards were important for students’ character building.
Table 4

**Principal B’s Value Card Sorting Results**

<table>
<thead>
<tr>
<th>Most Important</th>
<th>Next Most Important</th>
<th>Of Least Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Diligence</td>
<td>1. Oblige to one’s duty</td>
<td>1. Courage</td>
</tr>
<tr>
<td>2. Love to learn</td>
<td>2. Whole-heartedness</td>
<td>2. Reciprocity</td>
</tr>
<tr>
<td>5. Respect nature</td>
<td>5. Conserve</td>
<td>5. Credibility</td>
</tr>
<tr>
<td>7. Loyalty to one’s responsibility</td>
<td>7. Self-examination</td>
<td>7. Honesty (sincerity, truthfulness)</td>
</tr>
</tbody>
</table>

**Note.** 1. The Principal was asked to rate 23 value cards including traditional Chinese (Confucian-related) values by weighing their importance. 2. See the values in Chinese at Appendix K.

Principal B also assumed that a traditional Chinese moral heritage was important in current character education at schools. He indicated that, Character education begins in the family and is later further influenced by the school and society. Even though the traditional Chinese culture has been destructively impacted by Cultural Revolution, “the traditional Chinese moral values are still preserved in most of the families in the society” The collectivism-oriented moral education program implemented in the past two decades was criticized to be “somewhat too abstract, lofty, and futile” because it is too “distant from the reality of the students’ daily lives.” The traditional Chinese moral teachings tend to be more individual-oriented and closer to students’ daily lives, so that it could be
considered an appropriate complementary method in implementing students’ character education at schools.”

*What Symbolic and Cultural Leadership Practices Principal B Employed in Character Education?*

The symbolic nature of Principal B’s leadership was reflected in all of the activities of the school, expressing what he valued and believed to be important. Principal B asserted that a principal should assume the responsibility to “activate” the teachers to dedicate to developing a positive moral school culture by setting a “good example” for them. He indicated that, “in the past the entire aim of the character education program was to develop the student’s awareness of the socialist’s principles and patriotism.” Now, however, “the emphasis is more upon the individual’s moral behavior.” He also highlighted the importance of holding a “scientific attitude” toward character education in both contents and methodology.

Considering his leadership style in character education, Principal B described,

… being ‘democratic and open’ is the style I prefer… I ask myself not to be too subjective and should always listen to the different voices from the students, teachers, and parents. I should listen to them carefully and intensively, and always keep an open and tolerant attitude… a moral leader must have a quality to uphold the attitude of respect.

Such an assertion upon a democratic and open leadership style symbolically demonstrated in most of the interactions between Principal B and his students and the faculty. The “democratic and open” leadership style with an emphasis on the attitude of “respect” were two prominent values that principal B symbolically highlighted in daily
leadership practices in character education at schools. While shadowing Principal B, the researcher observed him interacting with teachers and students. The mutual respect between these people and Principal B was evident in their language and gestures. He was welcomed into classroom, and greeted warmly in the hallways by teachers and students alike.

The data collected revealed that *patriotism* was one of the most important elements comprising the symbolic and cultural leadership practices in character education of Principal B. At Principal B’s school, patriotism focused education permeated almost all the character education related activities and programs employed to develop the culture of the school and to highlight the values the school wanted to enforce and instill in the character education of students. It reflected what Principal B once stressed during an the interview that “to students, studying hard is a kind of patriotic behavior...the ultimate purpose of learning is to contribute to your country.”

*Principal C*

How Principal C Considered His Role as a School Leader in Character Education?

Principal C said, “A principal should be a comprehensive *developer* for school vision, mission, philosophy, methodology, and moral ethos.” He also portrayed himself as a *navigator* by saying, “While leading a school, the principal is a navigator who must know where he is going, and what the direction he is taking.” Principal C summarized his responsibilities as a principal in character education that, “Moral education is part of my central work at school as a principal. We lay great emphasis on students’ moral development in school education...The core of moral education is to educate a student to
be an upright person who loves his/her country, loves his/her people, and fulfills his/her responsibilities."

Besides developer and navigator, Principal C has used terms such as visionary, pioneer, standard-setter, and moral example to describe his role as a principal in character education. He said, "Actually, all of these metaphors are suitable to depict my job as a principal in character education."

Principal C said that a principal must be a "visionary who has vision of the long-range plan for a school in developing moral programs." A principal also needs "a pioneering spirit" to embrace the change, boldly open the path, and provide direction for the school. Principal C also emphatically stressed that a principal should "be all that a principal can be" within the bounds of doing what is right for the school. He said, "My role as a principal is to be that navigator with a pioneering spirit." As for a standard-setter, he said, "I make the goal and set up the standards, and, I encourage and mobilize all of the teachers and students to achieve the goal together...the goal and the standards are supposed to be practical, but always aiming higher." "Last but not least," Principal C emphatically stressed, "Once an ethical standard is established, it demands a principal to live and defend." In character education, "we should practice those values we proclaim and influence others through modeling." He elaborated by saying that "I cannot ask others to do what I am unwilling to do. I have to follow the moral values I proclaim." He continued by providing an example, "If I am a desultory principal, I cannot ask others to be punctual...When I have a meeting, I will surely be there five minutes early." The importance of being a good example was expressed in his words when he stressed, "If we want our students to learn moral values, we'd better set up positive examples around
them.” Principal C further underlined “modeling” to be the most important way to teach moral values. He stressed, “Therefore, we put great emphasis on the ‘power of good examples’ in moral education.” Principal C did not believe that a principal could administrate a school effectively without being a good moral example to the students and teachers, especially in character education. He said in a later interview rechecking this value, “A principal should learn how to conduct himself morally first, then, he/she could earn the respect, especially trust from others.” Principal C also constantly stressed the importance of teachers’ being a moral example. He said, “Teachers should influence and educate the students by setting a good moral example.” The idea of Principal C was that teachers have to deal with their responsibility as character educators also. His concern with teachers’ moral quality was expressed by proposing an inspiring question, “How can we expect a teacher without good moral quality to teach values in character education?” Further elaboration related to this issue made by Principal C was,

As a principal, I considered myself as a role model of my teachers...I need to demonstrate good moral behaviors in order to win the trust and respect from the teachers...if teachers are inconsistent between what they are saying and what they are doing, the students will not respond positively to what the teacher try to convey in their moral teaching.

Principal C considered a principal was the “key person” in character education. A principal needed to establish a respectable moral image in front of the students. He also believed that good academic teaching should embody successful moral education. Both principal and teachers must be good moral examples to students. Principal C summarized by saying, “The power of the example is ‘immeasurable’ in character education.”


What Traditional Chinese Values Principal C Identified and Described and Considered Important in Character Education?

The second research question of this study relates to the traditional Chinese values that principal considered important in character education. Table 5 illustrates the traditional Chinese values (including Confucian related values) that Principal C arranged into the three categories of most important, next most important, and of least importance.

The data indicated that Principal C considered patriotism, Loyal to one’s responsibility, and social ethics three of the most important moral qualities a student should possess.

Principal C said, “...love for your motherland should be the motivation to do everything...and loyalty to one’s responsibility is the key performance to demonstrate one’s love for the country.” When Principal C was asked why social ethic was important to the students’ characters, he said, “virtues make a good person and social ethics make a good citizen.” He asserted that the purpose of character education is “not only to cultivate a good person but also to shape and mold a good citizen for the society and the country.” This assertion derived from the concept that human beings are destined to be social creatures and we “need to learn how to live along with each other in an appropriate manner.” Principal C further elaborated by proposing a question, said, “Without social ethics, how can a person be considered educated or civilized?”
Table 5

Principal C’s Value Card Sorting Results

<table>
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<tbody>
<tr>
<td>2. Loyalty to one’s responsibility</td>
<td>2. Creativity</td>
<td>2. Imagination</td>
</tr>
<tr>
<td>5. Love to learn</td>
<td>5. Etiquette</td>
<td>5. Not greedy</td>
</tr>
<tr>
<td>7. Self-faithfulness</td>
<td>7. Wholeheartedness</td>
<td>7. Reciprocity</td>
</tr>
<tr>
<td>8. Caring about Others</td>
<td>8. Respect for time</td>
<td>8. Respect for time</td>
</tr>
</tbody>
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Note. 1. The Principal was asked to rate 23 value cards including traditional Chinese (Confucian-related) values by weighing their importance. 2. See the values in Chinese at Appendix K.

In addition, Principal C emphasized the importance of honesty (sincerity, truthfulness) by saying that, “I think honesty (sincerity, truthfulness) is the foundation for a person to behave... a person loses honesty such a quality will end up being ‘doomed.’” He also pointed out that since the Open & Reform policy was initiated, the school had encountered many severe challenges in character education, for example, like “money worship” and “double standards between school education and social reality.” To strengthen the character education in both school and society, even the family was getting more and more urgent and important.

What Symbolic and Cultural Leadership Practices Principal C Employed in Character Education?

The principal is seen as a leader who is responsible for shaping and molding the cultural characteristics of schools (Seyfarth, 1999, p. v). In order to build a culture of
excellence in a school, the leader should explore and document the school’s history, develop a set of core values that comprise the shared covenant for the school, identify and celebrate special people, and use ceremonies to enhance the meaning and significance of teaching (Deal & Kennedy, 1982.)

Like what was mentioned above, Principal C has documented and published a booklet entitled “Moral Education Handbook.” The content of the handbook includes: School history, school motto, student’s code of conduct, student's daily behavioral norm (both national version issued by the MOE and the school enforcement rules and regulations), teacher’s professional moral code (national version, MOE), student’s awards & punishments regulations, evaluation and competition policy, campus security policy, class norms, and public facility use and management policy. The “Moral Education Handbook” was handed out to every single student on campus. In addition, Principal C developed a set of goals for the school regarding character education, compiled them in the “Moral Education Handbook” and posted them on the wall as well. Part of them read, “Character first and foremost!” “Everything we do, we do it for students!” and “Loving our motherland, ‘valuing’ science, pursuing democracy, and striving for progress are our glorious heritages.”

Apart from all these written regulations, principal C was also sensitive to the symbolic implications of all his behaviors and actions. The symbolic nature of Principal C’s leadership was reflected in all of the activities of the school expressing what he valued and believed to be important.

Various assemblies, celebrations, ceremonies, and rituals have been employed by Principal C to shape and mold the school moral culture and to convey the values the
school or the principal considered important. Earlier in this chapter, many examples of these three principals’ symbolic and cultural leadership practices were described at length (See School Profile - A General Description of the Field Sites). For example, students will be organized to visit designated Patriotism Education Bases every school year; freshmen in the senior high school are required to accept one week on-site military training by the Army; a weekly flag raising assembly and the student’s Speech under the National Flag will be conducted; and on specific occasions or during significant national festivals and memorial days, Principal C hosted the ceremony and celebrated, recognized, and showed respect for those honored.

Principal C told the researcher that part of his daily work was walking around the campus to see what was going on about the students and the faculty and talk with them when possible. “One of my purposes for doing this is to convey to the students and teachers a message that the principal is concerned with them.” Moreover, during the process of shadowing the principal, the researcher noticed that principal C did do as he said in the interview. Principal C’s statements plus the researcher’s observation reflected that principal C was implementing his leadership symbolically with his “high visibility” and influence.

When Principal C was asked about his leadership style in character education, he responded by saying: “My style is low in tone, but high in practice. And I always keep my feet on the ground.” Regarding the most important moral qualities a student should possess, Principal C highlighted patriotism, Loyalty to one’s responsibility, and social ethics. He believed “…love for your motherland should be the motivation to do everything.” When he was asked what the role of principal in character education was, he
emphasized the importance of being exemplary.

Principal C argued that the standards set for students in character education should not be “too high, lofty, futile, or too abstract” as they had been in the past. He said, “Goals that are too ideal will cause students to lose contact with reality. We need to settle ideals that are practicable.” Therefore, “besides emphasizing on loving the motherland, loving the Communist Party, and loving the socialism,” Principal C also accentuated of the importance of “fostering students’ individual moral qualities like honesty, sincerity, politeness, fairness, respect for self and others, and responsibility.” It confirmed that the leadership style Principal C preferred was “always keep my feet on the ground.”

**Overarching Themes**

The interpretative inductive-based analysis was conducted across the three principals’ individual cases to discern and isolate the emerging over-arching themes that were common for the three cases combined.

The over-arching themes are characterizations that were common among these three high schools principals in China concerning the role of a principal in character education, the traditional Chinese values commonly considered important by these principals, and the symbolic and cultural leadership practices they commonly demonstrated in character education. The overarching themes described and explained the data, and fit the pieces of data together in a holistic way to present a composite leadership portrait of the three principals.
What Roles do These Three High School Principals Play as Shapers and Molders of Character Education?

Character Educator

In summary, the role of these high schools principals is character educator not because of implementing government moral education policies conscientiously and effectively but of their genuine concern with the moral development of the students.

Education is character formation. The schools are powerful places to provide character education because they have the unique opportunity to teach and enforce the values (Huffman, 1994). A society needs character (or values) education to keep itself intact and maintain social order. If a school is a place to shape and mold the character of students, then, a principal as the key-person of a school shall assume the responsibility to create a positive milieu for character education. These three principals all recognized the cultivation of students' character and integrity was one of the central tasks for them as schools' leaders.

These three principals all had a strong conviction that their role as a school leader was as a character educator. And, by examining their symbolic and cultural leadership practices, they also articulated and acted like character educators. Therefore, this finding concluded that the role of these high school principals was that of a character educator.

Being a Moral Example

Being a moral example emerged as an over-arching theme in the inquiry of exploring the role(s) of the high school principals in character education in this research. All three principals viewed being a moral example to the students and the teachers was
the most important role and the quality for a principal as the leader of a school in character education.

Principal A addressed the importance of his role in character education as a good example to teachers, parents, students, and the community by saying,

I always keep a simple life pattern. I ask myself to come to the school earlier than most of the teachers and students. I dress appropriately and speak softly. I am seldom late for meetings...I hope to lead the teachers with my personal 'character charm,' and then, the teachers can do the same to their students.”

He went on to say that,

Leaders have to practice what they proclaim so that the whole group can form a cohesive force making the entire community more powerful...a principal has to be an educator, a teacher of teachers, and most importantly, a moral example.

The most important role of the principal in character education expressed by Principal B was also being an example to the faculty, staff, and students. He stressed,

First, I think, both the principal and the teachers should set good examples for the students. Without being good moral examples, principals and teachers cannot create an atmosphere of respect...no respect, then, no leadership...Both the principal and the teachers should behave themselves morally to provide good moral examples for the students.

Principal C stressed in the interviews when he was asked what leadership role he
considered most important in character education by saying that,

Being a principal, I practice what I said and influence others through my behaviors…For example, if I am a desultory principal then I cannot ask my students and teachers to be punctual. When I have a meeting, I will surely be there five minutes early…As a principal, I have greater opportunity to influence others using language, gestures, and actions. The only question is what kind of language, gestures, and actions we choose to use. In fact, I found that my actions always spoke louder than my words.

Principal C did not believe that a principal could demonstrate good leadership in character education without being a good example. He said, “Students and teachers follow the example of the principle instead of his/her talks in moral teachings…The power of the example is ‘immeasurable’ in character education.”

In summary, these three principals considered that the most important responsibility for them in a school’s character education program as school leaders was to become a moral example for the students and faculty. They asserted that ‘actions speak louder than words,’ and, a principal should ‘walk his/her talks’ to earn the credibility and respect from the students and the subordinates.

What Core Traditional Chinese, including Confucian-related, Values, Virtues, and Principles are Identified and Described by These High School Principals as being Important for Character Education?

Value Card Sorting Results

Principal A is the oldest among the three principals. He was 23 years old when the Cultural Revolution began. He was not greatly influenced by the Cultural Revolution in
pursuing his education except not being able to enter graduate school, for all of the schools were shut down at that time. Principal B is the youngest among the three principals. He was seven years old at the beginning of the Culture Revolution and considerably influenced by such a political movement in his school-age years. Principal C was 21 years old when the Culture Revolution broke out. Even though Principal C was a Red Guard member and a member of Communist Youth League, he was rejected for admission by all the prestigious national universities because the authorities suspected that his father might have joined the KMT's army in Taiwan.

The brief summary above concerning these three principals' experiences during the Cultural Revolution, in part, helped to understand and explain the traditional Chinese values these three principals identified and described in the process of both value card sorting and in-depth interviewing.

Each of these three principals was asked to rate and rank a set of value cards by what they considered important in character education at schools. The value cards were prepared by the researcher, and included 23 traditional Chinese (Confucian-related) values. Tables 3, 4, and 5 revealed *love to learn* and *loyalty to one's responsibility* were the only two traditional Chinese values these three principals shared in common by comparing the most important seven values they rated. In addition, Principals A and C shared *honesty* (sincerity, truthfulness) and *filial piety* in common among the seven most important values. Principals A and B shared only *diligence* and Principals B and C shared only *patriotism*.

However, a general impression left to the researcher was that most of the traditional Chinese values the principals identified and described seemed rootless, somewhat
shallow and empty to the researcher. Such a phenomenon might be caused by the following reasons: First, traditional Chinese moralism has been downplayed at schools by the government since the establishment of the People’s Republic of China in 1949. Second, the traditional Chinese moral heritage was completely removed from the formal educational system during the ten-year Cultural Revolution from 1966 to 1976. And, third, these three principals, one way or the other, were hindered from receiving a systematic education of traditional Chinese moral values at schools when they were young, which might cause their lack of profound understanding to the precise and kernel meanings of those traditional Chinese moral values.

Traditional Upbringings and the Cultural Revolution Impact

China’s turbulent political history has created more than the usual gaps between birth cohorts. Some people believed that the cohort affected the most was the one whose members were born from the late 1940s to early 1950s (Jiang & Ashley, 2000). These three principals all considered being greatly influenced by the Cultural Revolution on their subsequent life path. One way or the other these three principals’ education had been interrupted by such a political chaos, but they also expressed that they had had many other valuable experiences during the hardship.

Despite the differences in their personal experiences, the different family backgrounds, and the differences in their ages, these three Principals shared a common traditional Chinese upbringing during their childhoods. The values they held dear to their lives might appear to be different, but what was ingrained in each of their spirits apparently was a love for their country and families. Each of these three principals has overcome hardships in their lives and credited much of their success to the experiences of
their family education. The sorting cards used to rate the values these three principals considered important in character education somehow succeeded in identifying the impact of the Chinese culture upon these three principals. Variance existing in their evaluation of the importance of these traditional Chinese values was minimized by the maximizing all of those values in developing the characters of these principals.

The over-arching theme to be considered here is the importance of the Cultural Revolution in influencing tradition Chinese values, and their impact upon the younger generations in China. Many questions will have to be raised regarding this issue, and its future impact on the character education program at individual schools throughout China. These three principals held the traditional Chinese values dear to their lives, and credited much of their success to the experiences of their traditional family education. That they were principals at some good quality high schools in China spoke loudly concerning what type of individuals the educational authorities in China seek to lead the schools. The question is, “What will the future hold?” These principals succeeded despite the Cultural Revolution, but will future school leaders succeed in developing the characters of the students in their charge because of the impact of Cultural Revolution?

*What Symbolic and Cultural Leadership Practices do These High School Principals Employ to Support Character Education?*

School culture includes values, symbols, beliefs, and shared meanings. It is an invisible flow of beliefs and assumptions that gives meaning to what people say and do. School culture is reflected and transmitted through symbolic language and expressive action (Deal and Peterson, 1990, p.7).

The research question number three was designed to explore what symbolic and
cultural leadership practices these high school principals employed to support character education. It referred to how these principals shaped and molded the school moral culture based upon the values they held, and what values these principals symbolically highlighted in leadership practices to draw the attention of students, teachers, and parents in order to align the schools' movement, elucidate the schools' goals, and reduce unnecessary ambiguities.

These three principals all demonstrated a strong cultural and symbolic leadership in character education by reinforcing, instilling, and shaping their schools' moral culture in a given form and style provided by the government. As public schools, little discretion and individuality was allowed in character education implementation, for detailed regulations had been outlined specifically by the government both in content and methodology. Therefore, all of these three schools were considerably similar in character education implementation symbolically and culturally. All of thee three principals did consider their leadership role central and pivotal in character education at the school.

Summary

This chapter presented the data gathered from the three principals who participated in the study. The researcher presented and analyzed the data gathered via personal interviews, examination of school published documents, and personal observations during lengthy visits to each of the three school sites. Two overarching themes: the principal as a character educator; and the principal as a moral example, were identified and validated. The results of the 'value card sort' were presented; the too most important values were found to be 'love to learn,' and 'loyalty to one's responsibility.' Chapter five contains the summary, conclusions, and recommendations of this study.
Chapter V

Summary, Conclusions, and Recommendations

Summary

Chapter one described the nature of this research project. It presented a statement of
the problem; the purpose of the study; the specific research questions; the methodology;
the significance of the study; the delimitations and limitations of the study; and
terminology used in the study.

Chapter two reviewed the scholarly literature and integrated some core concepts and
research finding from your angles: The role of a school principal; symbolic and cultural
leadership; character education; and, traditional Confucian-related Chinese values,
virtues, and principles. This comprehensive literature review provided the researcher with
a foundation of knowledge, which guided the formation of his research questions as well
as the inquiry process during the data collection phase.

Chapter three outlined the methodology used in this study to gather and analyze
data. In this chapter, the researcher explained how he collected, coded, and translated the
data. The six-step model used in this study was also outlined. The tools used to aid the
research in gathering data are located in the appendix of this dissertation. See Appendix A
to M.

In chapter four, the researcher analyzed the data in an effort to create a holistic
picture; he took the context of this study into full consideration as he analyzed data from
the interviews, documents and observation in the light of the study’s research questions. The first two sections of this chapter explained the secondary educational system in China as well as a brief history of character education in secondary school in China. In the following sections of chapter four, the author first discussed his findings with respect to each participant and the three main research questions posed in this study. He then attempted to discern and isolate overarching themes that had emerged from the three cases. This effort enabled the researcher to highlight connections among and between the three cases, which led to the creation of a complete picture.

Chapter five summarizes the research questions; the purpose and significance of the study; as well as the limitations presented in this study. Some general findings are then discussed, conclusions, and finally, some recommendations for further study were offered. In closing, the author expressed his hopes that others will join the scholarly discourse involving this important topic.

**Research Questions**

This qualitative research was designed to explore character education in China. Towards that end, the researcher investigated the role of high school principals in relation to character education; the use of traditional Chinese values (including Confucian related values); and, the symbolic leadership practices employed by the three high school principals who participated in the study.

The following research questions served to guide the study:

1. What roles do high school principals play as shapers and molders of character education?
2. What core traditional Chinese, including Confucian-related, values, virtues, and
principles are identified and described by high school principals as being important for character education?

3. What symbolic and cultural leadership practices do these high school principals employ to support character education?

**Purposes and the Significance of the research**

The purposes of this study was to: 1) explore the role high school principals in China take on with regard to character education; 2) identify the core traditional Chinese values, virtues, and principles that are emphasized by the high school principals in China; and 3) describe the key symbolic and cultural leadership practices that high school principals in China use to shape and mold students’ character.

The significance of this research was summarized in the three ways:

1. This study served to increase understanding of character education knowledge and theory – specifically, as it relates to symbolic and cultural educational leadership in China. This is significant because China, a nation with the largest country in population in the world, is reportedly one of the fastest-changing place on earth.

2. This study contributed to a better understanding of China’s secondary educational system through the implementation of character education. This is significant as it provides both Chinese and non Chinese with increased insight into the topic.

3. This study laid a foundation for further inquiry involving Chinese character education – encouraging additional research in a society where research is currently limited.

**Research Limitations**

The study was limited by the following contextual situations and circumstances as
well as the participants' perceived options and abilities:

1. Since human beings are not omniscient, naturally, there was a limit to the extent to which high school principals could accurately articulate their priority core values and school leadership behaviors. Moreover, while the participants were given the option to share their authentic viewpoints to the best of their ability, some may not have felt free to openly discuss their school leadership role, values and behaviors related to character education. The choice to willingly and openly participate may have been hindered by the political environment in China.

2. The researcher acknowledges that he may have unduly influenced the direction and outcome of the study during the data collection and analysis process. The researcher's extensive experience as a student in Taiwan and as an administrator at a Taiwanese high school may have biased his perceptions. The researcher was exposed to a strong emphasis on moral behavior, discipline, and character education, which may have reinforced his view of character education. As a result, the researcher's "subjective lens view" (Glesne, 1999) might have predetermined how he designed, conducted and analyzed this qualitative research study.

3. Due to time constraints, available resources and dissertation requirements, this study was limited to three cases. The decision to include only three participants in this study restricted both the breadth and depth of information that could be obtained. However, this study was not intended to produce findings that could be generalized to typical high school principals throughout China.

4. The lack of accessible scholarly published information related to symbolic and cultural leadership and character education in China prompted the researcher to rely...
on Western sources. Inevitably, while forming the conceptual basis for this study regarding character education in China, the author adapted research literature dealing with character education from Western sources. In addition, translation and transliteration difficulties may have arisen between the Chinese and English languages; subtle ideas, concepts, and meanings may have been confused and distorted.

Discussion of Findings

The researcher organized his research findings and the discussion of his research findings in accordance with the study’s three main research questions.

Research question #1 – What roles do high school principals play as shapers and molders of character education?

Finding: The role of these three principals in China tends to be like a government agent.

Particularly with regard to character education, the participants’ roles as high school principals appeared to mirror the role of a government agent. Their responsibilities included publicizing/promoting the most recent character education related policies handed down from the government; and, subsequently implementing and protecting these government character education policies. Moreover, the principals were granted little latitude to express their individuality with respect to their professional roles related to character education. Educational authorities set the rules and regulations related to moral education and did so in a very detailed and thorough manner. For example, the kinds of assemblies, celebrations and ceremonies were predetermined in terms of content and format, as were the specific values to be emphasized at the school.
The current collective nature and culture of the country appears to have played a role in influencing principals to pay close attention to the government policies. All three principals enforced the policies of the government in a seemingly conscientious and effective way. Data indicates that the principals were guided by and in turn managed the character education program in their respective schools in accordance with the rules and regulations outlined in the government’s educational policies. As a result, the researcher surmised that the role of the three high school principals (specifically with respect to character education) was very much like that of a government agent.

Although all three principals claimed to be the members of Communist Party, the researcher did not simply assume that being a Party member is a prerequisite condition for becoming a school principal in China. However, one of the three principals remarked in an interview, “I was not a party member before, after I became the most promising candidate for the principalship, the Party Committee suggested my joining the Party, otherwise it could be ‘difficult and inappropriate’ for them to make such a decision.” The previous quote substantiates the following statement made by another participant in relation to the selection process: First, several qualified candidates are nominated by the school administration. Next, the teachers cast their votes. Before a final decision is made, the Communist Party conducts a thorough investigation of the top candidates in order to flesh out the candidate who appeared to harmonize most powerfully with the opinion of the masses.

Despite the seemingly shared tendency among principals to serve as government agents, data from this study also indicated that the three principals were highly conscientious professionals. None indicated through actions or words that implementing
Research question #2 - What core traditional Chinese values including Confucian-related, values, virtues, and principles are identified and described by high school principals as being important for character education?

Finding: Confucian-related moral and ethical teachings were considered helpful and somewhat important in character education by these three principals, but they were not found in the formal moral curricula established for the respective public high schools in China.

Teaching traditional values (or moral values), which are widely regarded as the cornerstone of virtuous and responsible conducts, has long been an essential element of education. In China, Confucianism (one of major systems of thought and philosophy developed from the teachings of Confucius and his disciples) has long been concerned with the principle of good conduct, practical wisdom, and proper social relationships. It once influenced Chinese attitudes toward life, set patterns for living and standards of social value.

In 1949, with the Communist victory, Confucianism was banned as the political leaders believed it would be an obstacle to their political reconstruction movement, and prove harmful to their influence. During the Cultural Revolution and the years that followed, many Confucian-based traditions were set aside. For example, the central Confucian institution – namely the family system, was de-emphasized. Few Confucian
classics were published, and official campaigns against Confucianism were initiated to eliminate Confucianism during the Cultural Revolution (1966 to 1976).

The end of the Cultural Revolution marked a new era, which began in 1978 with the initiation of the Reform & Open Policy. Since then, China has experienced unprecedented change. As mentioned in Chapter one of this dissertation, China is now considered "the fastest-changing place on earth—maybe in history" (Rohwer, 2001, p. 72). To reiterate, this dramatic change is threatening the core fabric of the Chinese society. The whole society has become disillusioned with both Communism as an ideology as well as the monetary focus of Capitalism. A dramatic loss of social cohesion, social order, and breakdown in communities has resulted in moral confusion and a moral crisis ("A 'soulless society'," 1995).

Again, some people in China sought to fill the moral vacuum via a 'movement' to rediscover their core values based on their ancient Confucian teachings. In short, a return to the traditional Chinese values, virtues, and principles (founded largely on Confucian-related philosophy and concepts) appeared to have made a comeback — specifically via moral and character education.

In this study, data from the value card sorting process, conducted by the participants, revealed that love to learn and loyalty to one's responsibility were two commonly shared traditional Chinese values. When considering the 23 traditional Chinese (Confucian-related) values (See Appendix K), all three principals portrayed Love to learn and loyalty to one's responsibility as qualities of utmost importance for high school students to possess.

Love to learn is a common value shared by most Chinese: The first paragraph of the
first chapter in the Confucian Analects reads, "The Master said, 'Is it not pleasant to learn with a constant perseverance and application'" (Legge, 1998, p.137)? By placing this paragraph at the beginning of the Confucian Analects, the author significantly highlighted the importance of the spirit of life long learning. Love to learn undoubtedly is one of the most important traditional Chinese values. However, love to learn can only be seen as an attitude that Confucius and his disciples advocated. It has seldom been seen as one of the core ethical teachings of Confucius. Like love to learn, loyalty to one's responsibility, is also considered an attitude or a generic value. Both values have been generally accepted and emphasized in traditional Chinese culture and the current collectivism-oriented society of China.

However, the traditional Chinese values of honesty (cheng, sincerity, truthfulness) and filial piety (xiao), also surfaced as commonly shared values among the three participants. These two values were repeatedly mentioned and highlighted by the three principals during the interview and they were placed on the list of the most important seven traditional Chinese values by two of the principals.

Both Honesty (cheng) and filial piety (xiao) are considered the most important traditional Chinese values; they comprise the kernel of Confucian ethical teachings. The Doctrine of the Mean, a classic Confucian source, highlights honesty as the essence of all other human virtues: "...sincerity is the end and beginning of things; without sincerity there would be nothing. On this account, the superior man regards the attainment of sincerity as the most excellent things" (Legge, 1998, p.418). Honesty (cheng) creates credibility (xin). Both Honesty and credibility have been considered the crux elements for keeping the society cohesive and intact in Confucian related precept.
In the *Confucian Analects*, one of the disciples of Confucius Youzi summarized his Confucian knowledge by saying, “The superior man bends his attention to what is radical. That being established, all practical courses naturally grow up. *Filial piety (xiao)* and fraternal submission! --are they not the root of all benevolent actions” (Legge, 1998, p.139)? *Filial piety (xiao)* has been viewed as one of the radical and fundamental values in Confucian moral teachings continuously transmitted and infused in Chinese society for over 2,500 years.

Together, *honesty (cheng)* and *filial piety (xiao)* comprise the core traditional Chinese moral values. Because these were repeatedly mentioned and highlighted by the three participants of this study, one can surmise that to a certain degree, they reflect some urgent needs of the current Chinese society, particularly, to restore the family system and to stabilize the society. As mentioned earlier, family, as the basic unit of the society, was de-emphasized since the Cultural Revolution. Thereby, enhancing the core traditional moral value of the family, *filial piety (xiao)*, is considered helpful in keeping families intact. If the assumption that society is losing its cohesion because of moral confusion and ‘money worship’ along with the dramatic shift from a political-oriented to economic-oriented is correct, then it makes sense to reinforcing the kernel of Confucian ethic teaching – *honesty (cheng)* and *filial piety (xiao)*.

In general, there were three agreeable opinions made by these three principals. *First*, they all assumed that the Cultural Revolution had a strong negative impact on traditional Chinese morality. *Second*, they each expressed that they were in some way “deeply influenced by traditional Chinese culture” when they were young. *Third*, they all agreed that the moral climate in Chinese society had worsened after the ‘Reform & Open’, but
acknowledged that it had shown signs of improvement over the last decade. These three principals expressed profound concern over societal ills involving adolescent crime like the effects of parents overindulging their children; too much focus on money; cheating, and a general lack of integrity. Fourth, they all emphatically stated that it “could be helpful” and “somewhat important” to teach the traditional Chinese moral values in character education at schools for those values being very “Chinese” and easily identified and accepted by students, teachers, and parents.

Last, but not the least, the researcher found that even though these three principals asserted that teaching traditional Chinese moral values “could be helpful” and “somewhat important” in character education, the Confucian-related teaching materials had not been officially employed in their schools for character education. The schools likely deliberately abstain from using “direct quotes” from the sources of original Confucian works/teachings. The researcher found no “direct quotes” from Confucian-related teachings in schools’ mission/vision statements, policies, handbooks, curricula, school rules, behavior codes, newsletters, wall plaques, or on bulletin boards regarding character education. Only a few Confucian-related articles were found in some textbooks used for the teaching of Chinese literature. The current widespread assumption that Confucianism is making a comeback in Chinese educational system may seems a bit overstated. The information revealed by these three principals during the interviews, however, strongly hint at the notion that Confucian values never died in China – they simply lay dormant awaiting the right time to revitalize. Meanwhile, this researcher somewhat acknowledges that the traditional Chinese (Confucian related) moral teachings are not the only answer to an effective character education for modern Chinese youngsters. The data shown in
this research indicates that the good sense of the Chinese people, with their vast store of historical experiences, appear poised to find a way to handle the challenging social issues of the current era – specifically using character education as a positive vehicle for change.

Research question #3 - What symbolic and cultural leadership practices do these high school principals employ to support character education?

Finding: Patriotism is an essential element of character education in high schools in China

All three principals asserted that patriotism was vital to their symbolic and cultural leadership practices. In their own ways, they each highlighted patriotism education (in the three participating high schools involved in this study) as the core element or basis of character education. Patriotism-focused education seemed to resonate in almost every aspect of character education implementation; it permeated through almost all of the curricula and student activities; it was part of the students’ daily school life; it was embedded in the culture.

During the interviews, all three of the principals repeatedly emphasized the importance of using character education to help foster and strengthen a patriotic spirit in students. In addition, the principals indicated that promoting a spirit of patriotism in their students was one of the schools’ most important educational goals. Principal A, for example, defined the function of the school as a means to “prosper the country, consolidate the cultural root, and develop real persons.” In that same vein, Principal B stated, “…to students, studying hard is a kind of patriotic behaviors...the ultimate purpose of learning is to contribute to your country.” And, Principal C seemed to summarize their
sentiments when he said, "...the love for the country and the people should be the motivation to do everything."

Government policies and documents related to moral education also referred to patriotism as the first and foremost focus in schools' character education. For example, the Code of Conduct for Secondary School Students (1981, Appendix N) accentuated 'loving the motherland' above all other behavioral requirements. Later, the renowned "Three Loves" introduced in a notice regarding learning and implementing the "Suggestions on Strengthening Propagation and Education of Patriotism" (MOE, 1983), placed 'loving the motherland' ahead of 'loving the Communist Party and loving socialism'. Then, in 1988, for the first time, an official systematic moral education plan entitled, "The Plan for Moral Education in Secondary Schools/Trial Version" (MOE, 1988), was mandated for secondary schools. It highlighted 'loving the motherland' as the first goal of moral education. In addition, among the ten codes of social ethics outlined in a government circular entitled the "Implementation Skeleton of Constructing Social Ethics" (2001, Central Committee of Chinese Communist Party), 'loving the motherland' was again rated highly – namely, as the most important code of social ethics.

Indeed, data revealed that the priority of instilling patriotism permeated almost every aspect of character education. It was emphasized in slogans, on bulletin boards, in weekly ideological and political course work, and in on and off campus activities including, but not limited to assemblies, celebrations, ceremonies and rituals. It was reiterated by the principal when he gave speeches to the student body. In the form of body language, intonation and choice of words, patriotism even seemed present during formal communication between or among the principal, teachers and students. Because the three
schools involved in this study were public high schools (run by the government) it is no surprise that they displayed many similarities in terms of their character education related activities. As mentioned earlier, the character education activities, programs and curricula were strictly regulated and supervised by government educational authorities.

During the interviews, the three principals implied that they themselves were "patriots". They expressed a belief that "patriotism education was important in character education." Furthermore, the symbolic leadership behavior displayed by all three principals appeared to stress the importance of possessing a "patriotic spirit" — such as when...

Patriotism education played a significant role in describing and explaining most of the data collected in this study. Data indicates that in their efforts to support character education, the three principals relied heavily on patriotism education as a sure way to help them direct and shape their respective school cultures. Based on their words and deeds, they all appeared to agree that the ultimate purpose of education was to serve the needs of the motherland. This seemed to be an unquestioned moral imperative in character education in all three schools. Within the current political climate, when speaking of character education in China, the connection between morality and patriotism thus appears inseparable. In short, patriotism education is apparently at the heart of Chinese public school system’s approach to character education.

Conclusion

The purpose of this study was to examine both character education programs in China’s public school system and the role that high school principals play in implementing and sustaining these programs. The study also sought to identify the
degree to which Confucian philosophy, morals, and values were prevalent in character education programs as well as the symbolic and cultural leadership practices employed by high school principals in supporting these programs. The methodology consisted of a ‘case study’ approach involving three carefully selected successful high school principals.

Through a rigorous and systematic qualitative research process within the cultural context of China, the researcher developed a symbolic and cultural leadership portrait of the high school principal to utilize in examining how principals shape and mold school culture through their leadership actions to support character education. It was through this subjective lens (Glesne, 1999), that the researcher arrived at the following conclusions:

1. High school principals see themselves as being primarily responsible for character education in their schools. To this end, they model the desired morals and values in both their personal and private lives. In effect, they see themselves to be a ‘character educator’.

2. Principals considered Confucian related morals and ethical teachings to be only somewhat important in character education. An examination of character education curriculum documents found few if any references to Confucian philosophy, morals, or values. The researcher did find that the literature curriculum in the three high schools did include some articles or readings that included Confucian thinking.

3. Of the twenty-three Confucian-values that the principals were asked to rank in order of importance, the five most important were found to be;
patriotism, love to learn, loyalty to one’s responsibility, honesty, and filial piety.

Clearly, the symbolic and cultural leadership followed by these principals was consistent with the above three findings. For example, the principals did model being patriotic and loyalty to their responsibilities. In most cases, they functioned much like a government agent, as they made it clear, that what mandated, was done. The behavior of all three principals reflected an emphasis on ‘management’ rather than on ‘leadership’. When leadership was observed, it was ‘transactional in nature. Indeed, all of the principals also made their families a priority; they were truly cultural educators, as they “walked their talk’ in both their personal and private lives.

Why is any of this of importance? Could it be due to the possibility that a moral vacuum could be on the horizon in China?

Consider for a moment, that during the Cultural Revolution (1966-1976), attempts were made to officially eliminate Confucianism thus allowing the Chinese Government to initiate Reform and Open Policy. Morals and values eventually were no longer the foundation of the Chinese society. The resultant society has become disillusioned with both Communism as an ideology and Capitalism’s emphasis on the importance of money. If Confucianism is all but dead, what alternatives do the Chinese people, as a whole, have?

Confucianism may not be alive and well within character education programs in China, but Confucianism morals and values are alive and well within the fabric of the three principals who participated in this study. It is this researcher’s belief, that the morals and values of Confucianism provide the ‘glue’ that could hold the Chinese society...
together even as change accelerates. Furthermore, since school principals still hold themselves to many Confucian morals and values and serve as ‘character educators’, school leadership is strategically aligned to lead a shift forward to recapturing the morals and values that made China the great country that it once was and tomorrow may become. Within this spirit, the researcher made the following six recommendations.

**Recommendations for Further Studies**

An inexhaustible number of further research studies can feasibly be conducted in China regarding character education. The six studies recommended here are of particular interest to this author.

1. A qualitative research study that explores the relationship between principals and the Communist Party Secretary – specifically with regard to how secondary character education programs are formed in specific regions. While the present study deemed the position of Party Secretary as having vital importance to character education, it did not attempt to define the relationship between the Party Secretary and the respective principals.

2. A historical research project that aims to identify the changes in character education policy and implementation, which have taken place in China; this project could feasibly uncover patterns related to the transformation of Chinese secondary character education policy and curriculum.

3. The author also recommends a qualitative study that focuses on how the Cultural Revolution impacted traditional Chinese values, which are currently used in character education. It would further explore the attitudes principals (working in the
Chinese educational system) espouse towards traditional Chinese values and character education programs. Invariably, this study would take a closer look at the values the secondary principals hold and consider important to character education in China.

4. Another study might be titled “The influence of collectivism on character education in the secondary schools of China.” The aim of this study would be to identify the reasons/motives for a collective culture to promote and support character education.

5. This researcher highly recommends investigating whether character education programs in China actually have a significant impact on student academic achievement. This could be a quantitative study that investigates whether a significant relationship exists between character education programs and student achievement. If so, a follow up qualitative study could investigate how character education programs influence student academic achievement. The purpose of this follow up study would be to identify aspects of character education programs in China that are meaningful and helpful to students.

6. The author’s final recommendation for further studies involves an exploration of character education in China’s rural schools. (China’s vocational secondary schools are situated in the rural areas.) If the same questions and methodology used in this study are applied to the proposed rural study involving the vocational schools of China, then one might consider comparing the findings from the rural vocational schools to the findings which emerged in the present study.

The aforementioned recommendations were prompted by questions that arose for the researcher during the data gathering process of this study. The researcher encourages
others interested in the educational system of China to engage in such research; even if it means starting from ground zero by building relationships that will permit access to the schools. The researcher hopes that others will join the scholarly discourse by producing scientific, beneficial insights with potential to expand the body of literature regarding this important topic.
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APPENDIX A

SELECTION OF SAMPLE AND FIELD SITES
Appendix A

Selection of Sample and Field Sites
(process guide)
Data Collection Step #1

Process Steps

1. Clarify the sampling ideas of purposeful sampling—Intensity (information-rich cases) and the Criterion (pre-established criteria) sampling approaches.

2. Introduce and discuss the pre-established criteria (Appendix B). Gain an agreement to proceed.

3. Participate in the Principal and Field Site Selection. Process will be conducted with Dr. Yu, Yan Jing, Vice-President of Yunnan Normal University, and Mr. Gan, Xue Chuang from International Cooperation & Intercommunication Office Education Department, Yunnan Province. All these individuals are knowledgeable and experienced educators who are qualified to participate on this study’s Selection Board.

4. The selection process results in a sample of three principals from three different high school field sites in Kunming, Yunnan, China.
Immediately After The Selection Process is Completed

1. Make notes and comments to clarify what was discussed, heard, make sense about the selection process. Address these questions:
   a. What are the main issues about the selection process.
   b. Summarize the selection process that was used.
   c. Point out anything else that was important, interesting, illuminating about the selection process.
   d. List any concerns or comments.

2. Write down any observations related in the selection process.

3. Briefly summarize any learnings from the selection process.
APPENDIX B

HIGH SCHOOL PRINCIPAL SELECTION CRITERIA
Appendix B

High School Principal Selection Criteria

1. A typical high school principal.
2. Currently functioning as a high school principal.
3. Well recognized for good performance in the character education realm.
4. Has at least 5-10 years of experience as a high school principal.
5. Professionally trained in Educational Administration.
6. "Articulate"—can describe his/her leadership approaches to character education.
7. Willing to participate in a lengthy qualitative research interview and observation process over a period of time.
8. Interested in learning and understanding more about school leadership and character education.
APPENDIX C

FAMILIARIZATION AND SITE VISIT
Appendix C

Familiarization and Site Visit
(interview and process guide)
Data Collection Step #2

Four Parts:

- Introductory meeting of the researcher and outlining the study and process.
- Obtain demographic/background information about the principal.
- Tour the school site, facilities, and observe the high school in-action.
- Collect high school profile information, documents, and cultural icons/artifacts.


1. Briefly introduce researcher’s background and experience, overview of Chung Hsin High School, description of the Ed. D Doctoral Program at the University of San Diego (to establish credibility).

2. Explain the purpose and intent of the study (focus on key definitions of the qualitative research study). Discuss the researcher’s role:
   - A doctoral student at University of San Diego;
   - empathetic reporter;
   - and, an unobtrusive observer.

3. Describe the format of the qualitative interview (including the use of the Interview Guide and the guided conversation process).

4. Indicate the expected length of each of the multiple-session interviews (2-3 hours each).

5. Discuss the conversational style, the partnership and participation notions.
6. Outline how the study site and how the principal(s) were selected.

7. Point out that the principal's help can make an important contribution to the understanding of symbolic/cultural leadership for character education.

8. Address the terms of confidentiality.

9. Explain what uses will be made of the information gathered.

10. Make a request and obtain written permission to record the interviews (tape record) and observations (take notes).

11. Clearly state that the principal's leadership ability/performance is not being assessed or judged in any manner. This study is only trying to develop descriptive "leadership portraits" of high school principals in character education.

12. Obtain an agreement to participate in the study through the completing and signing of University of San Diego's Informed Consent Form—related to the "Protection of Human Subjects" (Appendix D).

13. Ask the principal if he/she has any questions or concerns before the qualitative interview begins.

Part 2: Principal's Background/Demographic Information

1. First, would you please tell me a little about yourself and your background including education, training, and experience? (probe to obtain a summary of his/her professional educational career and experience)

2. Obtain general background/demographic information to use in narrative form (Appendix E).
Part 3: Tour of Site, Facilities, and Gathering Information on Approaches to Character Education.

1. Learn about the school’s learning environment, the people (students, teachers, and professional staff), school routine, activities, and the facilities.

2. Discuss the school’s approaches to character education.

3. Determine key aspects of the school’s culture (Appendix G).

Part 4: School Profile Information, Documents, Cultural Icons/Artifacts.

1. Collect related school profile information, documents, and cultural icons/artifacts for future examination (Appendices F and H).

2. School profile information, documents, cultural icons/artifacts.

Immediately After The Familiarization and Site Visit

1. Verify if the tape recorder worked throughout the familiarization and site visit process.

2. Make notes and comments to clarify what was observed and heard during the process.

Address these questions:

a. What are the main issues that came up during the process?

b. Summarize the information gathered regarding the principal’s background / demographic information.

c. Point out anything else that appeared to be interesting, illuminating, or important during this entire process.
d. What new questions might be considered for the next step Data Collection Step #3.

e. List any concerns or comments.

3. Write down any observations related to the process.

4. Transcribe the tapes.

5. Briefly summarize the learnings from the familiarization and site visit process.
APPENDIX D

INFORMED CONSENT FORM
Appendix D

Informed Consent Form

Consent to Participate in Doctoral Research Study

University of San Diego
San Diego, California, U.S.A.

T. C. Kao (___), the researcher, a doctoral candidate in the School of Education at the University of San Diego in the U.S.A., is conducting a research study entitled: *High school principals values and their symbolic and cultural leadership approaches to character education in China.*

I agree to take part in the study, I will be asked to participate in 5 to 6 audio-taped confidential interviews of about 2-3 hours each over a time period of approximately 6 weeks. Also, I agree to allow the researcher to accompany me during 1-2 regular school days to observe leadership and character education related activities except those that are considered to be of a confidential nature.

I understand that there might be a little risk and that I may experience some discomfort from participating in this study. A possible benefit I may derive from participation in the study may be to clarify and enhance my understanding of the assumptions and approaches I use in my leadership activities related to character education.

I understand that participation in this study is purely voluntary and I may withdraw from participating at any time without risk or any penalty.

All research records will be kept completely confidential by use of pseudonyms within the dissertation document itself including the names of principals, high schools, and school districts. My identity will not be disclosed in anyway without my written permission. There is no agreement, written or verbal, beyond that expressed in this University of San Diego’s Informed Consent Form.

T. C. Kao has explained this study to me and answered my questions about the study. If I have any other questions or research related concerns, I am free to contact the researcher T. C. Kao and/or the sponsors by using the contact information provided to me below.

I, the undersigned, fully understand the above explanations and, on that basis, I voluntarily give my consent to participate in this research study.

______________________________  ________________
Signature of Study Participant    Date
Contact Information:

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Doctoral Candidate, School of Education,
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Managing Director, Chung Hsin High School, Hsin Chu, Taiwan
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Administrator, Moral Education, Basic Education Division, MOE, China.
Tel: (86)10-676-33021 (in Beijing).

Zhang, Wan Sheng ( ) Sponsor
Director of Moral Education
Center of Central Education Science & Research Department
Tel: (86)10-62003357 (in Beijing).

Wang, Dian Qin ( ) Sponsor
Director, Oriental Moral Research Institute
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Yu, Yan Jing ( ) Dissertation Research Facilitator
Vice President
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Gan, Xue Chuang ( ) International Cooperation & Intercommunication Office
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Ren, Hua ( ) Secondary Education Division
Commission Member
Education Bureau, Kunming City
Tel: (86) 13085362316.
APPENDIX E

HIGH SCHOOL PRINCIPAL'S
BACKGROUND/DEMOGRAPHIC INFORMATION
Appendix E

High School Principal’s
Background/Demographic Information
(put into narrative form)

1. Name.
2. Date of birth.
3. Place of birth.
4. Family background.
5. Childhood experiences.
6. Early exposure to traditional (Confucian-related) teachings.
7. Formal education and administrative training.
8. Experience. Years in the educational field.
9. Special knowledge/skills:
10. Professional credentials (or accreditations).
11. Licenses.
12. Awards/Articles/Recognized achievements.
13. Career (educational), experiences with Chinese traditional (classical) values, virtues and principles.
Appendix F

High School Profile
(put into narrative form)

1. Enrollment and number of faculty and staff members.
2. Grades 1 (10), 2 (11), and 3 (12)—distribution of students in the grade levels.
3. Academic focus.
5. Facilities (buildings, architectures, recreation/sports, cafeteria, overall appearance, etc.).
7. Activities:
   - Clubs.
   - Sports.
8. Special highlights:
   - Unique focus.
   - Computer use.
   - College/University acceptance rate.
10. Partnerships with outsiders:
    - Colleges/universities.
    - Businesses/companies.
    - Community organizations.
11. The community the high school serves:
    - Population.
    - Economics.
    - Geography.
    - Transportation.
    - Safety.
12. City school district.
    - # of students.
    - # of schools.
13. Location within the City of Kunming.
Appendix G

School Culture

Background:
- History.
- Ceremonies.
- Rituals.
- Traditional celebrations.
- Classroom sessions.
- School assemblies.
- Heroes, stories, legends.

Physical Facilities:
- School buildings.
- Architecture.
- Recreation/sports.
- Cafeteria.
- Offices.

Issues/Challenges/Concerns:

Student discipline referrals and suspensions.
APPENDIX H

DOCUMENTS & CULTURAL ICONS/ARTIFACTS
Appendix H

Documents & Cultural Icons/Artifacts
(an example)

The following is a partial list of examples of the types of documents, cultural icons and artifacts that will be sought after and would be most useful in completing the research study.

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<th>Name/Description</th>
<th>Significance</th>
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<td><strong>Documents:</strong></td>
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<td></td>
<td>- Mission/Vision statements</td>
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<td>- Statements of school philosophies</td>
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<td>- School activity calendars</td>
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<td>- Curriculums</td>
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<td>- School rules</td>
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<td>- Behavior codes</td>
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<td></td>
<td>- Newsletters</td>
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<td>- Principal messages</td>
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<td>- Speeches</td>
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<td>- Published articles</td>
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<td><strong>Cultural Icons:</strong></td>
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<td>- Slogan, banners, &amp; posters</td>
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<td>- Bulletin boards</td>
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<td>- Displays of students’ work</td>
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<tr>
<td></td>
<td><strong>Artifacts:</strong></td>
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<tr>
<td></td>
<td>- Statues, pictures, photographs, &amp; videos</td>
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APPENDIX I

THE PRINCIPAL'S ROLES IN CHARACTER EDUCATION
Appendix I

The Principal's Roles in Character Education
(interview guide)
Data Collection Step #3

The Principal’s Role(s) in Character Education

Specific Research Question #1: What roles do high school principals play as shapers and molders of character education?

1. Could you tell me what’s it like to be a high school principal at your school?

2. What are your five (5) key duties and responsibilities related to character education?

3. How do you define character education?

4. How does character education fit into your high school’s overall approach to education?

5. As far as character education goes what are your top three (3) priorities?

6. There are a number of possible character education leadership roles*. Of the one(s) below, which do you play? Give examples. Are there any other character education roles that you perform? Please describe.

   · Visionary—develops a vision of what the school’s character education program can be—its potential and possibilities. Encompasses what students can become academically, morally, socially, and behaviorally.

   · Missionary—describes the mission and purpose of character education—what
the school is about, what it stands for, what its principles and values are, what the key elements of the character education program are. Answers the "why" & "how."

- **Goalgetter**—provides the goals and expectations that give the direction for the character education initiative. Identifies the desired outcomes.

- **Standard Bearer**—sets the quality or value standards used to guide and judge the effectiveness of the character education effort.

- **Architect**—prepares an organizational implementation plan for the character education program. Built upon the vision, mission, goals and standards. Outlines what steps will be taken, by when, and by whom.

- **Educator**—acts as teacher, coach, encourager, model, and supporter of the character education initiative.

- **Communicator**—clearly communicates the character education program’s vision, mission, and goals. Explains the “what”, “why”, and “how”.

- **Provider**—supports the character education endeavor with needed resources both fiscal and human—including staff training.

- **Evaluator**—assesses the results achieved in the character education program and the performance of people who deliver it. Documents and communicates this information simply and effectively

- **Others**—

*Derived from a leadership role framework for principals: DeRoche, E. F. & Williams,*

7. What is your vision and plan for character education at your high school?

8. How do you focus your leadership efforts, time, energy, and resources for character education?

9. What key challenges/issues/demands do you face in the character education realm?

10. What are the most difficult and easy parts of your character education leadership role?

Guidelines

- Ask for further clarification and elaboration.

- Ask for examples and stories if possible.

- Ask for experiences.

- Use follow-up questions as appropriate.

- Give principal(s) adequate time to think after they are questioned (wait time).

*Note:* The guiding questions ensure that all the principals in general are asked the same kind of questions during the course of the multiple-session qualitative interviews. The questions will not necessarily be posed in the exact order listed. They may be expanded upon and adapted to the context of the particular principal being interviewed.
The previous step related to “the principal’s background/demographic information leadership roles.”

_Guidelines:_

1. Allow the principal time to reflect upon what was said and learned in the past interview. Help him/her to refresh their memory.

Ask for clarification, correction, elaboration, and confirmation. This activity is for Member Checking purposes.

_Reminder_

Thank you for your precious time and the complete picture you have given me about your Leadership Role(s) in Character education.

As we discussed previously, I will be back in two weeks for a follow up interview as part of our continuing discussion. In the next step, we will focus on the Traditional Chinese Values, Virtues, and Principles emphasized in the character education process at your high school.

_Repeat:_ Assure confidentiality! And mention again that we will discuss the notes from this session during the next meeting.

_Immediately After the Interview_

1. Verify if the tape recorder worked throughout the interview.

2. Make notes and comments to clarify what was heard, make sense of the interview process. Address these questions:

   a. What are the main issues (or themes) that stuck out in the interview?
b. Summarize the information on the questions for this interview.

c. Point out anything else that appears salient, interesting, illuminating, or important in this interview.

d. What new questions might be considered for the next interview with this Principal?

e. List any concerns or comments.

3. Write down any observations related to the interview.

4. Transcribe the tapes.

5. Briefly summarize the learnings from the interview.
APPENDIX J

TRADITIONAL CHINESE VALUES, VIRTUES, AND PRINCIPLES FOR CHARACTER EDUCATION
Appendix J

Traditional Chinese Values, Virtues, and Principles for Character Education
Data Collection Step #4

Part A: Chinese Values Clarification Process (a card sorting warm-up).

1. Enclosed in the envelope provided are twenty-three (23) plastic cards, which have short written statements of traditional Chinese values, virtues, and principles.

2. Please read all of them so that you obtain a thorough understanding and an appreciation for each of them.

3. Sort the set of 23 cards into three piles, with seven cards in the most important category and eight cards in the other two piles. An introduction to the cards and samples of the cards are listed at the end of this Appendix. The categories are:
   a. Most important.
   b. Next most important.
   c. Of least importance.

4. Now, let us discuss your thinking and some of the reasons behind why you selected and assigned the various statement cards to each of the three piles.

Thank you for sharing your valuable insights.
Results of Traditional Chinese Values Sorting Process

<table>
<thead>
<tr>
<th>Most Important</th>
<th>Next Most Important</th>
<th>Of Least Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>1.</td>
<td>1.</td>
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<tr>
<td>2.</td>
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<td>2.</td>
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<tr>
<td>3.</td>
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<td>3.</td>
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<tr>
<td>4.</td>
<td>4.</td>
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<tr>
<td>5.</td>
<td>5.</td>
<td>5.</td>
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<tr>
<td>6.</td>
<td>6.</td>
<td>6.</td>
</tr>
<tr>
<td>7.</td>
<td>7.</td>
<td>7.</td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td>8.</td>
</tr>
</tbody>
</table>


Specific Research Question #2: What core traditional Chinese, including Confucian-related, values, virtues, and principles are identified and described by high school principals as being important for character education?

1. Identify the traditional Chinese values, virtues, and principles that you emphasize in your character education efforts.

2. Please define these values, virtues, and principles. What do they really mean?
   
   Provide an example of each of these items in practice everyday school situations.

3. Where do these values, virtues, and principles originally come from? Examples please.
4. How did you decide that these particular values, virtues, and principles were important and needed to have a special focus in the character education process at your high school? Are there any situational or environmental factors that make it important to emphasize these values at this time?

Review The Interview Transcripts from Step #3

The previous step related to “the principal’s leadership roles in character education.”

Guidelines:

2. Allow the principal time to reflect upon what was said and learned in the past interview. Help him/her to refresh their memory.

3. Ask for clarification, correction, elaboration, and confirmation. This activity is for Member Checking purposes.

Reminder

Thank you for your precious time and the complete picture you have given me about the key traditional Chinese values, virtues, and principles, which are emphasized in the character education process in your school.

As we discussed previously, I will be back in two weeks for a follow-up interview as part of our continuing discussion. In the next step, we will focus on Symbolic/Cultural Leadership Behaviors and Actions—which you use to support the character education process. In addition, we had agreed that I will spend some time with you to observe firsthand your leadership practices in action.

Repeat: Assure confidentiality! And mention again that we will discuss the notes from this session during the next meeting.
Immediately After The Interview

1. Verify if the tape recorder work throughout the interview.

2. Make notes and comments to clarify what was heard, make sense of the interview process. Address these questions:
   
   a. What are the main issues (or themes) that stuck out in the interview?
   
   b. Summarize the information on the questions for this interview.
   
   c. Point out anything else that appears salient, interesting, illuminating, or important in this interview.
   
   d. What new questions might be considered for the next interview with this Principal?
   
   e. List any concerns or comments.

3. Write down any observations related to the interview.

4. Transcribe the tapes.

5. Briefly summarize the learnings from the interview.
Chinese Values Cards (part of Appendix J)

Caring about others

Unselfishness

Humble

Respect nature

Loyalty to one's responsibility

Patriotism

Recip

Filial Piety

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Honesty

Wholehearted

Love to Learn

Diligence

Truthfulness to others

Self-Faithfulnes

Oblige to one's duty

Etiquette

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Chinese Value Cards

Social ethics

Justice

Courage

Not Greedy

Conserve

Feeling of shame

Self-examination
APPENDIX K

LEADERSHIP BEHAVIORS AND ACTIONS
FOR CHARACTER EDUCATION
Appendix K

Leadership Behaviors and Actions for Character Education
(interview guide)
Data Collection Step #5

Review The Interview Transcripts from Step #4

The previous step related to “traditional Chinese values, virtues, and principles”.

Guidelines:

1. Allow the principal time to reflect upon what was said and learned in the past interview. Help him/her to refresh their memory.

2. Ask for clarification, correction, elaboration, and confirmation. This activity is for Member Checking purposes.

Symbolic/Cultural Leadership Behaviors and Actions for Character Education

Specific Research Question #3: What symbolic and cultural leadership practices do these high school principals employ to support character education?

Part A: Interview Questions.

1. Approximately what percentage (%) of your time do you spend in initiating and supporting character education?

2. How would you describe your leadership style (directive/participative) and the practices that you use to guide the character education process?

3. What policies have you developed and implemented to create a school environment and culture to foster character education?

4. Does your school have a set of core values, a mission statement, or a motto that forms the fabric of and guides everyday school life?
5. How do you promote, foster, and instill Chinese values, virtues, and principles in your school?

6. Describe some of the ceremonies, celebrations and rituals you preside over which are related to character education.

7. Some people believe that it is important for the high school principals to model (or demonstrate) the core character qualities in their leadership behaviors and actions. What are your thoughts about this?

8. What kinds of formal presentations do you make for the purposes of communicating and reinforcing "good" character?

9. Do you often tour (or visit) classrooms and other key school events? Such visits give you "high visibility", what attempts do you make to foster character development in this regard?

10. From a leadership perspective, how do you guide, coach, and reward others (teachers, staff, students, parents, etc.) to continually engage in character education?

11. Leadership is inherently symbolic. What symbolic behaviors do you use to shape and mold the entire character education process?

12. From your experience what have you learned about leadership for character education?

Reminder

Thank you for your precious time and the complete verbal picture you have given me about your Symbolic/Cultural Leadership Behaviors and Actions.

Part B: Observation.
As we discussed previously, we have agreed that I will spend some time during the next few days with you to observe firsthand your leadership practices and actions you employ to support character education. I will act as a “shadow” (Appendix L).

Please remember that I will be back again in two weeks for another follow-up interview as part of our continuing discussion. During this meeting, we will focus on what was learned and discussed during all our previous multiple-session interviews: Leadership role; the Chinese values, virtues, and principles you emphasize; and, the leadership practices and actions you utilize to support character education. In addition, I will share with you what I have learned through my analyses of your school documents and cultural icons/artifacts.

Repeat: Assure confidentiality! And mention again that we will discuss notes from this session during the next meeting.

Immediately After Interview

1. Verify if the tape recorder worked throughout the interview.

2. Make notes and comments to clarify what was heard, make sense of the interview process. Address these questions:

   a. What are the main issues (or themes) that stuck out in the interview?

   b. Summarize the information on the questions for this interview.

   c. Point out anything else that appears salient, interesting, illuminating, or important in this interview.

   d. What new questions might be considered for the next interview with this
Principal?

e. List any concerns or comments.

3. Write down any observations related to the interview.

4. Transcribe the tapes.

5. Briefly summarize the learning from the interview.
APPENDIX L

OBSERVATION GUIDE
### Leadership Behaviors & Actions

#### LEADERSHIP PROCESSES

<table>
<thead>
<tr>
<th>LEADERSHIP ACTIONS</th>
<th>DESCRIPTIVE NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direction Setting</strong></td>
<td><strong>Direction Setting</strong></td>
</tr>
<tr>
<td>- Establishes/communicates-vision, purpose, values, and standards for character education.</td>
<td></td>
</tr>
<tr>
<td>- Develops/implements strategies, and a plan for character education.</td>
<td></td>
</tr>
<tr>
<td><strong>Aligning</strong></td>
<td><strong>Aligning</strong></td>
</tr>
<tr>
<td>- Aligns &amp; integrates systems, policies, and stakeholders (teachers, staff, students, parents) toward the character education vision.</td>
<td></td>
</tr>
<tr>
<td><strong>Mobilizing</strong></td>
<td><strong>Mobilizing</strong></td>
</tr>
<tr>
<td>- Inspires &amp; energizes people to committed action by capturing their “minds and hearts” to realize character education goals.</td>
<td></td>
</tr>
<tr>
<td><strong>Creating</strong></td>
<td><strong>Creating</strong></td>
</tr>
<tr>
<td>- Develops a positive learning environment, ethos, and culture to support character education.</td>
<td></td>
</tr>
<tr>
<td>SYMBOLIC/CULTURAL LEADERSHIP BEHAVIORS</td>
<td>LEADERSHIP ACTIONS</td>
</tr>
<tr>
<td>---------------------------------------</td>
<td>--------------------</td>
</tr>
<tr>
<td>- Behaviors related to shaping, molding, maintaining a character education educational process.</td>
<td>- Focus (selective attention)</td>
</tr>
<tr>
<td>- Describes (articulates)</td>
<td>- Models (provides examples)</td>
</tr>
<tr>
<td>- Champions/promotes</td>
<td>- Explains (gives reasons)</td>
</tr>
<tr>
<td>- Encourages (stimulates)</td>
<td>- Sets high expectations</td>
</tr>
<tr>
<td>- Expresses support</td>
<td>- Coaches (guides others)</td>
</tr>
<tr>
<td>- Praises/rewards/celebrates</td>
<td>- Takes corrective action</td>
</tr>
<tr>
<td>- Uses symbolic/cultural communication (ceremonies, stories, symbols, slogans, etc.)</td>
<td></td>
</tr>
</tbody>
</table>

*Note:* Write down any “critical incidents” that occur. Fill in the descriptive notes section as appropriate.
APPENDIX M

FOLLOW UP & CONFIRMATION
Appendix M

Follow Up & Confirmation
(process notes)
Data Collection Step #6

Review of Previous Interview Transcripts from Step #5 (Part A)

Review the interview transcripts from the previous Step #5 interview with the principal—focus was on “Symbolic and Cultural Leadership Behaviors and Actions” for character education.

*Guideline:* Ask for clarification, correction, elaboration, and confirmation.

Review Observation Notes From Step #5 (Part B)

Review notes on observations made during the leadership “shadowing” activities of the principal-in-action. Recorded in the descriptive notes section of the Observation Guide (Appendix L).

*Guideline:* Ask for comments, clarification, elaboration, and confirmation.

Review Documents & Cultural Icons/Artifacts Analyses

Share the results of the Document Reviews and Cultural Icons/Artifacts examinations (Appendix H).

*Guideline:* Ask for comments, explanation, clarification, elaboration, and confirmation.

Immediately After The Interview

1. Verify if the tape recorder worked throughout the interview.

2. Make notes and comments to clarify what was heard, make sense of the interview process. Address these questions:

   a. What are the main issues (or themes) that stuck out in the interview?

   b. Summarize the information on the questions for this interview.
c. Point out anything else that appears salient, interesting, illuminating, or important in this interview.

d. What new questions might be considered for the next interview with this Principal?

e. List any concerns or comments.

3. Write down any observations related to the interview.

4. Transcribe the tapes.

5. Briefly summarize the learning from the interview.
APPENDIX N

CODE OF CONDUCT FOR SECONDARY SCHOOL STUDENTS
Appendix N

Code of Conduct for Secondary School Students
(Ministry of Education in China, 1981)

1. Love your motherland and the people. Support the Communist Party. Study diligently. And, get ready to do your bit for socialist modernization.

2. Come to school punctually. Do not be late for class. Do not leave before a period ends. Do not be absent from class without permission.

3. Listen attentively to your teachers in class. Be good at contemplating. Complete your homework earnestly.

4. Persist in physical building. Take part in extra-curriculum activities vigorously.

5. Pay attention to personal hygiene. No smoking. No drinking alcohol. No spitting.

6. Take an active part in labor. Be thrifty and keeping a simple life pattern.

7. Obey and Follow the school’s discipline, the public orders, and the national laws.

8. Respect your teachers and the elders. Maintain close relations with your classmates. Be polite to others. No swearing and fighting.

9. Love your collective(s) (class, school, society, and country). Cherish and protect public properties. Do no harm to the collective and others.

10. Be modest and honest. Do not fear to correct your own faults.

Note: Original Chinese version - 1) ___________ 2) ___________ 3) ___________ 4) ___________ 5) ___________ 6) ___________ 7) ___________ 8) ___________ 9) ___________ 10) ___________
APPENDIX O

THE ELEMENTARY & SECONDARY SCHOOLS TEACHERS’ PROFESSIONAL MORAL CODES
Appendix O

The Elementary & Secondary Schools Teachers’ Professional Moral Codes
(Ministry of Education, August 27, 1991)

1. Love your socialist motherland. Support the leadership of Communist Party. Study and promote Marxism-Leninism & Mao Zedong Thoughts. Be enthusiastic to educational career and advocating the spirit of contribution and sacrifice.

2. Carry out national education policies and follow the regulations and the norms. Be loyal and responsible to your job as a teacher. Teach both knowledge and characters.

3. Continuously enhance educational qualities in the area of scientific theories. Improve professional proficiency. Seek truth from facts and be courageous to explore.

4. Educate all your students with love, respect, and understanding, and be strict with them. Educate your students without showing weariness and guide your students with patience. Take good care of your student’s physical and mental health.

5. Love your school. Concern your collective (students, country). Be modest and humble. Be united and collaborative with your collective. Obey and follow the laws and regulations. Be straight and square.

6. Dress and behave appropriately. Use civilized languages. Treat others politely. Walk your talk and be a good example to your students.

Note: Original Chinese version - __________: 
1) ___________________________ 2) ___________________________ 3) ___________________________
4) ___________________________ 5) ___________________________ 6) ___________________________

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APPENDIX P

DISTRIBUTION OF ADMINISTRATIVE DIVISIONS
IN CHINA
Appendix P

Distribution of Administrative Divisions in China

Yunnan Province

[Map of China showing distribution of administrative divisions]