IMPLEMENTATION STRATEGIES FOR EFFECTIVE CHANGE:
A HANDBOOK FOR INSTRUCTIONAL LEADERS

By

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B.S., Fort Hays State University, 1982
M.S., Indiana University, 1987

AN ABSTRACT OF A DISSERTATION

submitted in partial fulfillment of the requirements for the degree

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College of Education

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Abstract

The purpose of this study was to research, develop, and validate a handbook of effective strategies that an instructional leader can implement and that are more likely to bring about and sustain a successful change process. *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders* was developed using the research and development methodology as recommended by Gall, Borg, and Gall (1989, 1996) and Dick and Carey (1985) through a seven-step development cycle.

The review of literature and proof of concept questionnaire provided information for developing the outline and initial prototype. Experts in the field served as preliminary field evaluators using a Likert scale and open-ended questions to provide feedback. Revisions were made based on their feedback. The main field test was conducted with potential users of the guide. Final revisions were based on main field test evaluators' feedback.

The conclusions of the study were: (1) the role of the principal has changed from that of a manager to an instructional leader who possesses a broad base of pedagogical and content knowledge and who understands how to lead a staff through a complicated change process; (2) a handbook that provides guidance and support for principals leading a change process focused on the improvement of instruction to raise student achievement would be a useful resource; (3) development of a comprehensive handbook or guide that blends theory, research, and practice for instructional leaders would be a beneficial resource; (4) the study produced a comprehensive guide to assist instructional leaders who are leading a change process focused on the improvement of instruction to raise student achievement, and (5) the strategies included in the handbook allow principals to adjust and adapt according to their schools' unique situation and needs.

The framework included in the comprehensive handbook provides strategies, tips, and suggestions for (1) developing leadership skills, (2) establishing the organizational structure within the school community, (3) building teachers' knowledge base, and (4) fostering an understanding of the change process. Throughout the handbook, an emphasis is placed on the improvement of instruction to achieve high academic success for all students.

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CHAPTER 1 – Introduction to the Study

Introduction

A brief history

Over the past twenty-five years, the educational community in the United States has been asked to undergo a series of changes, beginning in 1983 with the landmark report entitled *A Nation at Risk: The Imperative for Educational Reform*. This report admonished the educational community for failing the country's students and thus stimulated a wave of school reform initiatives. Educators were encouraged to intensify existing practices by requiring more credits for graduation, testing students more frequently, and lengthening the school day and year. In addition, the *Goals 2000* Restructuring Movement of 1998 supported each state's efforts to determine exactly "what every child should know and be able to do" (U. S. Department of Education, 1998).

As a result, professional organizations and curriculum specialists developed national and state standards for all curricular areas. State assessments were created to evaluate how well individual students, schools, and districts were meeting the newly established standards. Politicians and well-intentioned educators across the country hoped that by mandating a standardized curriculum and high-stakes assessments, attention would be focused on specific goals and objectives for which all students would be held accountable.

On January 8, 2002, President George W. Bush signed the *No Child Left Behind Act* (NCLB) of 2001 into legislation. This reform initiative was designed to further the ideas proposed in *Goals 2000*. The NCLB Act required educators to close the achievement gap between all students regardless of their demographics, to offer parents more options for schooling their children, to become highly qualified in the subjects to which they are assigned,

and to use research-based teaching methods (U. S. Department of Education, 2002). The practice of using test result averages as the measure for student progress was no longer acceptable. Instead, educators were asked to monitor individual student's scores, with particular attention paid to those from diverse and disadvantaged backgrounds. As a result, educators came to realize that reform initiatives would need to move beyond "marginal changes and focus instead on the core issues of teaching and learning" in order for all students to achieve (DuFour & Eaker, 1998, p. 8).

By 2008, states had complied almost fully with the test-based accountability systems required by the Act, yet nearly one-fourth of schools nationwide were not meeting annual yearly progress targets in 2004-2005 and the number increased to 35% in 2007-2008 (Lewis, 2008). Districts simply did not have the funds to implement many of the recommendations of NCLB such as using new curricula, engaging in planning for improvements, extending the school day. Critics of the Act stated that sanctions such as converting schools to charter status or private management did not work and the goal of demanding that all students be proficient by 2014 was unrealistic (Ravitch, 2009).

In 2010, discussions focused on a reauthorization of the Elementary and Secondary Education Act (ESEA) and a return to the law's original 1965 name. The Obama administration proposed to retain assessment, accountability, and other features of the existing law while offering state and school districts greater flexibility through growth models for measuring individual student progress from year to year, adopting career-ready standards, and differentiating between those schools that are low-performing overall and those that miss AYP targets for one or two demographic subgroups of students (Klein, 2010, p. 22). Thus, schools nationwide would remain accountable for ensuring that all students succeed and meet high levels

of academic achievement. In many schools, this would require a sustained focus on teaching and learning and a shift in the role of principal.

School community and principal's role

The changes in the areas of teaching and learning necessary for schools to meet annual yearly progress (AYP) as set forth in the NCLB Act will ultimately affect the relationships within the school community and the principal's role as the school community's leader. In a study commissioned by the Wallace Foundation, the authors learned that "leadership not only matters, but is second only to teaching among school-related factors in its impact on student learning" and "that high-quality principals can achieve that impact by setting clear, high expectations, by developing people, and by making the organization work to support teaching and learning" (Leithwood, Louis, Anderson & Wahlstrom, 2004, p. 3).

If schools are to effect a change that focuses on the improvement of instruction and ensures that all students achieve; teachers, principals, and other staff members must learn new techniques and strategies for approaching these tasks. The shift will require that teachers and principals form learning organizations or professional learning committees focused on developing new methods of instruction. Senge (1990), whose research on systems thinking remains viable, coined the term "learning organization" to describe an organization that is highly supportive of teaching and learning and "continually expands its capacity to create its future" (p. 14). Over the years, Senge's term, learning organization, has evolved into the term, "professional learning community." A professional learning community (PLC) has been defined as a school community where the principal and teachers work collaboratively to seek new methods and strategies for continually improving instructional practice and increasing student achievement, to develop shared values and goals, to participate in collective inquiry and

experimentation, and to form supportive relationships (Danielson, 1996, 2002; DuFour & Eaker, 1998; Elmore, 1997; Hord, Roussin, & Sommers, 2010; Schmoker, 2006; Sergiovanni, 1994).

The principal, especially, is expected to change personal behaviors, norms, and beliefs in order for fundamental differences in the school community and teachers' practice to occur. While some changes may involve small improvements or adjustments to the principal's leadership skills, other changes will lead to a transformational shift in belief and practice, which in turn will create a shift in the culture of the organization (Evans, 1996). In one of several recent studies identifying school leadership as a key factor in schools that outperform others with similar students, researchers found that achievement levels were higher in schools where principals undertake and lead a school reform process; act as managers of school improvement; cultivate the school's vision; and make use of student data to support instructional practices and to provide assistance to struggling students (Hattie, 2009; Kirst, Haertel, & Williams, 2006; Marzano, Waters, & McNulty, 2005; Reeves, 2006, 2009; Schmoker, 2006; Sparks, 2005).

Unfortunately, many principals are unprepared to lead or direct this change (Elmore, 2000; Levine, 2005). Traditionally, principals have served as managers of the school building, attending to the day-to-day operations of the facility. Now, they are being asked to become transformational leaders who "not only manage structure, but purposefully impact the culture in order to change it" (Kirst, Haertel, & Williams, 2006, p. 14). In addition, principals are expected to become instructional leaders who "set high expectations for students and teachers, demand content and instruction that ensures student achievement on agreed-on academic standards, and actively engage the community to create shared responsibility for student and school success" (National Association of Elementary School Principals, 2001, pp. 5 – 10). The National Association of Secondary School Principals (2002) encouraged the development of 21st Century

Principals who provide "educational leadership by setting instructional direction, using teamwork and sensitivity, and developing others; resolve complex problems by using judgment and assuming responsibility, and organizing through planning and appropriate scheduling; and use oral and written communication well" (p. 3). The research clearly shows that "school leaders who promote challenging goals, and then establish safe environments for teachers to critique, question, and support other teachers to reach these goals together that have most effect on student outcomes" (Hattie, 2009, p. 83). The challenge then becomes how will today's principals become the instructional leaders needed to promote and sustain lasting change that is focused on improved teaching and higher levels of student achievement.

Statement of the Problem

Current school reform efforts expect schools to become professional learning communities focused on the continual improvement of student achievement and instructional practice. Fundamental shifts in belief and practice on the part of the administrator and staff are required in order for this transformation to occur. In addition, the administrator is expected to become an instructional leader who possesses a broad base of pedagogical and content knowledge and who understands how to lead a staff through a complicated change process. These expectations present a formidable challenge for administrators who are unprepared to assume these roles.

Compounding the problem of equipping administrators to effect change is the fact that "a large proportion of education administrators are expected to retire over the next ten years" (U.S. Bureau of Labor Statistics, 2004). Not only current administrators, but also many who are new or aspiring to the position, will be expected to assume the role of the instructional leader who transforms the behaviors, beliefs, and norms of the school community. These individuals will

need guidance in understanding the new roles, challenges, and responsibilities of this position. A

handbook or guiding document was needed to help these individuals understand the challenges

and key areas that should be addressed to navigate the change process successfully.

Purpose of the Study

The purpose of this study was to develop a handbook of effective strategies that a

building principal, serving as an instructional leader, can implement that are more likely to bring

about and sustain a successful change process focused on the improvement of instruction to raise

student achievement.

Target Audience

The target audience for the handbook was current, new, or aspiring building principals,

who in their role as an instructional leader want to transform their skills and practices as they

influence the behavior, beliefs, and norms of the school community.

Research Questions

To investigate this study, the research focused on the question: What are the most

effective strategies an instructional leader can implement to facilitate a successful change

process? The following sub-questions were addressed:

1. What are the essential areas of a school culture to consider when developing one that
accepts change?

2. What are the critical elements of a successful change process?

3. What are the most essential factors needed to implement successful change?

Significance of the Study

Current research has described the type of school culture inherent to a professional

learning community, the critical elements of a successful change process, and the skills needed

by instructional leaders. However, the research does not provide specific examples for

implementing these ideas into current practice. Therefore, current, new, and aspiring administrators needed a guide in the form of a handbook or manual to transform their skills and practices as they influence the behaviors, beliefs, and norms of the school community.

The proposed handbook will serve a wide audience. Teachers could use the handbook to understand elements of the change process and how they can develop their own leadership capacity within the school. Current, new, and aspiring administrators could use this handbook to more effectively lead the changes expected by current school reform efforts. Superintendents and other district level administrators could use it to shape the practices of the administrators under their supervision. University and college professors could use the handbook as a guide for preparing future administrators to assume the responsibilities of an instructional leader. However, the primary target audience was current, new, or aspiring building principals who in their role as an instructional leader want to transform their skills and practices as they influence the behavior, beliefs, and norms of the school community.

Scope and Limitations

The purpose of this study was to develop, test, and validate effective strategies, as set forth in handbook form that can be implemented to bring about and sustain a successful change process focused on the improvement of teaching in order to raise student achievement. Teachers, administrators, and superintendents who are attempting to transform their skills and practices as they influence the behaviors, beliefs, and norms of their school communities could use the resulting handbook.

The research methodology used for this study was that of research and development (R & D) as described by Gall, Borg, and Gall (1996). Dick and Carey (1985) recommended a ten-step R & D model that includes a summative evaluation of the product. However, this study was

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limited to the first seven steps encompassing development and formative evaluation of the handbook. The final steps of implementation and evaluation of the handbook's effectiveness are beyond the scope of this study. Further dissemination of the final product will occur after the handbook has been completed.

Organization of the Study

The research methodology used for this study was that of research and development (R & D) as described by Borg and Gall (1989). The study was organized in the following way:

Chapter One: Introduction to the Study included the introduction, statement of the problem, purpose of the study, target audience, research questions, significance of the study, scope and limitations, organization of the study, definition of terms, and a summary.

Chapter Two: Review of the Literature contained a review of the literature on the systematic school reform, leadership responsibilities, theories of change, and systems thinking. The chapter reviewed the need for principals to assume a new role in the school community, a role for which they may not be adequately prepared.

Chapter Three: Development and Validation of the Product described the process used to research, develop, field test, revise, and validate a handbook for building principals serving as instructional leaders.

Chapter Four: The Validated Product: contained the validated version of the handbook entitled *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders.*

Chapter Five: Summary included conclusions and implications of this study, dissemination and suggested uses of the handbook, and recommendations for further study.

Definition of Terms

Administrator:

An education leader who promotes the success of all students by: (1) facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders; (2) advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth; (3) managing the organization, operation, and resources for a safe, efficient, and effective learning environment; (4) collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources; (5) acting with integrity, fairness, and in an ethical manner; and (6) understanding, responding to, and influencing the political, social, economic, legal, and cultural context (ISLLC Standards for School Leaders, 2008).

Assessment Literacy:

The constant process of accessing and disaggregating student performance data to develop and monitor actions designed to raise the bar and close the gap. This process mobilizes all stakeholders to play a role in this venture (Fullan, 2003, 2010).

Change:

A difference in the state or quality of something (Evans, 1996).

Change process:

An ongoing process involved in implementing educational innovations that requires time and includes phases and steps that can be used to plan and pace change (Hall & Hord, 1987).

Collective inquiry:

Those individuals in a community of learners who collectively question the status quo, seek new methods, test those methods, and then reflect on the results. It is recognized that the process of searching for answers is more important than having an answer (DuFour & Eaker, 1998).

Continuous improvement:

A commitment in a school environment where innovation and experimentation are viewed not as tasks to accomplish or projects to complete, but as ways of conducting day-to-day business, forever (DuFour & Eaker, 1998).

Data:

All the quantitative and qualitative information gathered that is related, directly or indirectly, to student success and well-being in schools (Wagner & Kegan, 2006).

Effective change:

The transformation of an organization where disconfirmation preserves safety, respect, time, continuity, and personal contact; training is coherent, continuous, and personal; clarity is provided about responsibility, authority, and decision making; critical mass of support is nurtured; working through conflict, and making positive use of pressure and power is essential (Evans, 1996).

Effective strategies:

Strategies that have achieved implementation success are those where the administrator held and communicated a vision of what the school could become and pushed staff to implement the vision, thereby improving their practice so that students would gain. The more the principal

supported teachers and worked with them in their change efforts, the higher the implementation success of the teachers (Hord, 1994).

First order change:

Changes that try to improve the efficiency or effectiveness of what we are already doing (Evans, 1996).

Handbook:

A book capable of being conveniently carried as a ready reference, a manual (Merriam-Webster Online Dictionary, 2010).

Implementation strategies:

Strategies used by a school leader and staff that encompass a comprehensive project of school improvement that requires clarity of vision, breadth of view, and a determination to overcome inevitable obstacles that permit others to participate with confidence (Danielson, 2002, 2007).

Instruction:

Systematic process in which every component is crucial to successful learning (Dick & Carey, 1985).

Instructional leadership:

Instructional leadership refers to those principals who have their major focus on creating a learning climate free of disruption, a system of clear teaching objectives, and high teacher expectations for teachers and students. It can also be described as the school leaders who promote challenging goals, and then establish safe environments for teachers to critique, question, and support other teachers to reach these goals together (Hattie, 2009).

Instructional practice:

The complex techniques and strategies employed by teachers as they interact with students to engage them with content and ensure that they learn it successfully. The four domains of teaching responsibility are: planning and preparation, classroom environment, instruction, and professional responsibilities (Danielson, 2002, 2007).

Leadership capacity:

An organization's capacity to lead itself and to sustain that effort when key individuals leave. Key features include a multitude of skillful leaders, shared vision, inquiry-based use of data to inform decisions and practice, collaboration and collective responsibility reflected in roles and actions, reflective practice, and high or steadily improving student achievement (Lambert, 2003).

Professional learning community:

A school culture that enhances teacher quality through the intentional, collegial instruction of all educators for the purpose of promoting student learning. The compelling belief is that profound learning for teachers begets profound learning for students (Hord, Roussin, & Sommers, 2010).

Research and Development (R & D):

The use of research findings to design new products and procedures, followed by the application of research methods to field-test, evaluate, and refine the products and procedures until they meet specified criteria of effectiveness, quality, or similar standards (Gall, Borg, & Gall, 1996).

Reflective Practice:

The act of thinking about one's own practice in a way that allows one to reconsider how he/she does things, which can lead to new and better approaches to one's work (Lambert, 2003).

School culture:

A school's unwritten rules and traditions, norms, and expectations that seem to permeate everything: the way people act, how they dress, what they talk about or avoid talking about, whether they seek out colleagues for help or don't, and how teachers feel about their work and their students (Deal & Peterson, 1999, 2009).

Second order change:

Changes that are systemic in nature and aim to modify the very way an organization is put together, altering its assumptions, goals, structures, roles, and norms (Watzlawick, Weakland, and Fisch, 1974).

Shared vision:

The skills of unearthing shared "pictures of the future" that foster genuine commitment and enrollment rather than compliance (Senge, 1990).

Systemic school reform:

A comprehensive change program designed to modify schools in an integrated, coordinated, and coherent fashion to achieve clearly stated educational outcomes (Fuhrman, Elmore, and Massell, 1993).

Systems thinking:

A discipline for seeing the "structures" that underlie complex situations. The discipline implies a conceptual framework or a body of knowledge and tools that have been developed to make the full patterns clearer and to help us see how to change them effectively (Senge, 1990).

Transformation:

A process concerned with the relationships and engagement of individuals that entails a change in the leader-follower relationship for mutual benefit and good (Leithwood, Jantzi, & Steinbach, 1999).

Summary

The purpose of this study was to research, develop, and validate a handbook of effective strategies that a building principal, serving as an instructional leader, can implement that are more likely to bring about and sustain a successful change process. The problem was that current, new, and aspiring principals needed a handbook or guiding document to understanding the new roles, challenges, and responsibilities of this position.   The dissertation resulted in a completed product that helped building principals understand the challenges and key areas that should be addressed to navigate the change process successfully.

CHAPTER 2 – Review of the Literature

Introduction

An extensive literature review began in spring of 2004 and was completed in the fall of 2010. During the formative evaluations and field tests of the R & D development process, additional sources were reviewed to find the most current research available on the topics included in the handbook. The review included the investigation of books, journals, reports, policy briefs, personal interviews, observations, and websites.

To research, develop, and validate a handbook for principals serving as instructional leaders, a wide range of topics needed to be explored. The review of the literature focused on the roles and responsibilities of a school leader, practical strategies related to instructional leadership, effective teaching, and professional learning communities, change theory, and systems thinking.

Roles and Responsibilities of a School Leader

Over the past ten years, a series of studies have tried to capture the essence of the roles and responsibilities associated with the principalship. The impetus for these studies was the understanding that "the job of school leader has been transformed by extraordinary economic, demographic, technological, and global change" (Levine, 2005, p. 11). The studies have attempted to quantify the different aspects of school leadership and describe the specific skills needed by the building principal. Currently, the studies have guided universities that train aspiring principals, assisted superintendents and school boards who evaluate current principals, and informed those who write state and national licensure exams for building and district level licensure. The studies included here provide an overview of the collective research and

emphasize the principal's role as an instructional leader focused on improving instruction and raising student achievement.

Leading learning communities: Standards for what principals should know and be able to do written by the National Association of Elementary School Principals in 2001. The document described quality indicators to ensure that the standards promoted a focus on the learning of both students and adults within the school. The "six characteristics of instructional leadership outlined what the principals' role in school improvement can and should be: Making student and adult learning the priority; setting high expectations for performance; gearing content and instruction to standards; creating a culture of continuous learning for adults; using multiple sources of data to assess learning; and activating the community's support for school success" (NAESP, 2001, np).

The National Association for Secondary Principals' *Developing the 21st Century Principal* Assessment Center Skill Dimensions (2004) also place a focus on instructional leadership by listing "setting instructional direction" as the first indicator within educational leadership. The entire dimensions and indicators include: "Educational leadership (setting instructional direction, teamwork, sensitivity, and development of others), resolving complex problems (judgment, results orientation, and organizational ability), and communication (oral and written)" (NASSP, 2004, p. 4).

What We Know about Successful School Leadership (2003) by Leithwood and Riehl in conjunction with the American Educational Research Association "presented a summary of key, well-documented understandings about leadership at the school level" (Leithwood & Riehl, 2003, p. 1). The paper used the two functions of providing direction and exercising influence to examine five major findings from the research on school leadership (see Table 1).

Table 1: What We Know about Successful School Leadership

1	Leadership has significant effects on student learning, second only to the effects of the quality of the curriculum and teachers' instruction.
2	Currently, administrators and teacher leaders provide most of the leadership in schools, but other potential sources of leadership exist.
3	A core set of leadership practices form the "basics" of successful leadership and are valuable in almost all educational contexts. • Setting directions: Identifying and articulating a vision, creating shared meanings, creating high performance expectations, fostering the acceptance of group goals, monitoring organizational performance, and communicating. • Developing People: Offering intellectual stimulation, providing individualized support, and providing an appropriate model. • Developing the Organization: Strengthening school culture, modifying organizational structure, building collaborative processes, and managing the environment.
4	Successful school leaders respond productively to challenges and opportunities created by the accountability-oriented policy context in which they work: • Creating and sustaining a competitive school, • Empowering others to make significant decisions, • Providing instructional guidance, and • Strategic planning.
5	Successful school leaders respond productively to the opportunities and challenges of educating diverse groups of students: • Building powerful forms of teaching and learning, • Creating strong communities in school, • Expanding the portion of students' social capital valued by the schools, • Nurturing the development of families' educational cultures (Leithwood & Riehl, 2003, p. 1)

Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement was written by Waters, Marzano, and McNulty in 2003. This study was a meta-analysis that "examines the effects of leadership practices on student achievement" and was published as a book entitled *School Leadership that Works: From Research to Results* (Waters, Marzano, & McNulty, 2003, p. 2*)*. The result was a framework describing twenty-one leadership responsibilities that positively correlate with student achievement and describe the extent of the principals' involvement (see Table 2).

Table 2: Balanced Leadership Responsibilities

	The extent to which the principal:
Culture	Fosters shared beliefs and a sense of community and cooperation.
Order	Establishes a set of standard operating procedures and routines.
Discipline	Protects teachers from issues and influences that would detract from their teaching.
Resources	Provides teachers with material and professional development necessary for the successful execution of their jobs.
Curriculum, Instruction, and Assessment	Is directly involved in the design and implementation of curriculum, instruction, and assessment practices.
Focus	Establishes clear goals and keeps those goals in the forefront of the school's attention.
Knowledge of Curriculum, Instruction, and Assessment	Fosters shared beliefs and a sense of community and cooperation.
Visibility	Has quality contact and interactions with teachers and students.
Contingent Rewards	Recognizes and rewards individual accomplishments.
Communication	Establishes strong lines of communication with teachers and among students.
Outreach	Is an advocate and spokesperson for the school to all stakeholders.
Input	Involves teachers in the design and implementation of important decisions and policies.
Affirmation	Recognizes and celebrates school accomplishments and acknowledges failures.
Relationship	Demonstrates an awareness of the personal aspects of teachers and staff.
Change Agent	Is willing to and actively challenges the status quo.
Optimizer	Inspires and leads new and challenging innovations.
Ideals/Beliefs	Communicates and operates from strong ideals and beliefs about schooling.
Monitors/Evaluates	Monitors the effectiveness of school practices and their impact on student learning.
Flexibility	Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.
Situational awareness	Is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems.
Intellectual Stimulation	Ensures that faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture (Waters, Marzano, & McNulty, 2003).

The *Educational Leadership Policy Standards: ISLLC 2008* is an updated version of the

Interstate School Leaders Licensure Consortium: Standards for School Leaders (1996). The

purpose of the original document was to "present a common core of knowledge, dispositions,

and performances that will help link leadership more forcefully to productive schools and

enhanced educational outcomes" (CCSSO, 1996, p. iii). More recently, "ISLLC 2008 is meant

to serve as a foundational piece for policymakers as they assess current goals, regulations,

policies, and practices of education leaders" (CCSSO, 2008, p.4). The resulting six standards

were adopted the National Policy Board for Education Administration (NPBEA) and "reflect

new information and research about education leadership that has been gathered over the past ten

years" (see Table 3).

Table 3: ISLLC 2008 Standards for School Leaders

1	An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.
2	An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.
3	An education leader promotes the success of every student by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.
4	An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.
5	An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.
6	An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context (CCSSO, 2008, p. 1).

The emphasis in each of the aforementioned studies changes the role of the principal

from a manager to a leader focused on identifying elements within the school community that

need improving, especially in the area of instructional practice. Other researchers concurred that

principals, as instructional leaders, plan and implement needed changes, encourage collaboration and teamwork, set high expectations for the staff and students, and provide praise and support as changes within the school community are being made (Ash & Persall, 2001; Blasé and Blasé, 2004; Day, Harris, Hadfield, Tolley, & Beresford, 2000; DuFour, 2002; Elmore, 1997; Hattie, 2009; King, 20002; Lashway, 2002; Marzano, Waters, & McNulty, 2005; Robbins & Alvy, 2004).

Many researchers discussed the need for principals to serve as transformational leaders of the school community (Fullan, 2003, 2010; Harris, et al., 2003; Leithwood, 1999, 2006, 2010; Schlechty, 2001; Sparks, 2005). Schlechty (2001) stated that transformational leadership "requires the leader to embrace and cause others to embrace new and revolutionary assumptions" rather than "only to improve operational effectiveness based on well-established and commonly accepted assumptions" (p. 164). Harris, et al. (2003) discussed the need for a transformational leader who will "not only manage structure, but purposefully impact the culture in order to change it" (p. 18). Leithwood, Jantzi, and Steinbach (1999) proposed that transformational leaders should "set directions, develop people, organize culture building activities, and build relationships with the school community" (p. 39).

When comparing the effect of transformational and instructional leadership on student outcomes, Hattie (2009) found that instructional leaders who "promote teacher learning and development, coordinate and evaluate teaching and the curriculum, align resource allocations to priority teaching goals, establish goals and expectations, and ensure an orderly and supportive environment" had more of an effect on student outcomes (pp. 83-84). Therefore, the strategies included in the handbook were written as a guide for instructional leaders who determine how

best to raise achievement levels for individual students, help teachers improve their practice, and tailor necessary changes to the needs of the school community.

<div align="center">**Highlighted Responsibilities within the Principal's Role as School Leader**</div>

In all of the studies on the principal's role as school leader, four main responsibilities were mentioned repeatedly throughout the research: Developing a personal vision of teaching and learning, transforming this vision into a shared vision of the school community, guiding and developing effective teaching, and promoting growth through professional learning communities. In particular, the area of guiding and developing effective teaching and teachers was shown to have the greatest effect on student outcomes (Hattie, 2009).

Vision

The research on principal leadership shows that leadership matters and principals with a clear vision are the most effective (Danielson, 2002; Evans, 1996; Fullan, 2003; Leithwood, Louis, Anderson, & Wahlstrom, 2004). Crow, Matthews, and McCleary (1996) stated "the principal as a leader should have a vision of the purpose of schooling, the goal of teaching and learning, and how these can be accomplished in the lives of students" (p. 78). Sparks (2005) found that principals who are preparing for a significant change in their schools could ready themselves by "developing a clearly articulated purpose and a richly detailed vision" (p. 29). Adherence to a strong vision defines principals as authentic leaders "who have strong commitments, who preach what they believe, and practice what they preach" (Evans, 1996, p. 184). A principal's vision can become the vehicle for moving the school community forward and for developing a set of shared ideals and beliefs in the future.

Shared Vision

Marzano, Waters, and McNulty (2005) found that identifying shared ideals and beliefs regarding the nature and purpose of schooling is critical to establishing a strong school community" (p. 119). A shared vision provides the school's stakeholders with a common purpose, language, and method for achieving teaching and learning goals that best fit the needs of the students, staff, parents, and community. The positive effects of a shared vision are many when the vision projects "a future that is better and more desirable in significant ways than existing conditions" (DuFour & Eaker, 1998, p. 62). Staff members can be encouraged to move beyond established, comfortable routines and experiment with new techniques and strategies (Fullan, 2008). Camaraderie increases as the staff supports one another's efforts and celebrates progressive improvements (Deal & Peterson, 2009). Students take ownership for their learning through goal setting and accept the challenge of increasing their knowledge and skills (Marzano, Pickering, & Pollock, 2001). By providing parents and community members with information and encouraging their participation in school events and activities, these stakeholders understand and support the efforts being made to effect change (Deal & Peterson, 2009). Finally, current research and proven, reliable strategies lend credibility to the shared vision, thus encouraging stakeholders to remain committed to the continuous improvement of teaching and learning (Sparks, 2005).

Effective Teaching

Principals who serve as instructional leaders, have a significant impact on student achievement that is second only to the impact made by effective teaching and teachers (Hattie, 2009; Marzano, Waters, & McNulty, 2005). Hattie (2009) described effective teachers as those "who teach in a most deliberate and visible manner" and "intervene in calculated and meaningful

ways to alter the direction of learning to attain various shared, specific, and challenging goals"
(pp. 62-63). McEwan (2002) described the highly effective teacher as "mission-driven and
passionate, positive and real, and a teacher leader" who demonstrated "with-it-ness in the
management and organization of the classroom, engagement of the students, and management of
time", possessed "a unique style, motivational expertise, and instructional effectiveness", and
finally, "demonstrated knowledge, curiosity, and awareness" (pp. 191-193).

Principals who study effective teaching can make use of this information in a variety of
ways. They can converse with teachers during informal meetings and formal evaluation sessions
about what effective teaching looks like and what characteristics of effective teaching the
teachers demonstrate in their practice (Downey, Steffy, Poston, & English, 2010). As areas for
improvement are found, these principals can coach those teachers who need improvement by
using specific examples and recommending strategies that will make a difference in their
instruction (Danielson, 2002, 2007). Principals, who continue to learn more about and observe
quality teaching, will begin to see patterns regarding strategies and techniques being
implemented across the building. Some strategies and techniques may need to be improved and
should be targeted with professional development experiences and additional resources
(Schmoker, 2006). These supervisory behaviors on the part of a principal, coupled with a clear
vision, represent a commitment to the continuous improvement of teaching and learning in a
school.

Professional Development

High quality professional development "driven by a compelling vision of student learning
and a data-based assessment of current reality is essential, if teachers are to consistently apply in
their classrooms the findings of the most recent research on teaching and learning" (Sparks,

2002, p. 1-4). Principals, acting as the instructional leaders of their school, can ensure that

professional development becomes an embedded aspect of instructional practice. They

understand that "teaching is a complex, intellectually demanding task that requires sustained,

intellectually rigorous forms of professional development" (Sparks, 2002, p. 4-6). As a result,

opportunities will be created for staff members to continually upgrade their skills, expand their

knowledge, and develop new strategies with a focus and determination that all students can and

will succeed (Hixon & Tinzmann, 1990).

Principals who believe strongly in the power of quality professional development can

demonstrate their commitment to learning in a variety of ways. Staff members can be given time

to learn with and from one another. Staff members can be encouraged to practice new skills,

share student work samples, and discuss whether current strategies are working or not (DuFour,

DuFour, Eaker, & Karhanek, 2010; Hord, Roussin, & Sommers, 2010). In addition,

opportunities for reflection can be created so staff members carefully consider which

instructional practices are the most effective and why (York-Barr, Sommers, Ghere, & Montie,

2006). Finally, to reward the staff members' efforts, the principal can show appreciation for the

valuable expertise that they possess.

Hixon & Tinzmann, in *What Changes are Generating New Needs for Professional*

Development? (1990), reminded us that "meaningful change will occur only when those who

work in and with schools have the opportunity to develop the attitudes, beliefs, knowledge, and

skills necessary to translate these new ideas and concepts into meaningful and specific plans for

change and to incorporate them into their day-to-day routines" (p. 1). The principal, as the

instructional leader of the school, has the responsibility to see that meaningful change occurs

through quality professional development that focuses the staff's effort on content knowledge,

innovation in teaching, and the needs of the learner.

<div align="center">**Change and Systems Thinking**</div>

Change Theories

The accountability measures embedded in No Child Left Behind (2002) and Obama's

Blueprint for Reform (2010) promote sustainable school reform, requiring principals and staff

members to change their behaviors, norms, and beliefs in order for fundamental differences to

occur at the school level. Change in an educational setting is a complex process that requires

vision, time, resources, and talent to achieve. Fullan (1993) referred to the "formidable"

challenge that faces educators as they "figure out effective approaches for creating and assessing

learning under conditions of diversity and constant change" (p. 45). The challenge is also

directed to the principal who, as the leader of the school, is expected to establish direction, align

people to the vision, elicit cooperation, and motivate others by appealing to basic needs and

values (Kotter, 1996). In addition, principals are encouraged to "consciously challenge the status

quo" and "be willing to lead change initiatives with uncertain outcomes" (Marzano, Waters, &

McNulty, 2005, p. 45).

Ellsworth's work, *Surviving Change: A Survey of Educational Change Models* (2000),

referred to educational change as "a specialized instance of the general communications model"

and illustrates how certain aspects of change theory can provide principals with a systematic

strategy for addressing the change process as a whole (p. 25). The general communications

model involves a sender, a message, and a receiver. The sender's message is intended for the

receiver, but may experience interference that delays, distorts, or changes the message. In the

educational setting, the principal is the change agent (sender) who is attempting to implement an innovation (message) and experiences resistance (interference) when attempting to change the school community (receiver).

Therefore, learning more about the theories of change can provide the principal with a systematic method for examining different aspects of the school community and the experience of change (Wagner, et al., 2006). These theories reinforce the notion that everything is connected and nothing functions in isolation. In fact, a change in one aspect can immediately impact other aspects of the school community and has the potential to produce significant, positive results (Fullan, 2010; Schmoker, 2006). Therefore, the congruence of all aspects of the school community is an important feature of a successful change process.

Elmore and McLaughlin told us that "schools do change, but through subtle shifts over time" (in Evans, 1996, p. 292). The pace of change will depend on environmental factors within the school community and the attitudes and commitment level of the people in that community. The principal will find the "intrinsically optimal rate of growth" for the school community (Senge, 1990, p. 62). Leadership will be needed to balance the amount of challenge posed with the support provided to keep the change process on course and progressing.

Principals who achieve this balance will know how much pressure the system can take. They will know when to challenge and when to support or encourage. As the change process moves forward, principals will "help people to see change and its losses as part of an expectable, inevitable sequence of events" (Evans, 1996, p. 222). In addition, they will provide teachers with professional development opportunities so the teachers will have time "to consider, discuss, argue about, and work through the changes in their assumptions" (Evans, 1996, p. 69). These

principals will monitor the pace of change until the innovation becomes standard mode of operation.

Not only will principals attend to the needs of the individuals within the school community, they will focus on their own learning and incorporate changes into their own practice (Kegan & Lahey, 2009). As the principals' behavior and actions change, others are encouraged to follow and change as well. The more attuned principals are to the dynamics of the school community, they will be better able to provide appropriate challenges and supports as the needs within the school community shift (Schlechty, 2009).

The challenge for principals is that school reform initiatives will require different levels of commitment from different members of the staff. For some staff members, the change will require small improvements or adjustments to their instructional practice, or first order change, that improves the efficiency and effectiveness of current behavior (Evans, 1996, Marzano, Waters, & McNulty, 2005). For others, the change will force individuals to experience a profound shift, or second order change, in belief and practice, and thus, fundamentally alter the culture of the organization (Evans, 1996; Marzano, Waters, & McNulty, 2005). Throughout this process, the principal will "motivate the teachers and encourage them to 'step out of the box' reinforcing their learning with support" (Hord, Roussin, & Sommers, 2010, p. 199).

While change will impact staff members in different ways, there remains a sequential process through which organizations must proceed to create major change: "(1) establishing a sense of urgency, (2) creating the guiding coalition, (3) developing a vision and strategy, (4) communicating the change vision, (5) empowering broad-based action, (6) generating short-term wins, (7) consolidating gains and producing more change, and (8) anchoring new approaches in the culture" (Kotter, 1996, p. 21). The eight steps were designed to focus attention on needed

changes, introduce new strategies and practices, and institutionalize the changes into the organization's culture. Kotter warned that failure to pay adequate attention to each of the steps would most likely result in a return to the status quo. In addition, several researchers cite the lack of attention given to the change process as one of the main reasons school reform efforts fail (Elmore, 1997; Evans, 1996; Fullan, 1998, 2003, 2010; Hord, 1987, 2004, 2006; Kotter, 1996, Reeves, 2009).

Systems Thinking

Senge coined the term "systems thinking" in his book, *The Fifth Discipline* (1990). According to Senge (1990), "systems thinking is a discipline for seeing interrelationships rather than linear cause-effect chains and seeing processes of change rather than snapshots" (p. 73). Fullan (2008) focused on systems thinking in terms of how a principal can impact the school, the district, and ultimately, the larger education community by "investing in instructional leadership, combining direction and flexibility, mobilizing the power of data, using peers to change district culture, addressing the managerial requirements, and staying the course" (pp. 58-63). Senge and Fullan encouraged those within an organization to recognize the importance of attending not only to the details of what is occurring day to day, but to the dynamics of how those changes will impact events and actions in the future. In addition, those within the organization should be encouraged to adhere to a shared vision, shape their mental models around this vision, and accept personal responsibility for mastering the skills necessary for the vision to occur. Senge (1990) reminded the reader that these actions are not the work of a single person, but occur only when the members of the organization learn and work together.

Principals who follow the ideas expressed by Senge (1990) and Fullan (2008) will encourage their school community to create a shared vision for teaching and learning. They will

find time for their teachers to collaborate and discuss in order to shape their mental models around a common language and practice. As a result, the staff will begin to look for leverage points of "small, well-focused actions that can sometimes produce significant, enduring improvements" (Senge, 1990, p. 64). The principal will continue to focus attention on instruction and ask each teacher to become a master in the classroom. Together, the principal and staff members will carefully consider the interconnected components of the school structure and work daily to align them.

When individuals within an organization work toward a common goal, creative energy can be generated to sustain the organization through the hard work of change (Fullan, 2010; Schlechty, 2009; Senge, 1990). However, to bolster this creative energy, the principal will need techniques for considering all aspects of the structure, recording what has been accomplished, and renewing the passion to become a learner. Those individuals who become learners within the organization will persevere and remain committed to the process (Schlechty, 2009).

Finally, educators must be mindful that the school environment has become a complex system with many interrelated components and structures (Schlechty, 2009). To change this complex environment, a systematic approach to change should be considered. "We must look into the underlying structures which shape individual actions and create the conditions where types of events become likely" (Senge, 1990, p. 43). As a school attempts to transform itself, every component of the school program must be examined. Changes in one area may either positively or negatively affect a successful endeavor in another area. Sir Isaac Newton's third law of motion (1687), for every action, there is an equal and opposite reaction, applies to school reform.

Leverage points

The principal and the staff must take a look at the complex nature of the school environment to ascertain which leverage points will result in the most dramatic, positive results for the school. Study after study has revealed that the principal is the change agent who can either drive new initiatives forward or retard and even halt them (Darling-Hammond, Lapointe, Meyerson, Orr, & Cohen, 2007; Fullan, 2008; Hattie, 2009; Marzano, Waters, & McNulty, 2005; Reeves, 2009; Schmoker, 2006; Wagner, et al., 2006). While leaders might wish for a step-by-step process, in reality, a principal cannot afford to focus attention on only one aspect of the school environment at a time, ignoring the rest (Fullan, 2010). Therefore, a systemic approach is necessary to successfully change the behaviors, norms, and beliefs of the school community. The principal "must take the time to understand each interaction and its impact on the entire system, and then communicate this complexity in a manner that enables each member of the organization to understand and consistently use these important interconnections" (Reeves, 2006, p. 45).

Leverage points for change within the school's program may be easy or difficult to pinpoint given the school's unique demographics, situation, or issues. While there are key elements that will have a significant effect, the principal should remember "change happens within a complex system of interrelated elements" (Zmuda, Kuklis, & Kline, 2004, p. 38). To make a difference within that system requires that "educators contemplate the elements, interrelate the various elements, discern the patterns that constitute the whole, and think through how to redesign, over time, the patterns for learning and growth to ensure that the school's purpose is achieved" (Zmuda, Kuklis, & Kline, 2004 p. 38).

Principals who take the time to identify leverage points can better focus resources on specific tasks (Kegan & Lahey, 2009). Focusing time, talent, energy, and fiscal resources provides an efficiency of scale and will help the staff and community better understand the steps needed to accomplish goals addressed in the shared vision (Fullan, 2008). In addition, principals adopting this strategy can find leverage points that reach across curricular, social, and leadership arenas. This interrelatedness of leverage points helps staff experience systemic change and improves the principal's chance of encouraging systemic thinking and action (Fullan, 2010). During the process of identifying leverage points, the principal should ensure that the tasks selected are for changes on which the staff members' and community's resources should be focused (Leithwood, Aitken, & Jantzi, 2006). While pinpointing a few specific elements to address is difficult, choosing too many items could overwhelm the staff.   Alternately, the principal should refrain from selecting too few tasks and fail to capitalize on the energized state of mind the staff and community members will experience after completing the shared visioning process (Reeves, 2009). The idea is to find just the right focus to create a leverage point for change.

Summary of the Literature

The findings presented a clear picture of the roles and responsibilities of today's school leaders. In particular, the principal is expected to guide and develop effective teachers in order to have the greatest impact on student achievement. Elmore (2000) stated, "The skills and knowledge that matter in leadership.. are those that can be connected to, or lead directly to, the improvement of instruction and student performance. Standards-based reform forces this question. It makes leadership instrumental to improvement" (p. 14). The roles and responsibilities listed in each of these studies support the development of effective school leaders

who can guide teachers toward using strategies and techniques that will help them achieve the goal of delivering quality instruction.

School leaders must attend to the important dynamics of change and inform their students, staff, community members, and themselves of the steps, processes, and expectations related to an effective change process.   In addition, finding the right leverage points that will have the most impact on teaching and learning is critical when determining which changes are necessary and needed. Fullan (2010) referred to this as "simplexity – finding the smallest number of high-leverage, easy-to-understand actions that unleash stunningly powerful consequences" (p. 16). In down-to-earth terms, Fullan was referring to practical, field-tested strategies that will improve teaching and learning in schools.

Need for Guidance and Training

A 2007 study entitled *Preparing school leaders for a changing world: Lessons from exemplary leadership development programs* stated the need to "develop principals who can engage successfully in many of the practices found to be associated with school success: cultivating a shared vision and practices, leading instructional improvement, developing organizational capacity, and managing change" (Darling-Hammond, et al., 2007, p. 148). According to Levine's study, *Educating School Leaders* (2005), "administrators have to lead their schools in the rethinking of goals, priorities, finances, staffing, curriculum, pedagogies, learning resources, assessment methods, technology, and use of time and space" (p. 12). Marzano, Waters, and McNulty (2005) found that the principal should serve as a "change agent who consciously challenges the status quo and systematically considers new and better ways of doing things (p. 45). Finally, Reeves (2009) stated, "Wise leaders must identify, document, and

replicate great practice, making wonderful practice more common, without diminishing it as commonplace" (p. 108).

The problem lies in the fact that "few of today's 250,000 school leaders are prepared to carry out this agenda. They were appointed to and educated for jobs that do not exist any longer" (Levine, 2005, p. 12). The traditional role of the school principal was to serve as a manager of the school facility, focusing on schedules, facility maintenance, and discipline. Data from the Education Week Research Center (2004) found that of the 10,000 principals interviewed, "only 27 percent spend part of the each day guiding the development or evaluation of curriculum and instruction, 53 percent report spending at least some time every day facilitating student learning, whereas 86 percent say they spend part of every day managing the school facilities and maintaining security within their buildings" (p. 5).

In addition, leadership training programs across the country are being criticized for their ineffective preparation of school leaders (Levine, 2005; Miller, Devin, & Shoop, 2007, Schlechty, 2009). Levine's report, *Educating School Leaders* (2005), found that "collectively, educational administration programs are the weakest of all the programs at the nation's education schools" (p. 14). "Despite the growing consensus about what needs to happen to better prepare school principals, most observers of the field agreed that change is still at the margins and has yet to reach the bulk of institutions that prepare future leaders" (Olson, 2007, p. 8).

The studies presented clearly define the roles and responsibilities that school leaders need at the present time to lead and guide effective school communities. Although these studies were able to define the role and responsibilities, few articles or books exist that describe exactly how a principal can lead a change process focused on the improvement of teaching and increased student learning. Therefore, the findings show a definite need for a practical guide of strategies

for current, new, and aspiring principals who wish to lead a change process focused on improved

teaching and learning.

CHAPTER 3 – Research Methodology

Introduction

The research and development (R & D) methodology used to develop the handbook was defined by Gall, Borg, and Gall (1996) as "an industry based development model in which the findings of research are used to design new products and procedures. These procedures are then systematically field-tested, evaluated, and refined until they meet specific criteria for effectiveness, quality, and similar standards" (p. 712). The result was a validated product ready for dissemination to prospective users.

Creating an educational R & D product in the form of a handbook allowed the researcher to provide practical applications of the implementation strategies included. The researcher regarded this process as a series of phases where the concepts and preliminary products were cycled from the researcher to a set of experts who helped the researcher fine tune and hone the product at three separate times. The feedback from experts allowed the researcher to produce a handbook that has been researched and validated. The phases of the R & D process (Figure 1) for development of the handbook included:

- Literature review and needs assessment

- Proof of concept: Planning a prototype and small feasibility study

- Development of the prototype

- Preliminary field testing and evaluation of the prototype

- Initial revision of the handbook

- Main field testing of the handbook

- Final revision and improvement of the handbook (Borg and Gall, 1989).

Figure 1: Phases of the R & D Process

Final Revision and
Improvement of
the Product

Main Field Testing
of the Product

Initial Revision of
the Product

Preliminary
Field Testing
of the Product

Development
of Prototype

Proof of Concept
Survey

Research and Needs
Assessment

Adapted from Borg and Gall, 1989
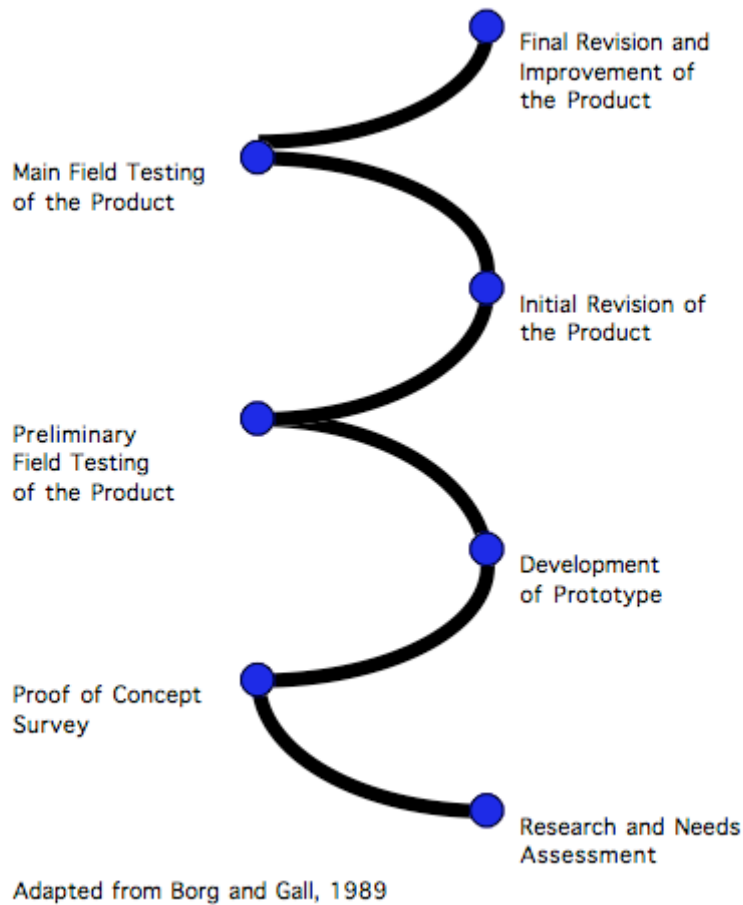
The policies and guidelines established by the Institutional Review Board at Kansas State University for the study of human subjects were strictly followed. All preliminary and main field test participants were required to sign an Informed Consent Form (see Appendix A) before participating in the study.

Research Analysis and Proof of Concept

The research analysis involved a preliminary review of the literature pertaining to systematic school reform, theories of change, leadership responsibilities, professional learning communities, and instructional practices.   From the research and review of the literature, a

detailed outline of the handbook (see Appendix B) relating to four key areas of implementation strategies was created and used for the Proof of Concept.

To determine a need for this handbook, a proposed outline (see Appendix B) was sent to four individuals who are recognized nationally as experts in leadership, change theory, and/or school reform. An individual with a nationally recognized reputation was defined as: (1) An individual who has published one or more books on the topics of leadership, change theory, and/or school reform; or (2) A school improvement consultant who works with schools or school districts in the areas of leadership, change theory, and/or school reform at the national level (i.e., in six or more states). Proof of concept experts included Dr. Michael Fullan, Dr. Shirley Hord, Dr. Brian McNulty, and Dr. Timothy Ott. Table 4 contains a description of the proof of concept experts' qualifications.

Table 4: Proof of Concept Experts

Name	Title and Organization	Qualifications
Dr. Michael Fullan	Professor Emeritus of the Ontario Institute for Studies in Education of the University of Toronto.	Worldwide authority on educational reform. Published author, including *Leading in a Culture of Change* (2002 Book of the Year Award by the National Staff Development Council) and *Breakthrough* (2006 Book of the Year Award from the American Association of Colleges for Teacher Education).
Dr. Shirley Hord	Scholar Laureate associated with the National Staff Development Council, following her retirement as Scholar Emerita at the Southwest Educational Development Laboratory in Austin, Texas.	Administered and conducted research on school improvement and the role of school leadership in school change. Published author, including *Implementing Change: Patterns, Principles, and Potholes (3rd edition)* with Gene Hall and *Guiding Professional Learning*

		Communities: Inspiration, Challenge, Surprise, and Meaning with James Roussin and William Sommers.
Dr. Brian McNulty	Vice President of Leadership Development for The Leadership and Learning Center. Previously served as Vice President for Field Services at the Mid-continent Research for Education and Learning (McREL) in Denver, Colorado.	Leading authority on leadership development. Published author of *School Leadership that Works: from Research to Results*, an ASCD publication is co-authored with Robert Marzano and Tim Waters.
Dr. Timothy Ott	Chief Academic Officer, International Center for Leadership in Education in Rexford, New York.	Researches and publishes in the areas of school leadership, school excellence, and 21st Century Teaching and Learning.

The proof of concept returned the following information: (a) topics included in the outline were comprehensive, (b) there was definitely a need for this type of a handbook, and (c) school leaders definitely need strategies and tools for leading change. Dr. Shirley Hord commented, "We know that principals are the gatekeepers to change. They can lead it, guide it, or kill it" (personal communication, October 8, 2004).

Development of the Prototype

Based on the comments received from the Proof of Concept phase, a review of the literature, and an analysis of the format of other handbooks and guides currently on the market, an initial prototype of the handbook of implementation strategies for instructional leaders was developed. The decision on what specific strategies should be included in the handbook was based on a review of the literature on change theory, school leadership, and effective schools, and the roles and responsibilities of the school principal. Feedback from the proof of concept phase and ongoing conversations with practicing principals were also used to guide and shape the planning and design of the initial product. The development of *Implementation Strategies for*

Effective Change: A Handbook for Instructional Leaders began in October of 2004 and continued through July of 2010.

The handbook was intended as a guide to support school leaders who are engaged in a change process focused on the improvement of instruction and increased student learning. A model was developed to provide a framework and structure for developing the handbook around the following key areas: (1) developing leadership skills, (2) establishing the organizational structure within the school community, (3) building the teachers' knowledge base, and (4) fostering an understanding of the change process.

Figure 2: Keys to Effective Change
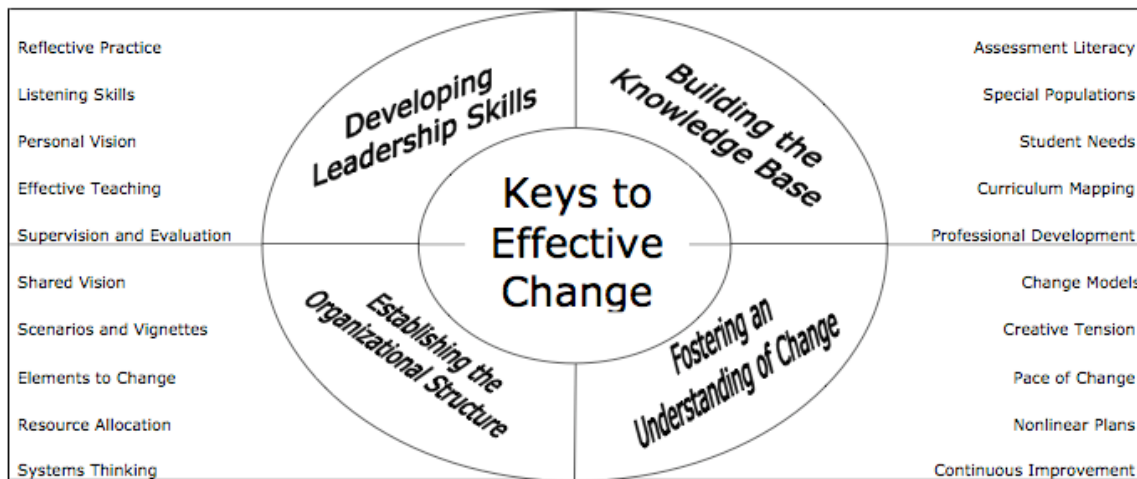
The handbook began with a preface describing the history of school reform and the principal's role within the school community. Next, an introduction described the principal's roles and responsibilities, change and systems thinking, and an overview of the handbook's contents. Following this introduction, four detailed chapters targeted specific components and strategies within each key area and provided tips for relating the component to the change process. Each chapter began with an introduction that described how the component relates to current research and then detailed specific strategies the principal may consider implementing.

In addition, reflective questions for each component were included that focus attention on the particular challenges facing the principal and the school community. Finally, a short list of recommended readings was offered to further enhance background knowledge and leadership skills.

In Chapter One, developing leadership skills clarifies personal beliefs and attitudes towards teaching and learning and provides additional skills of engaging in reflective practice, listening well, conveying consistent messages to the school community, and conversing regularly with staff members about effective teaching practice.

In Chapter Two, establishing the organizational structure establishes a solid framework that includes a shared vision, effective practices for discussing challenging issues, specific items to target for change, and appropriate measures for allocating resources. These organizational pieces are important aspects for dealing with systemic change and help the principal identify key leverage points that will move the school community forward in the change process.

In Chapter Three, building a knowledge base provides effective strategies for helping teachers become assessment literate, cope with the challenges of special populations, and address the specific learning needs of students. Curriculum mapping provides a structural piece that supports the curriculum, standards, and objectives that are vital to students' academic success. The professional development activities described can be used in numerous ways to encourage, strengthen, and fortify teachers' instructional skills.

In Chapter Four, fostering an understanding of change provides principals with theoretical frameworks for helping the school community understand and work through the change process. The strategies describe important components for change: creative tension that

promotes personal mastery, environmental conditions that maximize the potential for change to occur, and decision points that keep the change process moving forward.

The handbook ended with an afterword providing a summary of the findings, appendices of related tables and figures that support the components and strategies, and an extensive reference list.

Preliminary Field Test

Feedback regarding the general format and content of the handbook for an instructional leader was provided during the preliminary field test. The researcher originally proposed to have six experts complete a preliminary field test questionnaire (Appendix D) and evaluate the initial product. To obtain six reviewers, the researcher contacted fifteen potential experts and received positive responses from six. On July 31, 2010, the six experts received a letter of instruction, a questionnaire, the handbook, and a deadline of August 24, 2010. When the deadline arrived, the researcher had received completed questionnaires from five of the six. After contacting the remaining respondent, the researcher learned that the expert's staff had misplaced the handbook. Within a two-week period, the handbook was located and the sixth preliminary field test expert indicated that he might be able to complete the questionnaire by the first week in October. At that time, the researcher elected to proceed without his review.

The preliminary field test experts were selected from a pool of experts who met two or more of the following criteria:

1. An individual who has published one or more books or articles on the topics of leadership, change theory, and/or school reform.

2. A school improvement consultant who works with schools or school districts in the

    areas of leadership, change theory, and/or school reform at the state or national level

    (i.e., in six or more states).

3. An individual who works in the area of principal development and training.

The individuals selected for the preliminary field test were Dr. Thomas Hoerr, Dr. Shirley

Hord, Suzette Lovely, Dr. James Rickabaugh, and Dr. Joanne Rooney. Table 5 contains a

description of the preliminary field test experts' qualifications.

Table 5: Preliminary Field Test Experts

Name	Title and Organization	Qualifications
Dr. Thomas Hoerr	Head of School, New City School in St. Louis, Missouri.	Published author: *Becoming A Multiple Intelligences School*, *The Art of School Leadership*, and *School Leadership for the Future*. Writes a bi-monthly column for *Educational Leadership*.
Dr. Shirley Hord	Scholar Laureate associated with the National Staff Development Council, following her retirement as Scholar Emerita at the Southwest Educational Development Laboratory in Austin, Texas	Administered and conducted research on school improvement and the role of school leadership in school change. Published author, recent works: *Implementing Change: Patterns, Principles, and Potholes (3rd edition)* with Gene Hall and *Guiding Professional Learning Communities: Inspiration, Challenge, Surprise, and Meaning* with James Roussin and William Sommers.
Suzette Lovely	Assistant Superintendent of Personnel Service with the Placentia-Yorba Linda Unified School District, Placentia, California.	Published author: *Generations at School: Building an Age-Friendly Learning Community*, *Staffing the Principalship:*

		Finding, Coaching, and Mentoring School Leaders, and *Setting Leadership Priorities: Whats Necessary, Whats Nice, and Whats Got to Go*
Dr. James Rickabaugh	Superintendent of Schools, recently retired from Whitefish Bay, Wisconsin. Currently serves as an Associate for Hazard, Young, Attea & Associates, Ltd. (an executive search company for principals).	Published author with The Master Teacher® in the areas of leadership and professional development for teachers.
Dr. Joanne Rooney	Co-Director of Midwest Principals' Center in Wheaton, Illinois.	Provides guidance in the preparation of school principals, the mentoring of newly hired principals, and the training of principals who will serve as supervisors of intern principals. Writes a bi-monthly column for *Educational Leadership*.

Each expert was given an informed consent form, a letter of instruction (Appendix C), a questionnaire (Appendix D), and a copy of the handbook. The questionnaire completed by the experts included three parts: format of the handbook, content of the handbook, and additional comments or suggestions. When evaluating the format of the book, the experts were asked to consider whether the content was presented in a logical sequence, the organizational components facilitated reader use, the text was clear, concise, and easy to read, and if the format of the handbook was attractive. Content questions included whether the handbook was based on current practices, if appropriate strategies had been included, if accurate information was provided, and if the handbook would be a useful tool. The comments and suggestions part asked open-ended questions related to the handbook's strengths and weaknesses, whether additional content should be included, and tips for making the content clear or more readable.

The first two parts of the preliminary field test questionnaire asked experts to rate the format and content of the book using a five-point Likert scale: 1- Strongly disagree, 2- Disagree, 3 – Neutral, 4 – Agree, 5 – Strongly agree. Table 6 summarizes the mean response for each of the ratings of the handbook's format and content. The ratings indicate that the experts found the format and content to be satisfactory.

Table 6: Preliminary Field Test Results for the Format and Content of the Handbook

Format of the Handbook	Mean Score
1. Content is presented in logical sequence.	4.4
2. Organizational components facilitate reader use.	4.4
3. Text is clear, concise, and easy to read.	4.2
4. Handbook is presented in an attractive format.	3.6
Content of the Handbook	
5. Content is based on current practices.	4.4
6. The appropriate strategies have been included.	4.2
7. Handbook provides accurate information.	4.6
8. Overall, the handbook will be a useful tool.	3.6

All three parts of the questionnaire included open-ended questions that allowed the experts to provide comments and suggestions for improvement and revision of the handbook. Table 7 contains the specific comments written by the experts and the researcher's actions in regard to the comments. The researcher's actions were categorized with three identifiers: Agreed (the researcher agreed that the change was needed and made the appropriate revision to the handbook); Disagreed (the researcher disagreed with and provided the rationale for not accepting the suggestion for revision to the handbook); and Acknowledged (the researcher acknowledged the comment and no revision was necessary).

Table 7: Preliminary Field Test Comments and Actions

Format of the Handbook	Researcher's Action
1. Content is presented in logical sequence	
Reviewer A: The overall model is clear, concise and focuses on the key elements that appear to relate to and drive change and	Acknowledged.

improvement. The presentation of topics, processes and tools make excellence sense, build on each other and continue to move the reader forward. Very well organized.	
Reviewer B: I thought of several different ways to organize the content, then discarded them, for individuals think and process information differently, and no one way will fit all, so it's fine.	Acknowledged.
Reviewer C: No comment.	
Reviewer D: Organized very well.	Acknowledged.
Reviewer E: No comment.	
2. Organizational components facilitate reader use.	
Reviewer A: Very well done! Each element and discussion area includes multiple examples, specific directions and alternate courses of action to consider. Further, the organization of the document allows for application and adjustments as work progresses in the change process. The only suggestion in would have is to consider embedding more of the tools in the text. Some readers will more able to visualize the work and understand explanations if the tools are immediately available rather than at the end of the handbook.	Agreed. Will pursue embedding the tools into the main text of the handbook if and when a book contract is received.
Reviewer B: The organizational components that serve as sub-parts of the chapters work very well. Thanks for the initial introduction/overview and for the ending short summary.	Acknowledged.
Reviewer C: No comment.	
Reviewer D: Patterns help. Diagrams also. All chapters follow a sequence that is consistent.	Acknowledged.
Reviewer E: No comment.	

3. Text is clear, concise, and easy to read.	
Reviewer A: The writing is tight, yet easily digested. The general organization of topics, examples and questions gives a nice flow to the document. I noted few "typos" throughout. (Reviewer included short list for researcher.) As noted earlier, directions provided are easy to follow and include a variety of options and approaches to consider.	Acknowledged. Typos fixed.
Reviewer B: Great job of writing! It is clear and concise – *crisp*, as Matt Miles would say. And, no misspellings, punctuation needed, or grammatical errors that typically appear at this stage and are so very distracting to the reader. Thank you for caring for this.	Acknowledged.
Reviewer C: No comment.	
Reviewer D: Is it a dissertation or a handbook? As a dissertation, it is excellent – needs much work before it becomes a usable tool for busy practitioners.	Acknowledged.
Reviewer E: Is there a way to condense the information? Principals seem to appreciate Reader's Digest versions, rather than longer text/chapters.	Disagreed. Researcher set out to write a comprehensive guide based on comments from the proof of concept phase, not a "Reader's Digest version."
4. Handbook is presented in an attractive format.	
Reviewer A: The format is very attractive, although as noted earlier, embedding more of the tools in the text might break up some of the narrative and allow for more reflection and mental application while reading. However, including the full complement of tools at the end may allow for easier "lifting" for use.	Agreed. Will pursue embedding the tools into the main text of the handbook if and when a book contract is received.
Reviewer B: Interesting question – format. I would say it is rather "plain vanilla." I do not require cutesy whirls and flourishes, but you might think of some consistent icon to use for the summaries, or such. This is not a strong recommendation; just that it could use a wee	Agreed. Added icons to each of the headings that are common to each component in the handbook's chapters.

trifle of jazzing up. **Reviewer C:** No comment. **Reviewer D:** Format is a dissertation style of writing – academia must translate into a more readable format and some adaptation of language (skip citations in handbook, for example). **Reviewer E:** No comment.	Disagreed. According to NCLB guidelines, principals and teachers must use research-based, proven strategies to effect change. In addition, all researchers must credit original sources. Skipping citations is not an acceptable practice.
Content of the Handbook	
5. Content is based on current practices.	
Reviewer A: Overall, the practices presented and recommended are very usable to today. Even though a number of sources date back more than a decade or two, the content remains relevant today. In fact, the only clearly dated reference I noted was on pages 84-85 where the 2000 census data was used to predict teacher turnover in the coming decade. At this point the decade referred to is past, so the reference is no longer predictive. I found myself making notes throughout the text in order to come back to sources and key points for further research and reflection. Well done! **Reviewer B:** Content based on current practice – I hope not, at least, not in many cases. I think that for improvement, we are looking for practices beyond what we are using, that are not working. Further, I would hope that the content, in a large way, is based on research about what works.	Agreed. Revised handbook includes current data related to predictions of teacher retirement. Disagreed. Current research shows that the role of the principal has changed from a manager to a leader focused on identifying elements within the school community that need improving, especially in the area of instructional practice and bemoans the fact that most principals are ill-prepared for this change (Darling-Hammond, 2007; Levine, 2005; Marzano, Walters, & McNulty, 2005; Leithwood & Riehl, 2003). The scope of this study was not to develop new strategies, but to use what currently works.

Reviewer C: No comment. **Reviewer D:** Amazing thoroughness – however, as a <u>handbook</u>, do we have TMI (Too much information)? **Reviewer E:** No comment.	Disagreed. Book is a comprehensive guide and the scope of the handbook was based on current research related to the roles and responsibilities of today's principal.
6. The appropriate strategies have been included.	
Reviewer A: The strategies presented seemed very appropriate for the purposes of the document. The reader is presented with a number of options in virtually every section. The strategies are well researched and appear to have been well used by practitioners. I found the references to scenarios and vignettes particularly interesting. I am very familiar with scenario planning, so at first I thought that the theory and application were headed in that direction. However, the use described seems very powerful as a way for staff to understand the nature and implications of change. I also found myself wondering in a couple of places about missing elements, but in each case my questions were answered by skillful additions, added layers and thoughtful references to previous content and discussions as the document unfolded. **Reviewer B:** There are certainly some elegant strategies included, and it is not possible to include all, especially in this book that is trying to cover a broad spectrum of content and material. **Reviewer C:** No comment. **Reviewer D:** Again, excellent ideas – but buried in text. **Reviewer E:** No comment.	Acknowledged. Acknowledged. Acknowledged.

7. Handbook provides accurate information.	
Reviewer A: As noted above, I found only one reference that projected forward in relation to a decade already passed. Otherwise, I noted no inaccuracies.	Agreed. Revised handbook includes current data related to predictions of teacher retirement.
Reviewer B: There is, of course, no way for any one individual to ascertain if all the information is accurate. I was a bit disturbed by the quotation on page 155, from DuFour and Eaker, proclaiming that small group collaboration is the hallmark of a PLC. If one considers the three words and their meanings, we learn that *professionals* in the school or district (who have the responsibility and accountability to provide an effective instructional program for students), or whatever the organization, come together in *community*, to do --- what? --- to *learn*, the purpose of the PLC. Collaboration is one ingredient that supports the learning; it is one rib but not the whole umbrella (of PLC). Ah, forgive my level of detail.	Agreed. Removed the quote from the paragraph.
Reviewer C: No comment.	
Reviewer D: Amazing depth and breadth!! I've been in the business a LONG TIME. This "handbook" has everything in it.	Acknowledged.
Reviewer E: No comment.	
8. Overall, the handbook will be a useful tool.	
Reviewer A: Without question, the handbook will be a useful tool for the principal and staff committed to getting change right and making certain that change leads to clear improvement in student learning. It also likely will prove to be a flexible tool as principals adapt their use of the handbook to fit the uniqueness of their situations.	Acknowledged.
Reviewer B: Indeed, yes. It is a very nice contribution to the resources that support school change and improvement, and the role	Acknowledged.

of principal therein. **Reviewer C:** No comment. **Reviewer D:** No. Must be reformatted, simplified and morphed from an academic endeavor to a usable book – it is worth the effort. **Reviewer E:** No comment.	Disagreed. While the book is complex, its strength is its ability to appeal to a wide audience and to be used as a reference and a guide over time.

Additional Comments/Suggestions	
9. What is the greatest strength of the handbook?	
Reviewer A: I found the detailed descriptions of each component of the change process to be very useful. They also seemed to build well on each other as I made my way through the document.	Acknowledged.
Each of the processes described and suggestions offered were accompanied by ready references so the reader can access original sources and secure additional details if desired.	Acknowledged.
The organization of the handbook allows a busy principal to read, reflect, plan, act and adjust as she or he moves through change process with staff and community.	Acknowledged.
The choice to start with the work principals must do with themselves prior to engaging staff and community is both wise and practical. Without this step, the remainder of the work will be constantly at risk.	Acknowledged.
The content also reflects a good balance between tasks and meaning. Your careful attention to reflection, emotion, readiness, preparation and other elements reflects good balance throughout.	Acknowledged.
Reviewer B: Great strength is the rich compendium of ideas and material, all in one	Acknowledged.

package. A volume of distinction. Very powerful is the inclusion of processes, procedures presented in step-by-step series (i.e., "the next step", "at this point"). Additionally, the tools, suggestions for further reading, and references (to access more frameworks, tools) are quite valuable. The authors/sources of material are reliable and accepted, generally, in the literature. It's a very good take on "what to do" and "how to do it."	
Reviewer C: Encompassing.	Acknowledged.
Reviewer D: Depth and breadth up to date, yet grounded in deep research – has "roots" and "wings."	Acknowledged.
Reviewer E: The current theories and scholarly literature cited. I also liked the sample personal vision statements.	Acknowledged.
10. What is the greatest weakness of the handbook?	
Reviewer A: As noted earlier, I found few weaknesses. The only suggestion I can make is to consider embedding more tools in the text rather than leaving them to the end. This approach seems more reflective of a handbook over a textbook.	Agreed. Will pursue embedding the tools into the main text of the handbook if and when a book contract is received.
Reviewer B: Its greatest weakness is the same as its strength. There is so much material that I wonder how any individual can approach it.	Acknowledged.
Reviewer C: Too encompassing. I question whether it will be a resource.	Acknowledged.
Reviewer D: Format. Plethora of verbiage. Academic language.	Acknowledged.
Reviewer E: It may cover too much. A "handbook" makes me think of a short reference guide or condensed resource. This material seems to go well beyond this and	Disagreed. The purpose was to develop a comprehensive guide for principals, not a short reference guide or condensed resource.

touches on several different topics.	
11. What content would you add or delete?	
Reviewer A: I cannot think of any content I would delete. However, you might consider a reference to the broader discipline of scenario planning in the section that deals with scenarios and vignettes. The approach might be similar to your brief reference to transformation and subsequent focus on the change process. I don't think that a detailed discussion of scenario planning is warranted, but some readers may become confused when the concept of scenarios is introduced.	Agreed. Revised handbook includes "a reference to the broader discipline of scenario planning."
Reviewer B: Did I see an instrument that a leader could use for self-assessment of the topics, and that could lead him/her toward those items that would be most beneficial? If there isn't one, it could be a strong addition, I think.	Agreed. Revised handbook includes a self-assessment survey in the introduction.
Reviewer C: I'd narrow the scope significantly. I'm surprised that Barth's "collegiality" is barely addressed.	Disagreed. The scope of the handbook was based on current research and feedback from the proof of concept phase. Agreed. Revised handbook included references to Barth's "collegiality" in Chapter 4.
Reviewer D: Depends on who is audience – WHAT purpose it serves and HOW it can be an easily accessible tool.	Acknowledged.
Reviewer E: Is there a way to streamline Chapter 3? It has many topics that while important, may be independent of one another. It was a bit overwhelming for me to read through. I wonder if this chapter could even be deleted.	Disagreed. The scope of the handbook was based on current research and feedback from the proof of concept phase.

12. What suggestions do you have for making the content more clear or understandable?	
Reviewer A: No suggestions. The content seems very clear and understandable.	Acknowledged.

Reviewer B: I don't think you should add anything, except an index. It is already very heavy, though valuable. However, an index would be greatly appreciated.	Agreed. Will pursue adding an index if and when a book contract is received.
I would hope that the reader/user of the manuscript will not think that accomplishing all these new skills, content, and strategies will be easy, nor quick. Perhaps that message should be the "sign-off" at the end, or somewhere, somehow.	Revised the handbook includes this message in the afterword.
Good show. I was pleased to have invested the time for the review. Bravo!!!	Acknowledged.
Reviewer B: Thank for sharing. I really LIKE your concluding paragraph -- it acknowledges the challenges but encourages with the rewards. Good show!!!	Researcher sent revised afterword to Reviewer B for comment. Acknowledged.
Reviewer C: See #11.	Acknowledged.
Reviewer D: Format. "Plainspeak". Table of contents clearer – I'd suggest a notebook style. Tabs – readable print. Needs to morph from a dissertation to handbook.	Disagreed. Researcher did not intend to produce a "notebook" style format.
You have amassed an amazing compendium of information in this "handbook." Its breadth of information and depth of understanding is without equal. My first shock when receiving the document (what did I commit to?) was changed to a respect for the work in this document, the organization of the material, and the writing style.	Acknowledged.
You have two things here. One is a dissertation with citations, bibliography, and quotations. The proper marks of a true academician…and a truly comprehensive presentation of everything! a principal needs to know.	Acknowledged.
Now the task is to translate this work into something a busy principal can use.	Acknowledged.

1. Publish this. It is too good to miss. Chapters of this could be used as text for graduate study. (I might steal some myself if you don't mind.)	
2. Simplify. I don't know how you can do this. Organizing it clearly might help. You have theory and then some practical ideas for implementing. Let the reader know exactly which is which. If I want to know theory (do principals?) it is here on these pages in clear language. Then let the reader know clearly – here's what the theory "looks like" and how it "works on Monday morning".	Disagreed. Use of current research and data to inform practice is now expected of today's principals. Waters, Marzano, and McNulty (2003) identified intellectual stimulation as one of the 21 key responsibilities for principals and recommended that principals "ensure that faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture" (p. 12). This handbook has attempted to give principals the theoretical background for the recommended strategies.
3. Format. This is critical. The font, print, size. Diagrams (your few help). Perhaps a real notebook in which pages can be inserted or pages on which notes can be taken. It must be morphed from a comprehensive study of all that is known about the principalship into a practical tool.	Disagreed. Researcher did not intend to produce a "notebook" style format.
The belief that we learn to "principal" by reading a book is simply untrue. If so, any principal reading your "handbook" would be excellent upon finishing! It is ALL there.	Acknowledged.
Read the work once more with this question. Will the information here be relevant in five years? Take out anything that is superficial or "in" at the moment. You seem to avoid this in most places. But what is "in" today will be gone tomorrow. Stick to the essentials. They are there.	Acknowledged. The content of the handbook was based on information gathered from the proof of concept stage and current research.
Your work on non-linear organizations is so exciting. You could do a great article on that. Very hard to understand for the practicing principal who lives in a very linear	Acknowledged.

organization – both as a mental model and the real world of school organization.	
Good luck. Keep in touch. I'd love to see the final edition – This is too good to bury on the "dissertation shelf." Translate it into a real handbook – something I can pick up, find the "stuff" I need to know and some ideas how to do it.	Acknowledged.
Reviewer E: Consider using Leithwood, et al.'s research to frame each (section). The three research based practices that influence learning the most are now noted: I – Setting Direction II – Develop People III – Make the Organization Work Could you use these three overachieving leadership skills to show how change is facilitated?	Disagreed. While the researcher refers to Leithwood, et al.'s research and acknowledged its importance, she did not intend to model her framework after the work of these authors.

The preliminary field test experts' comments indicated that the handbook was comprehensive, well written, and thorough. Extremely low ratings regarding whether the handbook was presented in an attractive format and would be a useful tool came from Reviewer D, who suggested that the handbook be changed to a notebook format and leave out research citations. However, Reviewer D also acknowledged that the handbook "has everything in it," "was up to date," and was "grounded in deep research." The researcher intended to create a comprehensive guide based in current research and did not set out to create a notebook style format for the content. Based on the comments and ratings provided by the preliminary field test experts, the researcher began the initial revision of the handbook (R & D development process).

Initial Handbook Revision

The initial revision of the handbook for instructional leaders began in August of 2010. The revisions were based on the comments and ratings provided by the preliminary field test

experts. The process of R & D followed the recommendation posed by Dick and Carey (1985) that "formative evaluation be used to collect data in order to revise the product, to make the product as effective as possible" (p. 198). Because this process was a systematic approach to developing and revising educational products, the researcher understood that data collected during the proof of concept and preliminary field test stages might alter the outline and content of the handbook.

Several additions and revisions were made to the handbook. To help produce a more attractively formatted handbook, the researcher added icons to each of the component headings. The researcher also corrected a few typos, updated data on predictions of teacher retirement, and removed a quote from DuFour and Eaker on small group collaboration. Clarifications to the components including scenario planning and Barth's "collegiality" were made. A self-survey was included in the introduction as a tool to help the principal focus attention on the components and strategies the principal is either unfamiliar with or has not yet implemented.

The researcher determined that some suggestions for revision would not be made. At the present time, an index will not be created and the tools placed in the appendix will not be embedded in the text. Handbooks at this stage of development do not typically include an index and the tools are accessible in the appendix. Both of these suggestions will be broached if and when a book contract is secured. A few comments were made to simplify the handbook and to narrow the scope. However, based on current research and the researcher's practical experience, today's principals must attend to a broad spectrum of responsibilities. The handbook provided a comprehensive overview of these responsibilities along with background information rooted in current research, practical applications that can be implemented immediately, and additional resources for the principal who needs more. Effective change that is focused on improving

instruction and raising student achievement is not an easy task and requires a comprehensive base from which the principal must operate. The handbook was designed to be a guide that could be used by current, new, and aspiring principals over and over again as circumstances and needs arise. Following the revision of the handbook, the main field test was conducted.

Main Field Test

The main field test of the handbook, *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders*, took place in September of 2010. The purpose of the main field test was to obtain additional information on the usability and usefulness of the handbook. The researcher asked ten experts to complete a main field test questionnaire (Appendix F) and evaluate the revised product. The main field test experts were selected from a pool of experts who met one or more of the following criteria:

1. An individual who has published one or more books or articles on the topics of leadership, change theory, and/or school reform.

2. A school improvement consultant who works with schools or school districts in the areas of leadership, change theory, and/or school reform at the state or national level (i.e., in six or more states).

3. An individual who works in the area of principal development and training or who is a former or practicing administrator.

4. An individual who was nominated by one of the experts from the Proof of Concept phase and/or the Preliminary Field Test phase.

The individuals selected for the main field test were Sandra E. Anderson, Tanya Channell, Dr. Michael Contompasis, Dr. Sandra Crowther, Boyce Heidenreich, Dr. Kirsten

Olson, Dr. Karla Reiss, Dr. Clark Reinke, Dr. Dennis Sparks, and Dr. Todd Whitaker. Table 8

contains a description of the main field test experts' qualifications.

Table 8: Main Field Test Experts

Name	Title and Organization	Qualifications
Sandra E. Anderson	Educational consultant with Exemplary Education L.L.C., in Newcastle, Washington.	A former teacher, reading specialist, principal, and national staff development director with over 30 years in the field of education. Offers training in strengthening reading and writing achievement and enhancing leadership for literacy. Published author of *The Book of Reading and Writing Ideas, Tips, and Lists for the Elementary Classroom*.
Tanya Channell	Elementary School Principal. Recently retired from Olathe Public Schools in Olathe, Kansas.	A former teacher and principal with over 45 years in the field of education. Opened several new schools that incorporated use of best practice and cutting edge technology.
Dr. Michael Contompasis	Recently retired after two years as Superintendent of the Boston Public Schools. Currently serving as unpaid advisor to the Mayor of the City of Boston in addition to his role as Senior Field Consultant for the School Turnaround Group.	A former teacher and administrator with over 45 years in the field of education.
Dr. Sandee Crowther	2010 PDK Board President, Leadership coach and trainer for Coaching School Results, Inc. in Lawrence, Kansas.	A former teacher and administrator with over 40 years in the field. Career has focused on professional development, school improvement, and student support services.

Boyce Heidenreich	Professional Development Director with the Bureau of Education & Research in Bellevue, Washington.	A former teacher and administrator with over 40 years in the field. Work focuses on developing staff development and training resources for educators in North America.
Dr. Kirsten Olson	Principal of Old Sow Educational Consulting in Brookline, Massachusetts.	Work focuses on reconfiguring school culture to better support all learners, and addressing learning disengagement and learning reluctance. Published author of *Wounded By School: Recapturing the Joy in Learning and Standing Up To Old School Culture*.
Dr. Karla Reiss	Founder of The Change Place in Boulder, Colorado.	Work focuses on the impact of coaching for strengthening leadership for individuals and organizations. Published author of *Leadership Coaching for Educators: Bringing Out the Best in School Administrators*.
Dr. Clark Reinke	Superintendent of Plymouth School District in Plymouth, Wisconsin.	A former teacher and administrator with over 35 years in the field. Nationally recognized for creating model professional development and school improvement programs.
Dr. Dennis Sparks	Emeritus executive director of National Staff Development Council (NSDC).	Currently works with leadership teams in developing their capacity to continuously improve teaching and learning in all classrooms. Served as the executive director of NSDC for more than 20 years.
Dr. Todd Whitaker	Professor of educational leadership at Indiana State University in Terre Haute,	Published author of 21 educational books including the national best seller,

	Indiana.	*What Great Teachers Do Differently*. Other titles include: *Dealing With Difficult Teachers, Teaching Matters, Great Quotes for Great Educators, What Great Principals Do Differently, Motivating & Inspiring Teachers, and Dealing With Difficult Parents.*

Each expert was given an informed consent form, a letter of instruction (Appendix E), a questionnaire (Appendix F), and a copy of the handbook. The questionnaire completed by the experts included three parts: usability of the book, content of the book, and additional comments or suggestions. When evaluating the usability of the book, the experts were asked to consider whether the content was organized in a logical sequence, if the writing was clear, concise, and easy to read, if the book was presented in an attractive format, and if the book provided useful information. Content questions included whether the book is relevant and timely, if the book provides appropriate guidance, strategies, and resources on how to lead effective change focused on improving teaching and learning in a school setting, and if the content blends theory, research, and practice into a practical resource for an instructional leader. The comments and suggestions part asked open-ended questions related to what revisions should be made to the writing and format of the book, suggestions for making the content more clear or understandable, areas that need more clarification, and additional comments.

The first two parts of the main field test questionnaire asked experts to rate the usability and content of the book using a five-point Likert scale: 1- Strongly disagree, 2- Disagree, 3 – Neutral, 4 – Agree, 5 – Strongly agree. Table 9 summarized the mean response for each of the

ratings about the book format and content. The ratings indicated that the experts found the

format and content to be satisfactory.

Table 9: Main Field Test Results for the Format and Content of the Book

Usability of the Book	Mean Score
1. The book is organized in a logical sequence.	4.6
2. The writing is clear, concise, and easy to read.	4.6
3. The book is presented in an attractive format.	4.2
4. Overall, the book provides useful information.	4.8
Content of the Book	
5. Content is relevant and timely.	4.4
6. Content provides appropriate guidance, strategies, and resources on how to lead effective change focused on the improvement of teaching and learning in a school setting.	4.3
7. Content blends theory, research, and practice into a practical resource for an instructional leader.	4.3

All three parts of the questionnaire included open-ended questions that allowed the

experts to provide comments and suggestions for improvement and revision of the book. Table

10 contains the specific comments written by the experts and the researcher's actions in regard to

the comments. The researcher's actions were categorized with three identifiers: Agreed (the

researcher agreed that the change was needed and made the appropriate revision to the book);

Disagreed (the researcher disagreed with and provided the rationale for not accepting the

suggestion for revision to the book); and Acknowledged (the researcher acknowledged the

comment and no revision was necessary).

Table 10: Main Field Test Comments and Actions

Usability of the Book	Researcher's Action
1. The book is organized in a logical sequence.	
Reviewer A: No comment. **Reviewer B:** No comment. **Reviewer C:** No comment.	

Reviewer D: Yes. See #8.	Acknowledged.
Reviewer E: No comment.	
Reviewer F: Extremely well organized and easy to follow.	Acknowledged.
Reviewer G: The 4 chapters are somewhat stand-alone. Personally I think Chapter 1 and 3 are the most important for building administrators and the ones that have ideas that they will actually implement more readily than those in Chapter 2 and 4. If you want the reader to get going - what will they start with? The graphic xvii - is excellent to understand the overview of the book.	Acknowledged. Revisions after the preliminary field test included the addition of a personal survey in the introduction. The researcher believes the place to begin is with oneself, hence the topics included in chapter one.
Reviewer H: No comment.	
Reviewer I: Sequence is good.	Acknowledged.
Reviewer J: No comment.	
2. The writing is clear, concise, and easy to read.	
Reviewer A: No comment.	
Reviewer B: The writing was very clear and easy to navigate. Having read much of the research cited may have made it easier for me than for someone who had not participated in professional reading. However, I would hope any building principal using the book would have some knowledge of the research cited.	Acknowledged.
Reviewer C: Books that are intended to be scholarly yet accessible are very difficult to write, at least in my experience. The book contains lots of ideas and practices, often densely packed (some paragraphs could require a substantial amount of time to truly understand) and fairly abstract, a barrier that may prove difficult for leaders to surmount who are already overwhelmed with professional literature in one form or another. While the exercises and resources help	Acknowledged.

balance the book's scholarly requirements, it may prove to be a demanding and difficult read for busy principals. But for those who are motivated or engaged in graduate courses, the book will be an incredible resource.	
Reviewer D: Minor suggestions: (Reviewer included list of specific sentence edits for researcher.)	Agreed. Revised handbook includes specific edits from this list.
Reviewer E: No comment.	
Reviewer F: Given how comprehensive this book is, it is wonderfully clear and easy to read. I had no problem understanding the key points and critical messages.	Acknowledged.
Reviewer G: The practical tips and steps make it easy to understand what might be implemented to be a successful leader. There is so much information, it will take a discerning reader to focus in on what to start with and learn how to be reflective about what is making a difference. Starting with the self-assessment early in the book should engage the reader.	Acknowledged.
Reviewer H: It is straightforward and workmanlike. It is not inspiring.	Acknowledged.
Reviewer I: No comment.	
Reviewer J: No comment.	
3. The book is presented in an attractive format.	
Reviewer A: No comment.	
Reviewer B: Format is excellent.	Acknowledged.
Reviewer C: Not knowing what the book will look like in its final form with various design elements (assuming they will be present), it's impossible for me to access its attractiveness.	Acknowledged.
Reviewer D: Excellent use of the graphic	Acknowledged.

and consistent format.	
Reviewer E: It is not laid out as a book yet!	Acknowledged.
Reviewer F: Well done! You actually "invite" the reader to keep reading by making the format both attractive and logical.	Acknowledged.
Reviewer G: A printed format from the computer is different from what a published book might look. I would be curious to what you are thinking about in working with a publisher to make this a type of "Bible" for building administrators. In particular, how would you or the publisher make it more appealing to aspiring and beginning administrators, besides being a required textbook for a college course. I would want some of the figures and templates to be in a CD that comes with the book - Maybe even some templates to keep track of reflective thinking by administrators or to share with teachers.	Agreed. Researcher will pursue these suggestions when and if a book contract is secured.
Reviewer H: This is difficult to discern because of typescript manuscript. The figures are clear and easy to read.	Acknowledged.
Reviewer I: No comment.	
Reviewer J: No comment.	
4. Overall, the book provides useful information.	
Reviewer A: No comment.	
Reviewer B: I felt the book will be extremely useful. It truly included many aspects of the role of the principal as it should be in all schools. The book made it clear the role of the building manager no longer meets the expectations of a building principal.	Acknowledged.
Reviewer C: The book is an amazing compendium of ideas, resources, and activities, all well documented. Given that	Acknowledged.

only a small number of things can be implemented at one time or even during a given year, the challenge for many readers will be to prioritize the ideas and practices to determine where to begin. The text could easily overwhelm many leaders, particularly those new to their positions.	
Reviewer D: Definitely useful. Consider adding Recommended Websites listed under Recommended Readings, Top 10-20 books a principal might want to own.	Agreed. Revised Handbook includes a list of recommended websites in specific components throughout the book. Prior to the list of references, the researcher provided a list of the Top 20 Books a Principal Might Want to Own. The list was generated from personal preference.
Reviewer E: No comment.	
Reviewer F: "Useful" is definitely an understatement! This book is packed with practical ideas, hundreds of valuable resources, and the critical tips and tools that principals need to increase student achievement and improve instructional practice. It is an extremely valuable contribution to the field of educational leadership.	Acknowledged.
Reviewer G: The resources and citations are excellent. There are others besides Downey who have good ideas about Walk throughs however. Good to see the details about reviewing student work and ways to do it. Not as common a practice as it should be. The use of hyperlink references is very appropriate. Question: Will hyperlinks remain current over time? Use of Tomlison's graphic on Differentiate Instruction on page 135 is very useful.	Acknowledged. Internet sites often change over time. This is beyond the researcher's control.
Reviewer H: My general impression of the handbook is that it is a review of literature, not really a presentation of a new set of ideas or based on the author's actual experience leading school change.	Agreed. Researcher did not set out to create new techniques, nor did she intend to write a case study of her own experiences.

As it is, it is a very conventional, mainstream review of some of the oldies – but – goodies literature on school leadership. Much of the literature is from the early 1990 (or earlier) and in a field that is changing so rapidly I find this a little troubling. There is little different here from the standard ASCD/Educational Leadership article (point of view) from the early 2000s.	Acknowledged. To quote Reviewer F: "This is an impressive blend of the best research of the past 20 years and the most current research available."
You might look at the newest Ferguson literature (2010) from the Achievement Gap initiative that profiles 15 <u>REAL</u> schools with complex community/population/poverty challenges who have achieved significant change.	Agreed. Researcher read the most recent report from Ferguson, R. F.; Hackman, S., Hanna, R., & Ballantine, A., (June 2010). *How High Schools Become Exemplary: Ways that Leadership Raises Achievement and Narrows Gaps by Improving Instruction in 15 Public High Schools.* Report on the 2009 Annual Conference of the Achievement Gap Initiative at Harvard University. Revised handbook includes a reference to this work along with its five steps to becoming exemplary.
Reviewer I: Well thought out.	Acknowledged.
Reviewer J: No comment.	
Content of the Book	
5. Content is relevant and timely.	
Reviewer A: No comment.	
Reviewer B: The content was excellent. It truly was a description of the current expectations of the building principal.	Acknowledged.
Reviewer C: The book provides an excellent overview of topics that will be important and useful to many if not all school leaders.	Acknowledged.
Reviewer D: Absolutely! I'd love copies for friends.	Acknowledged.
Reviewer E: No comment.	

Reviewer F: This is an impressive blend of the best research of the past 20 years and the most current research available. The content of the book is definitely timely. It specifically addresses the needs of today's principals in ways that will positively impact student achievement.	Acknowledged.
Reviewer G: Thank you for including the section on continuous improvement and both step one and especially step two on research on cutting edge issues and the resources and concepts about 21st century learning - this too often is ignored.	Acknowledged.
A missing piece: Even though NSDC standards are cited in the professional development section there is no real mention of the importance of "follow-up" to ensuring effective implementation. In fact no real references to the importance of "coaching." There is mention of principals who listen well might assume coach-like conversations, but this is an area that is not only critical for change and implementation. Leadership coaching is beneficial not only to teachers but also administrators as they try new practices and strategies to impact student learning in their schools.	Disagreed. While the specific terms, "follow-up" and "coaching" may not be used extensively, the practice of revisiting topics, reviewing practices over time, and guiding staff members is embedded in many components throughout the book. Examples can be see in the components of Supervision and Evaluation, Professional Development, Creative Tension, and Pace of Change. The challenge for principals is that typical mentors (those who have more seniority in the district) have not been prepared to act in the role of an instructional leader.
Reviewer H: I'm sorry! See comments on question #4. **Reviewer I:** No comment. **Reviewer J:** No comment.	Acknowledged.
6. Content provides appropriate guidance, strategies, and resources on how to lead effective change focused on the improvement of teaching and learning in a school setting.	
Reviewer A: No comment. **Reviewer B:** No comment.	

Reviewer C: This is a tough question to answer because books by necessity offer a different kind of learning than that which can be acquired through face-to-face training and through conversations with colleagues. While the book offers many useful resources and strategies, implementing them requires (1) lengthy discussion within an ongoing group so that the idea or practice can be deeply understood, and (2) generous amounts of at-your-elbow assistance from colleagues, coaches, etc. to successfully implement them.	Disagreed. The researcher recognizes that working with a cohort group is certainly beneficial. However, principals who do not have this type of network will still be able to implement the strategies included in the handbook.
Reviewer D: 1. Good examples…good, add even more such as page 5, step 3.	Acknowledged.
2. Consider changing some examples….possibly p. 21, 2nd ex. Focus on student learning,	Disagreed. Researcher believes examining the school's instructional program to be a critical step for principals.
p. 196 non-linear examples something relevant to entire staff and more global.	Agreed. Revised handbook includes a more global example of a nonlinear plan.
3. Consider adding tips for new principals or principals in new schools. For example, page 34 (use of videotape, applauded during staff meetings….need to establish rapport and trust as well as judge self efficacy prior to using this strategy), p. 50 (walk throughs if staff are comfortable), p. 71 (value of dialogue sessions), p. 82 (value of climate surveys), p. 96 (teachers within the school), p. 180 (positive deviance). In my experience, new principals often try to move too fast before establishing the trust necessary.	Acknowledged. However, given that the recommendation from the majority of the reviewers was to avoid adding new material, the researcher decided to pursue this idea as a technique for expanding sections of the book if and when a book contract is secured.
Reviewer E: It is a little cumbersome for practitioners.	Acknowledged.
Reviewer F: I have seen no other book or resource that does a better job! This is truly an impressive publication.	Acknowledged.

Reviewer G: The tips and steps help to provide specific, practical ideas to implement and the focus is clearly on teaching and learning.	Acknowledged.
Reviewer H: No. Author has no real point of view, nothing that breaks the mold or describes own experiences of change.	Agreed. Researcher did not intend to "break the model" or report "own experiences of change." Rather, the researcher intended to describe best practice and provide tips for implementing these practices into any school setting.
Reviewer I: No comment.	
Reviewer J: Professional development section needs more depth. You focus on one-time activities, not on how a principal establishes a professional development program that leads to institutional change.	Disagreed. Throughout Chapter 3, the focus is on creating a learning environment where teachers continually participate in a variety of professional development activities that shape and hone their practice.
7. Content blends theory, research, and practice into a practical resource for an instructional leader.	
Reviewer A: No comment.	
Reviewer B: No comment.	
Reviewer C: No comment.	
Reviewer D: Outstanding!	Acknowledged.
Reviewer E: Might want to have more specific strategies on "how".	Acknowledged.
Reviewer F: This is a major reason for the book's relevance and it is why I believe it will be an outstanding resource for beginning as well as seasoned principals.	Acknowledged.
Reviewer G: There is a great deal of content - in fact reviewing the whole book is overwhelming and I have a knowledge base upon which to scaffold what is included. How will the ideas/concepts be internalized by the	Disagreed. Internalizing new information is the responsibility of the reader, not the researcher.

reader? This book would be great for a book study or a cohort group in administrative courses, but there is quite a bit to grasp and figure out how to implement and put into practice, especially for someone new or aspiring to be an administrator. Which pieces are the most important - how would the reader know?	Agreed. Participation in a book study with a cohort group is an excellent method for learning new material. Acknowledged. Determining which pieces are the most important is highly dependent on the particular characteristics of the school, the student population, and the staff's skills. The book was written as a guide to be used in multiple settings, by multiple users.
Reviewer H: As stated, this is a review of the conventional mainstream literature. Doing this work takes guts and heart, little talk about conflicts, challenges, and dilemmas.	Acknowledged.
Reviewer I: No comment.	
Reviewer J: No comment.	
Additional Comments/Suggestions	
8. What revisions should be made in the writing and format of the book?	
Reviewer A: No comment. **Reviewer B:** My only question about the format would be chapter 4 which is entitled "Fostering an Understanding of Change." Since the book is intended to be a handbook for the implementation of change, I wonder if chapter 4 should be at the first of the book describing the change process followed by chapters 1, 2, and 3 which describes the skills needed of the leader as well as the steps the leader needs to follow in implementation of change.	Disagreed. The researcher felt that the most important place to start was with the principal. Comments from other reviewers agreed with this decision.
Reviewer C: See #9.	Acknowledged.
Reviewer D: 1. I'd love to see the survey as a part of the appendix where it could be taken out and used. Also, possibly write in a more personal tone..such as <u>I use reflective practices</u>. Then leave a space for comment.	Agreed. The researcher decided to pursue this idea as a technique for expanding sections of the book if and when a book contract is secured.

2. Consider moving scenarios and vignettes to the end of the chapter. To me, it seemed to fit better at the end of the chapter.	Disagreed. Researcher placed scenarios and vignettes in this position in the chapter as a reminder to the principal to create situations whereby the staff can contemplate and discuss challenges; prior to determining which elements within the school setting need to be changed.
Reviewer E: Great stuff. It might be too long for a practitioner's book.	Acknowledged. Researcher followed up comment with a phone conversation. Reviewer E suggested that when the researcher approaches publishers, she might wish to present the idea of developing the book into a four part series with additional templates and examples.
Reviewer F: I have several suggestions (all minor) for revising the text, as follows: (Reviewer provided list of suggested edits.)	Agreed. Revised handbook includes specific edits from this list.
Reviewer G: I personally would reorder the chapters as mentioned earlier. I would add to the professional development section some research about the importance of follow-up and different ways to provide for follow-up.	Disagreed. Researcher carefully selected the order of the chapters. While the specific terms, "follow-up" and "coaching" may not be used extensively, the practice of revisiting topics, reviewing practices over time, and guiding staff members is embedded in many components throughout the book.
Reviewer H: I am not sure of the purpose of this book. It shows that the author has reviewed the recommended set of procedures for affecting change.	Acknowledged. The purpose of the book is to provide current, new, and aspiring principals with a guide for leading a change process focused on improving instruction and raising student achievement.
Reviewer I: No comment.	
Reviewer J: No comment.	
9. What suggestions do you have for making the content more clear or understandable?	
Reviewer A: I have one main suggestion...	Disagreed. This book is focused on the

that is to include coaching as a major strategy for affecting change in schools. Many people are unaware what coaches do, and the skills, competencies and "mindsets" of coaching. Coaching IS the change process. Change is about people, as you know. Educators focus change efforts on content and skills and wonder why change doesn't happen. Coaching is about people and process, not about content knowledge.	role of the principal, who indeed coaches and guides staff members. The role of an instructional coach is focused solely on working with teachers to improve practice. The strategy is worthy of attention, but is not appropriate to this book.
The world of education needs to better understand coaching, and how it is what educators must know in order to create lasting change in schools. I encourage you to add some focus to this little-understood, high impact strategy.	See comment above.
Reviewer B: The content is very clear and understandable.	Acknowledged.
Reviewer C: It's uncommon in my experience for scholarly books to be accessible to a broad cross section of practitioners. When dissertations are published for a readership beyond the academy they often require substantial rewriting to minimize the disruption to their flow required by extensive citations and to offer the reader a more accessible, conversational style of writing.	Acknowledged.
Reviewer D: Only those noted above.	Acknowledged.
Reviewer E: Possibly more "how to" things.	Agreed. See researcher comment on #8.
Reviewer F: As a person who learns better when I am given specific examples, I'd like to suggest that you do this in several places. I think it would sharpen the focus and enable the reader to see more clearly what is meant if specific examples were given in these instances:	Agreed. Revised handbook includes more specific examples.
p.6 After talking about fine tuning reflective entries using Hole and McEntee's Guided	Revised handbook includes example of a reflective entry.

Reflection Protocol, give one or two examples of what these would look like.	
p.65 In discussing draft vision statements, it would be helpful to give several examples from various schools. Perhaps these could be listed in the "Figures" section in the back of the book.	Revised handbook includes sample vision statements in Figure 3.
p.74 It would be very helpful, especially to clearly understand the difference between scenarios and vignettes, if you included samples of each, perhaps about improving student writing skills or reversing recess and lunch since you mention these earlier in this section.	Revised handbook includes examples of a scenario and a vignette.
p.126 Again, specific examples of how staff members should encourage positive feelings generated, etc., would be helpful. I'm thinking that brief statements/examples are all that is needed here.	Agreed. Revised handbook includes a rewrite of this sentence to better express the sentiment the researcher intended to express.
Reviewer G: In larger districts some of the concepts in current chapter 2 are influenced by the district - how does a building administrator work within that context?	Acknowledged. In Chapter 2, the revised handbook includes references to adhering to district guidelines. Even with district constraints, there are still multiple opportunities for site-based decision-making.
Reviewer H: Described. Why would a school leader engage with this book? Why is it unique?	Acknowledged. Researcher believes that school leaders will engage with this book because current studies emphasize and validate the importance of the strategies that the book describes. Case in point: Researcher noted that in the Ferguson, et al., (2010) report, the following strategies were used and promoted by the 15 schools' principals: Create a vision statement, Promote best practice, Focus on improving instruction, Strengthen supervision and evaluation (esp. with the Danielson model), Conduct classroom walkthroughs, Identify quality teaching practices, Analyze student achievement

| | data to determine instructional needs, Improve instruction for ELL students, Differentiate instruction, Increase student engagement, Develop curriculum maps, Lead book studies, Create professional learning communities, Use model teachers (superhubs), and Focus on 21st Century Skills.

All of these strategies are included in the handbook. |
|---|---|
| **Reviewer I:** No comment. | |
| **Reviewer J:** p. 94 – Not sure teachers want to be recognized in front of peers, focus on teams not individuals. | Acknowledged. |

10. What areas need more clarification?	
Reviewer A: No comment.	
Reviewer B: None.	Acknowledged.
Reviewer C: Many sections are by necessity quite abstract. Making them truly accessible requires a great deal of elaboration and lots of examples. That, in turn, probably means a book that is more focused on a smaller number of ideas and skills. Some topics (say, system thinking or the tasks associated with implementing "best practices") are very difficult for many educators to understand without a great deal of assistance.	Disagreed. A change process focused on improving instruction and raising student achievement is not an easy task. This process is long and complex. There are many starting and stopping points along the way. The handbook was intended to be a comprehensive guide that can be accessed over and over again as new challenges and needs arise.
In addition, the "theory of change" section that begins on p. 160 is fuzzy to me; I wasn't sure from the text exactly what was meant by a theory of change.	Agreed. Revised handbook changed the name of the component to Change Models rather than Theories of Change. This label more clearly reflects what is included in the component.
The discussion of "positive deviance" on p. 180 casts the process differently than the way I understand it—positive deviance inquiry (who the positive deviants are and the nature of their practices) is done by the community	Disagreed. The researcher intended to use the concept of positive deviance to help principals identify successful practice within their school community. Teachers, due to the fact that they do not

rather than its leader (in this case, by teachers, not the principal).	often observe one another teach and are not privy to other's successes, lack the overview of the school community needed to identify "positive deviants and the nature of their practices."
Reviewer D: Only those noted above.	Acknowledged.
Reviewer E: None.	Acknowledged.
Reviewer F: In addition to adding specific examples in the areas mentioned above, I have three other suggestions for clarity:	Agreed. Revised handbook includes additional examples.
p. 58 You have an excellent section on establishing a vision for the school that involves staff members in important, critical ways. However, I wonder if it would be helpful to mention the importance of establishing group norms before engaging staff members in discussions about their vision for the school. My experience has been that group norms are critical in keeping people on track, ensuring that all voices are heard and respected, and paving the way for fruitful discussions, particularly when staff are involved in such important work as establishing their school's vision.	Revised handbook includes references to developing guidelines or group norms.
p.82 In talking about climate surveys, you say, "Questions related to these areas can be found in a variety of sample climate surveys." If you could recommend some surveys from which principals could choose, it would be helpful.	Revised handbook includes website references where sample climate surveys can be viewed.
p.150 In discussing opportunities to learn from one another, it would be useful to mention ideas about creative scheduling to enable grade level or cross-grade level teams to meet on a regular basis. There are examples in DuFour's books of how schools have rearranged their schedules to create collaborative time for PLCs to meet. In addition, although it is a luxury, many schools have been successful in implementing an	Revised handbook includes ideas for creating collaborative time for teachers in Chapter 3.

early release day once a week or once every two weeks to obtain collaborative meeting time.	
Reviewer G: I think things are clear - it is just that there is so much and in real life there is only so much time in each day. What are the priorities from the book?	Agreed. Researcher believes the book addresses a wide spectrum of topics and challenges. This spectrum allows principals to establish their own priorities given the unique features of their school environments.
Reviewer H: Your own experiences doing this work.	Acknowledged. Researcher recognizes that her own experiences could be a topic for future study.
Reviewer I: No comment.	
Reviewer J: No comment.	
11. Additional comments.	
Reviewer A: Very impressive!	Acknowledged.
Reviewer B: The book will be very useful for building principals. It may even be an excellent tool for teachers who are in the principal training process. The preface did a good job of setting the scene for why change is needed. Chapters 1, 2, and 3 were excellent descriptions of skills and strategies principals need to lead their school toward excellence. Here are the notes I took as I read the document:	Acknowledged.
• Suggestions for reflective practice are good but are difficult to achieve, as this process is time-consuming. It might be good to include a statement about the time this will take. This reflective practice is informally used more than it is documented.	Agreed. Revised handbook includes comment on the amount of time needed for reflective practice.
• The principal "evaluation" process described in the document is exactly what makes teachers more effective teachers.	Acknowledged.
• The section beginning on page 58 was	Acknowledged.

especially helpful as it provided excellent steps on the creation of a shared vision.	
• I appreciated the research cited that support the components of the document.	Acknowledged.
• Beginning on page 110, the information provided concerning assessment will be very helpful to building principals as well as those who aspire to become principals.	Acknowledged.
• On page 116, the information about Bloom's Taxonomy may be too brief. It assumes everyone has been trained in Bloom's, but a brief review may be useful.	Agreed. Revised handbook includes a web link to more information on Bloom's Taxonomy.
• On page 119, a section concerning special populations was limited to only three disabilities. I would suggest that either we include the other major areas of special populations or lump them altogether into one rather than mention only three areas. Specifically, I would include learning disabilities, gifted, and mentally deficient students.	Disagreed. The researcher chose English Language Learners and students with ADHD or Autism as special populations because these populations are increasing and will continue to present challenges for school personnel. Researcher note: English Language Learning is not a disability.
Reviewer C: My experience is that the development of deep understanding of just one or two important ideas and/or the development of some of the skills suggested in the book can require extended conversation about assumption and ideas/practices; deeper exploration of topics through reading, writing, and dialogue; and lots of practice and feedback. It is easy to underestimate what is required to shift educators' beliefs, deepen their understanding, develop new habits of mind and behavior, and create meaningful systems of social support (teams and PLCs, for example).	Agreed. Revised handbook advises the reader to consider forming professional learning communities (PLCs) in order to receive support and guidance through the change process.
Reviewer D: Minor suggested additions: p. 37, one possible addition to the hiring process is to have prospective teachers present a sample lesson to students. (often those who talk a good game, have difficulty performing	Agreed. Revised handbook includes the recommended additions and edits, with the exception of adding a spot for a building goal on p. 225. The goal form (Figure A5) was intended to be generic.

with students) p. 38, reinforce principal participating in staff development (even though it is dealt with later) p. 41, consider mentioning that the observations can focus on how each staff member is working on the building goals, for ex. if pre-reading activities are a focus, each staff member can be observed presenting a reading lesson p. 106, consider adding the building goal to the personal goal and student achievement goal p. 206, consider adding something about new staff members and how to get them up to speed p. 225, possibly add spot for building goal	
Shelley, I'm very impressed with your work. This is a very complete, incredibly worthwhile resource for principals and other leaders.	Acknowledged.
Reviewer E: This as it is, is better than most published books. Length is a challenge for principals in the field.	Acknowledged.
Reviewer F: Thanks for sharing this incredible book with me, Shelley. I am extremely impressed by the work you've done. Although you didn't ask for any kind of "endorsement statement," I would like to share this one with you:	Acknowledged.
"The most important goal for today's principals is to improve teaching and learning in their schools so that each teacher and every student is appropriately challenged and attains the highest possible degree of success. Reaching this goal is undoubtedly the most difficult task principals face. Here, in one superbly crafted book, are the step-by-step plans, practical ideas and abundant, rich resources to help principals make significant gains in increasing student achievement and improving instructional practice. Written by a	Acknowledged.

practicing principal who knows the most recent research and emphasizes the practical strategies, tips and tools for implementing positive changes, this book is a "how to" treasure for both beginning and seasoned principals."	
I wish you well as you finish your dissertation and thank you again for giving me the chance to participate in the field test. All the best!	Acknowledged.
Reviewer G: Great project and a real service to building administrators and education in general. You have synthesized some very important research and designed something that should be very helpful to the field. I will be anxious to see it when it becomes a book.	Acknowledged.
Reviewer H: I am sorry not to be glowingly positive. But it is difficult for me to find the outstanding, unusual qualities of this manuscript in spite of careful review.	Acknowledged.
Reviewer I: No comment.	
Reviewer J: Not enough content about utilizing teacher leaders. You barely mention "superhubs" (p. 204). But instructional coaches providing essential modeling, feedback, coteaching, and other resources are vitally important.	Acknowledged. Researcher feels that coaching is a separate focus. The focus in this book is on the principal. In addition, the majority of reviewers advised against including additional material in this book.
Need to better connect relationships between professional development, supervision, and instructional change.	Disagreed. The strategies embedded throughout the book have this focus.

The main field test experts' comments indicated that the book was useful,

comprehensive, and synthesized research in a manner that made the research accessible to school

principals. Based on the comments and ratings provided by the main field test experts, the

researcher began the final revision of the handbook (R & D development process).

Final Handbook Revision

Final revisions of the handbook were based on comments received from the main field test and took place during September and October of 2010. The purpose of these revisions was to improve the format and content of the handbook so that the handbook was more useful and effective. The researcher made several revisions to the handbook beginning with the addition of examples and web links to provide clarity for reflective entries, scenarios and vignettes, vision statements, developing group norms, climate surveys, Bloom's Taxonomy, and collaborative meeting time. The researcher included a "Recommended Websites" section in components where websites were listed and developed a list of "20 Books a Principal Might Want to Own." Due to a comment from Reviewer C, the component "Theories of Change" was changed to "Change Models" to more clearly reflect the strategies included in this component.

A reference to the Ferguson, Hackman, Hanna, & Ballantine Report (2010) was added to the introduction. The researcher was pleased to read Ferguson, et al.'s work, as the study of high schools that have achieved significant improvements validated the use of many strategies included in the handbook. Specific sentence edits and suggestions for additional explanations were included throughout the handbook.

Some suggestions for changes were not accepted. One set of suggestions asked the researcher to consider producing a CD of the figures and templates included in the handbook, adding tips for new principals to each component of the book, and expanding the personal survey from the introduction. These suggestions will be explored if and when a book contract is secured.

The second set of suggestions was not accepted because the researcher felt the changes were not warranted. The first of these was a suggestion that the chapters should be re-ordered.

The researcher carefully selected the order of the chapters to begin with the leader, moving to the organizational structure of the school, proceeding to the knowledge base of the teaching staff, and then focusing on moving the school forward with components focused on the change process. The researcher remains convinced that this order is appropriate. References to coaching were not added as the focus of the handbook is on principals, not instructional coaches. Coaching, mentoring, and providing guidance for teachers by the principal was already embedded in multiple places in the handbook. The component of positive deviance was not removed from the handbook as the researcher felt that principals should be aware of and look for examples of positive deviance in their own school settings.

Several criticisms were noted in the reviews from the main field test experts. The first was that the work was too scholarly for the practitioner. The researcher disagrees with this criticism as the guidelines under No Child Left Behind expect that principals and teachers will use research-based, proven strategies to effect change. If the principal does not possess this knowledge base, the handbook provides the basics of the research and additional resources for learning more. The second criticism was that there were no new strategies or personal experiences included in the handbook. The researcher did not set out to create new techniques, nor did she intend to write a case study of her own experiences. The final criticism focused on the need for principals to participate in a professional learning community with cohorts or have a mentor to help them implement change. While both scenarios would clearly be beneficial to the principal, the strategies included in the handbook can be implemented without the presence of such support.

The research and design approach provided the researcher with a comprehensive process to develop, test, and validate a handbook of effective strategies an instructional leader can

implement to bring about and sustain an effective change process focused on the improvement of teaching in order to raise student achievement.

Summary

Implementation Strategies for Effective Change: A Handbook for Instructional Leaders was developed using the research and methodology process described in this chapter. The process included a research analysis and proof of concept, review of the literature, development of the prototype, preliminary field test, initial revision of the product, main field test, and final revision of the product. The result was a validated handbook ready for dissemination.

CHAPTER 4 – Validated Product

Implementation Strategies for Effective Change:
A Handbook for Instructional Leaders

By

Shelley Aistrup

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Preface

Change \'chanj\ *vb*: to make radically different, to transform

<div align="right">Merriam-Webster Collegiate Dictionary</div>

A brief history

Over the past twenty-five years, the educational community in the United States has been asked to undergo a series of changes, beginning in 1983 with the landmark report entitled *A Nation at Risk: The Imperative for Educational Reform.* This report admonished the educational community for failing the country's students and thus stimulated a wave of school reform initiatives. Educators were encouraged to intensify existing practices by requiring more credits for graduation, testing students more frequently, and lengthening the school day and year. In addition, the *Goals 2000* Restructuring Movement of 1998 supported each state's efforts to determine exactly "what every child should know and be able to do" (U. S. Department of Education, 1998).

As a result, professional organizations and curriculum specialists developed national and state standards for all curricular areas. State assessments were created to evaluate how well individual students, schools, and districts were meeting the newly established standards. Politicians and well-intentioned educators across the country hoped that by mandating a standardized curriculum and high-stakes assessments, attention would be focused on specific goals and objectives for which all students would be held accountable.

On January 8, 2002, President George W. Bush signed the *No Child Left Behind Act* (NCLB) of 2001 into legislation. This reform initiative was designed to further the ideas proposed in *Goals 2000*. The NCLB Act required educators to close the achievement gap

between all students regardless of their demographics, to offer parents more options for schooling their children, to become highly qualified in the subjects to which they are assigned, and to use research based teaching methods (U. S. Department of Education, 2002). The practice of using test result averages as the measure for student progress was no longer acceptable. Instead, educators were asked to monitor individual student's scores, with particular attention paid to those from diverse and disadvantaged backgrounds. As a result, educators came to realize that reform initiatives would need to move beyond "marginal changes and focus instead on the core issues of teaching and learning" in order for all students to achieve (DuFour & Eaker, 1998, p. 8).

By 2008, most states had complied with the test-based accountability systems required by the Act, yet nearly one-fourth of schools nationwide were not meeting annual yearly progress (AYP) targets in 2004-2005 and the number increased to 35% in 2007-2008 (Lewis, 2008). Districts simply did not have the funds to implement many of the recommendations of NCLB such as using new curricula, engaging in planning for improvements, extending the school day. Critics of the Act stated that sanctions such as converting schools to charter status or private management did not work and the goal of demanding that all students be proficient by 2014 was unrealistic (Ravitch, 2009).

In 2010, discussions focused on a reauthorization of the Elementary and Secondary Education Act (ESEA) and a return to the law's original 1965 name. The Obama administration proposed to retain assessment, accountability, and other features of the existing law while offering state and school districts greater flexibility through growth models for measuring individual student progress from year to year, adopting career-ready standards, and differentiating between those schools that are low-performing overall and those that miss AYP

targets for one or two demographic subgroups of students (Klein, 2010). Thus, schools

nationwide will remain accountable for ensuring that all students succeed and meet high levels of

academic achievement. In many schools, this will require a sustained focus on teaching and

learning and a shift in the role of principal.

School community and principal's role

The changes in the areas of teaching and learning necessary for schools to meet annual

yearly progress (AYP) as set forth in the NCLB Act will ultimately affect the relationships

within the school community and the principal's role as the school community's leader. In a

study commissioned by the Wallace Foundation, the authors learned that "leadership not only

matters, but is second only to teaching among school-related factors in its impact on student

learning" and "that high-quality principals can achieve that impact by setting clear, high

expectations, by developing people, and by making the organization work to support teaching

and learning" (Leithwood, Louis, Anderson & Wahlstrom, 2004, p. 3).

If schools are to effect change that focuses on the improvement of instruction and ensures

that all students achieve; teachers, principals, and other staff members must learn new techniques

and strategies for approaching these tasks. The shift will require that teachers and principals

form learning organizations or professional learning committees that are focused on developing

new methods of instruction. Senge (1990), whose research on systems thinking remains viable,

coined the term "learning organization" to describe an organization that is highly supportive of

teaching and learning and "continually expands its capacity to create its future" (p. 14). Over the

years, Senge's term, learning organization, has evolved into the term, "professional learning

community." A professional learning community (PLC) has been defined as a school community

where the principal and teachers work collaboratively to seek new methods and strategies for

continually improving instructional practice and increasing student achievement, to develop

shared values and goals, to participate in collective inquiry and experimentation, and to form

supportive relationships (Danielson, 1996, 2002; DuFour & Eaker, 1998; Elmore, 1997; Hord,

Roussin, & Sommers, 2010; Schmoker, 2006; Sergiovanni, 1994).

The principal, especially, is expected to change personal behaviors, norms, and beliefs in

order for fundamental differences in the school community and teachers' practice to occur.

While some changes may involve small improvements or adjustments to the principal's

leadership skills, other changes will lead to a transformational shift in belief and practice, which

in turn will create a shift in the culture of the organization (Evans, 1996). In one of several recent

studies identifying school leadership as a key factor in schools that outperform others with

similar students, researchers found that achievement levels were higher in schools where

principals undertake and lead a school reform process, act as managers of school improvement,

cultivate the school's vision, and make use of student data to support instructional practices and

to provide assistance to struggling students (Hattie, 2009; Kirst, Haertel, & Williams, 2006;

Marzano, Waters, & McNulty, 2005; Reeves, 2006, 2009; Schmoker, 2006; Sparks, 2005).

Unfortunately, many principals are unprepared to lead or direct this change (Levine,

2005). Traditionally, principals have served as managers of the school building, attending to the

day-to-day operations of the facility. Now, they are being asked to become transformational

leaders who "not only manage structure, but purposefully impact the culture in order to change

it" (Kirst, Haertel, & Williams, 2006, p. 14). In addition, principals are expected to become

instructional leaders who "set high expectations for students and teachers, demand content and

instruction that ensures student achievement on agreed-on academic standards, and actively

engage the community to create shared responsibility for student and school success" (National

Association of Elementary School Principals, 2001, pp. 5 – 10). The National Association of Secondary School Principals (2002) encouraged the development of 21st Century Principals who provide "educational leadership by setting instructional direction, using teamwork and sensitivity, and developing others; resolve complex problems by using judgment and assuming responsibility, and organizing through planning and appropriate scheduling; and use oral and written communication well" (p. 3). The research clearly shows that "school leaders who promote challenging goals, and then establish safe environments for teachers to critique, question, and support other teachers to reach these goals together have the greatest effect on student outcomes" (Hattie, 2009, p. 83). The challenge then becomes how will today's principals become the instructional leaders needed to promote and sustain lasting change that is focused on improved teaching and higher levels of student achievement.

How will this book help?

This book, *Keys to Effective Change*, will provide the current, new, or aspiring principal with practical, research-based, field tested strategies to address the challenges of developing personal leadership skills, establishing an organizational structure focused on improving instruction, building the staff members' knowledge base to promote best practice, and leading the school's change process. In addition, the book outlines a framework for understanding how these strategies fit into the complex environment of the school community. As strategies are implemented, the principal will be encouraged to seek leverage points within the organization that will result in the most dramatic, positive results for the students and teachers.

Introduction

Study after study has revealed that the principal is the change agent who can either push new initiatives forward or allow them to screech to a halt (Darling-Hammond, Lapointe, Meyerson, Orr, & Cohen, 2007; Fullan, 2008; Hattie, 2009; Marzano, Waters, & McNulty, 2005; Reeves, 2009; Schmoker, 2006; Wagner & Keagan, 2006). The purpose of this book is to capitalize on the principal's leadership skills and provide strategies that help the principal lead a school community effectively, while maintaining a strong focus on instructional improvement and high academic achievement for all students. While this book does not contain the perfect program, instructional method, or foolproof action plan to implement, the strategies are practical, based on current research and well within the principal's sphere of control. The following pages examine the principal's role as the leader of the school, review the basics of change theory, and provide an overview of the book's contents to prepare the reader for *Keys to Effective Change*.

Principal's Leadership Role: Transformational or Instructional?

Today's principals must assume a different leadership role within the school community than that of their predecessors. In part, this new leadership role has been impacted by the emphasis on professional learning communities and the reality of the high stakes accountability measures put in place by the No Child Left Behind Act. Current research has attempted to analyze and quantify this leadership role. A 2007 study entitled *Preparing School Leaders for a Changing World: Lessons from Exemplary Leadership Development Programs* stated the need to "develop principals who can engage successfully in many of the practices found to be associated with school success: cultivating a shared vision and practices, leading instructional improvement, developing organizational capacity, and managing change" (Darling-Hammond, et

al., 2007, p. 148). Marzano, Waters, and McNulty (2005) found that the principal should serve as a "change agent who consciously challenges the status quo and systematically considers new and better ways of doing things" (p. 45). Finally, Reeves (2009) stated, "Wise leaders must identify, document, and replicate great practice, making wonderful practice more common, without diminishing it as commonplace" (p. 108). The emphasis changes the role of the principal from a manager to a leader focused on identifying elements within the school community that need improving, especially in the area of instructional practice.

Many researchers discussed the need for principals to serve as transformational leaders of the school community (Fullan, 2003, 2010; Harris, Day, Hopkins, Hadfield, Hargreaves, & Chapman, 2003; Leithwood, 1999, 2006, 2010; Schlechty, 2001, 2009; Sparks, 2005). Schlechty (2001) stated that transformational leadership "requires the leader to embrace and cause others to embrace new and revolutionary assumptions" rather than "only to improve operational effectiveness based on well-established and commonly accepted assumptions" (p. 164). Harris, et al. (2003) discussed the need for a transformational leader who will "not only manage structure, but purposefully impact the culture in order to change it" (p. 18). Leithwood, Jantzi, and Steinbach (1999) proposed that transformational leaders should "set directions, develop people, organize culture building activities, and build relationships with the school community" (p. 39). This book accepts the need for a principal to often serve as a transformational leader, but rather highlights the role of the principal as an instructional leader who is focused on improving instruction in order to raise student achievement.

The National Association of Elementary School Principals' study, *Leading Learning Communities: Standards for What Principals Should Know and Be Able To Do* (2001), listed six roles of the instructional leader: making student and adult learning the priority, setting high

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expectations for performance, gearing content and instruction to standards, creating a culture of continuous learning for adults, using multiple sources of data to assess learning, and activating the community's support for school success. The National Association for Secondary Principals (2002) listed "setting instructional direction" as the first indicator of a 21st Century Principal (p. 3). The Ferguson, Hackman, Hanna, and Ballantine report (2010), *How High Schools Become Exemplary: Ways that Leadership Raises Achievement and Narrows Gaps by Improving Instruction in 15 Public High Schools*, listed "five steps for becoming exemplary: The principals (1) accepted their responsibility to lead the change process; (2) declared the purposes of the work in mission statements that focused on a few key ideas and priorities that stakeholders could understand and embrace: (3) designed strategies, plans, capacity, and incentives for broadly inclusive adult learning; (4) developed and refined quality standards for judging teacher and student work; and (5) skillfully and relentlessly implemented plans, monitored quality, and provided appropriate supports and incentives" (2010, p. 17). Other researchers concurred that an instructional leader is one who plans and implements needed changes, encourages collaboration and teamwork, sets high expectations for the staff and students, and provides praise and support as changes are being made (Ash & Persall, 2001; Blasé and Blasé, 2004; DuFour, 2002; Elmore, 1997; Hattie, 2009; King, 20002; Lashway, 2002; Marzano, Waters, & McNulty, 2005; Robbins & Alvy, 2004).

When comparing the effect of transformational and instructional leadership on student outcomes, Hattie (2009) found that instructional leaders who "promote teacher learning and development, coordinate and evaluate teaching and the curriculum, align resource allocations to priority teaching goals, establish goals and expectations, and ensure an orderly and supportive environment" had more of an effect on student outcomes (pp. 83-84). Therefore, the strategies

included in this book will help principals, as instructional leaders, determine how best to raise achievement levels for each individual student, help teachers improve their practice, and tailor necessary changes to the needs of the school community.

Change and Systems Thinking

The accountability measures embedded in No Child Left Behind (2002) and Obama's Blueprint for Reform (2010) promote sustainable school reform, requiring principals and staff members to change their behaviors, norms, and beliefs in order for fundamental differences to occur at the school level. The challenge for principals is that school reform initiatives will require different levels of commitment from different members of the staff. For some staff members, the change will require small improvements or adjustments to their instructional practice, or first order change, that improves the efficiency and effectiveness of current behavior (Evans, 1996; Marzano, Waters, & McNulty, 2005). For others, the change will force individuals to experience a profound shift, or second order change, in belief and practice, and thus, fundamentally alter the culture of the organization (Evans, 1996; Marzano, Waters, & McNulty, 2005). Throughout this process, the principal will "motivate the teachers and encourage them to 'step out of the box' reinforcing their learning with support" (Hord, Roussin, & Sommers, 2010, p. 199).

While change will impact staff members in different ways, there remains a sequential process through which organizations must proceed to create major change: "(1) establishing a sense of urgency, (2) creating the guiding coalition, (3) developing a vision and strategy, (4) communicating the change vision, (5) empowering broad-based action, (6) generating short-term wins, (7) consolidating gains and producing more change, and (8) anchoring new approaches in the culture" (Kotter, 1996, p. 21). The eight steps were designed to focus attention on needed

changes, introduce new strategies and practices, and institutionalize the changes into the organization's culture. Kotter warned that failure to pay adequate attention to each of the steps would most likely result in a return to the status quo. In addition, several researchers cite the lack of attention given to the change process as one of the main reasons school reform efforts fail (Elmore, 1997; Evans, 1996; Fullan, 1998, 2003, 2010; Hord, 1987, 2004, 2006; Kotter, 1996; Reeves, 2009).

Finally, educators must be mindful that the school environment has become a complex system with many interrelated components and structures (Schlechty, 2009). To change this complex environment, a systematic approach to change should be considered. "We must look into the underlying structures which shape individual actions and create the conditions where types of events become likely" (Senge, 1990, p. 43). As a school attempts to transform itself, every component of the school program must be examined. Changes in one area may either positively or negatively affect a successful endeavor in another area. Sir Isaac Newton's third law of motion (1687), for every action, there is an equal and opposite reaction, applies to school reform.

The principal and the staff must take a look at the complex nature of the school environment to ascertain which leverage points will result in the most dramatic, positive results for the school. Study after study has revealed that the principal is the change agent who can either push new initiatives forward or allow them to screech to a halt (Darling-Hammond, et al., 2007; Fullan, 2008; Hattie, 2009; Marzano, Waters, & McNulty, 2005; Reeves, 2009; Schmoker, 2006; Wagner, et al., 2006). While leaders might wish for a step-by-step process, in reality, a principal cannot afford to focus attention on only one aspect of the school environment at a time, while ignoring the rest (Fullan, 2010). Therefore, a systemic approach is necessary to

successfully change the behaviors, norms, and beliefs of the school community. The principal

"must take the time to understand each interaction and its impact on the entire system, and then

communicate this complexity in a manner that enables each member of the organization to

understand and consistently use these important interconnections" (Reeves, 2006, p. 45).

Overview of the contents

Many current and aspiring principals wonder whether or not they are capable of

managing and leading such a complex system of interrelated components and structures. The

framework included in this handbook, *Keys to Effective Change,* provides the current or aspiring

principal with strategies for (1) developing leadership skills, (2) establishing the organizational

structure within the school community, (3) building the teachers' knowledge base, and (4)

fostering an understanding of the change process.
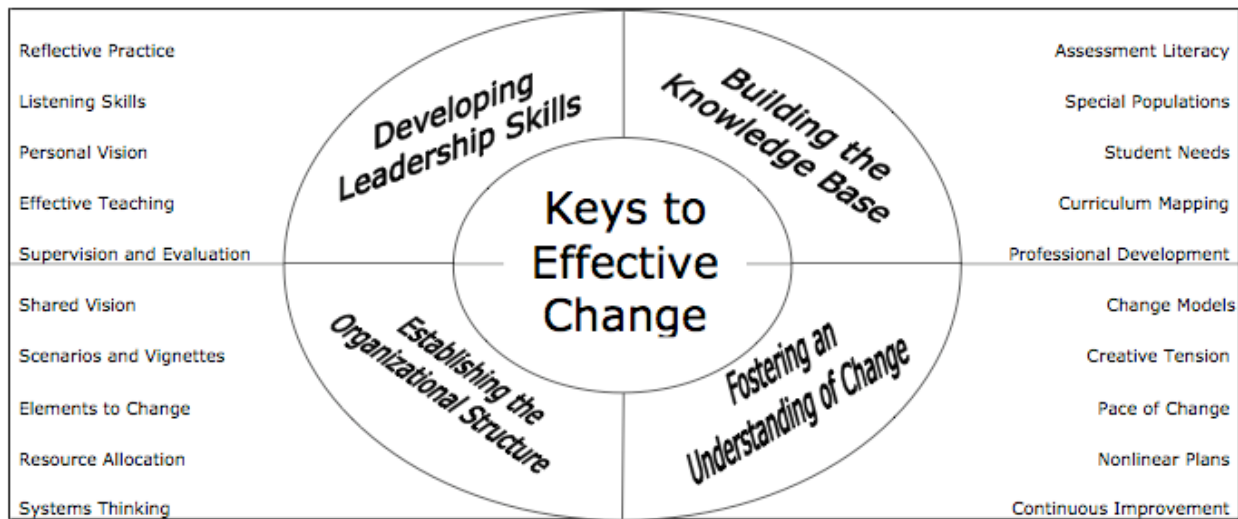
Following this introduction, four detailed chapters target specific components and

strategies within each key area and provide tips for relating the component to the change process.

Each chapter begins with an introduction that describes how the component relates to current

research and then details specific strategies the principal may consider implementing. Reflective

questions for each component that focus attention on the particular challenges facing the principal and the school community are included. Finally, a short list of recommended readings is offered to further enhance background knowledge and leadership skills.

Where to begin?

While it is important to remember that the school environment is a complex system of interrelated components and structures, the research shows that, within this context, leadership does matter and is perhaps the most important component of successful change (Fullan, 2010; Hattie, 2009; Hord, et al., 1987, 2004; McEwan, 2003; Marzano, Waters, & McNulty, 2005; Waters & Grubb, 2004). Feldman (2003) reminded us that "in order for us to change how we [lead] requires us to change who we are as [leaders]" (p. 27).

To make the most of the strategies included in this book, the current or aspiring principal will want to take the self-assessment survey provided on the next few pages to assess his/her personal level of need for the strategies included within *Keys to Effective Change*. Ratings are as follows:

> 1 – I do not know anything about these strategies.
> 2 – I have heard about these strategies.
> 3 – I know a little about these strategies, but not enough to implement.
> 4 – I am already implementing these strategies.
> 5 – I share ideas for implementing these strategies with others.

If the current or aspiring principal rates a group of strategies with a 1, 2, or 3, this is a component worthy of his or her time and attention. If the current or aspiring principal rates a group of strategies with a 4 or 5, he or she may wish to (a) review the strategies to see if there is a new twist or resource included, (b) devote attention to a different group of strategies, or (3) use this information when sharing with others.

In Chapter One, developing leadership skills clarifies personal beliefs and attitudes towards teaching and learning and provides additional skills of engaging in reflective practice, listening well, conveying consistent messages to the school community, and conversing regularly with staff members about effective teaching practice.

Component One: Reflective Practice   1   2   3   4   5
        Step 1: Find the time to reflect.
        Step 2: Keep a written journal, log or chart.
        Step 3: Fine tune reflective entries with Hole and McEntee's Guided
               Reflection Protocol.
        Step 4 - Encourage reflective practice in teachers.

Component Two: Listening Skills   1   2   3   4   5
        Step 1: Assess personal listening skills.
        Step 2: Practice listening techniques.
        Step 3: Learn an acronym for listening effectively.

Component Three: Personal Vision   1   2   3   4   5
        Step 1: Become familiar with the standards related to principal roles and
               responsibilities.
        Step 2: Write a personal vision statement.
        Step 3: Conduct a vision audit to determine how well the vision is being
               expressed.

Component Four: Recognition of Effective Teaching   1   2   3   4   5
        Step 1: Become familiar with standards and frameworks of effective teaching.
        Step 2: Observe quality teaching in action.
        Step 3: Hire the right people.

Component Five: Supervision and Evaluation   1   2   3   4   5
        Step 1: Visit classrooms on a daily basis.
        Step 2: Engage teachers in conversations focused on teaching and learning.
        Step 3: Encourage teachers to set personal improvement goals.

In Chapter Two, establishing the organizational structure establishes a solid framework that includes a shared vision, effective practices to foster dialogue about challenging issues, specific items to target for change, and appropriate measures for allocating resources. The organizational framework is an important aspect of dealing with systemic change and helps the

principal identify key leverage points that will move the school community forward in the change process.

Component One: Shared Vision   1   2   3   4   5
        Step 1: Engage stakeholders in a series of dialogue sessions.
        Step 2: Develop a shared vision statement.
        Step 3: Communicate the shared vision statement.

Component Two: Scenarios and Vignettes   1   2   3   4   5
        Step 1: Understand the difference between scenarios and vignettes.
        Step 2: Write a scenario or vignette that expresses an issue or concern that may affect the staff.
        Step 3: Use a scenario or vignette during a staff meeting to stimulate an open dialogue and brainstorming session.

Component Three: Elements to Change   1   2   3   4   5
        Step 1: Gather information.
        Step 2: Research effective schools.
        Step 3: Research effective strategies for implementation.

Component Four: Resource Allocation   1   2   3   4   5
        Step 1: Audit how time is used by students and staff over the course of a day and/or week.
        Step 2: Consider the skills and talents the staff possesses and how these skills and talents are being utilized.
        Step 3: Analyze exactly how budget dollars are being spent.

Component Five: Systems Thinking   1   2   3   4   5
        Step 1: Organize thinking about school change.
        Step 2: Create a history of the change process.
        Step 3: Encourage everyone on the staff to become a learner.

In Chapter Three, building a knowledge base provides effective strategies for helping teachers become assessment literate, cope with the challenges of special populations, and address the specific learning needs of students. Curriculum mapping provides a structural piece that supports the curriculum, standards, and objectives that are vital to students' academic success. The professional development activities described can be used in numerous ways to encourage, strengthen, and fortify teachers' instructional skills.

Component One: Assessment Literacy   1 2 3 4 5
        Step 1: Teach basic data analysis vocabulary.
        Step 2: Teach and learn more about assessment practices.
        Step 3: Take advantage of formative assessment data.

Component Two: Special Populations   1 2 3 4 5
        Step 1: Learn About English Language Learners.
        Step 2: Learn about Attention-Deficit/Hyperactivity Disorder (AD/HD).
        Step 3: Learn about Autism Spectrum Disorder (ASD).

Component Three: Student Needs   1 2 3 4 5
        Step 1: Establish baseline data for every student.
        Step 2: Plan individualized and differentiated lessons.
        Step 3: Implement best practice whenever possible.

Component Four: Curriculum Mapping   1 2 3 4 5
        Step 1: Engage teachers in the process of curriculum mapping.
        Step 2: Begin the curriculum mapping process.
        Step 3: Consider using an online tool or software for completing the mapping
                 process.

Component Five: Professional Development   1 2 3 4 5
        Step 1: Find opportunities to learn from one another.
        Step 2: Regularly share and analyze student work samples.
        Step 3: Encourage professional reading.

In Chapter Four, fostering an understanding of change provides principals with

theoretical frameworks for helping the school community understand and work through the

change process. The strategies describe important components for change: creative tension that

promotes personal mastery, environmental conditions that maximize the potential for change to

occur, and decision points that keep the change process moving forward.

Component One: Change Models   1 2 3 4 5
        Step 1: Examine steps involved in the change process.
        Step 2: Introduce the concepts of first and second order change.
        Step 3: Discuss stages related to accepting change.

Component Two: Creative Tension   1 2 3 4 5
        Step 1: Build self-efficacy.
        Step 2: Encourage personal goal setting.
        Step 3: Identify and encourage positive deviance.

Component Three: Pace of Change   1   2   3   4   5
     Step 1: Refer to Ely's environmental conditions of change.
     Step 2: Express a personal commitment to the change.
     Step 3: Use principles of internal control psychology.

Component Four: Nonlinear Plans   1   2   3   4   5
     Step 1: Create a plan of activities and events.
     Step 2: Build in decision points to monitor the process.
     Step 3: Identify and enlist the help of key individuals.

Component Five: Continuous Improvement   1   2   3   4   5
     Step 1: Focus on personal and school wide goals.
     Step 2: Explore cutting edge research and technology.
     Step 3: Learn your way forward.

Throughout the book, the principal will be encouraged to create professional learning communities within the school community so that teachers benefit from a collaborative and supportive environment. This advice is also recommended for principals so that they benefit from working collaboratively with mentors, other principals, and district administrators. Having support and guidance through the change process can help the current or aspiring principal determine how best to implement recommended strategies. In addition, the current or aspiring principal will be developing a repertoire of strategies that will fit his/her personal leadership style, student and staff needs and the context of his/her individual school and community. These strategies will become the keys to unlocking the principal's and others' capacity for tackling the challenges ahead.

Chapter 1
Developing Leadership Skills

The key of developing leadership skills includes the following five components: (1) reflective practice, (2) effective listening skills, (3) personal vision, (4) recognition of effective teaching, and (5) supervision and evaluation. Beginning with the component of reflective practice**,** the principal will be asked to critically examine personal actions and to make behavioral adjustments so that reactions, approaches, and interactions with others are improved. Next, the principal will consider techniques for developing effective listening skills, because most principals spend over half of the day receiving verbal information. The strategies included will help the principal focus on the intent and meaning within an individual's words to better understand the message being delivered. The third component, personal vision, will help the principal examine personal and professional beliefs about teaching and learning. Personal vision statements give guidance and purpose to messages, actions, and decisions. With the fourth and fifth components, effective teaching and supervision and evaluation, the principal will focus on the identification of effective teaching and how supervision and evaluation can be used to further the goals of the school. Practical strategies for identifying effective teaching in the classroom are provided. In addition, the principal will help teachers set goals for improving their practice and will be given ideas for engaging teachers in meaningful conversations about teaching and learning.
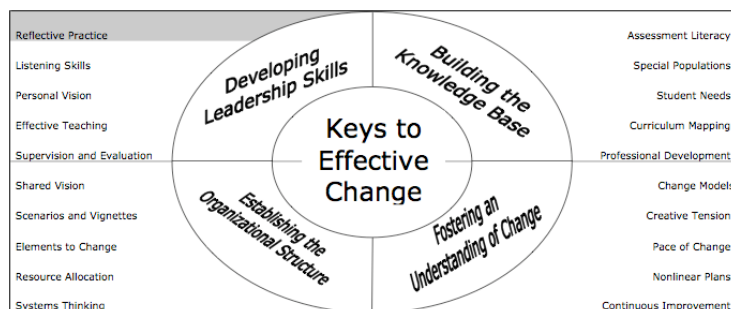
Component One: Reflective Practice

The most powerful forms of leadership development will produce leaders who possess deep understanding, act from a core of clearly expressed and enabling beliefs and assumptions, and align their daily actions with these understandings.
Dennis Sparks, Executive Director of National Staff Development Council

Reflective practice is "the belief that critical examination of one's daily work is essential to guide future action. At its most basic level, reflection is defined as a way of thinking about educational matters that involves the ability to make rational choices and to assume responsibility for those choices" (McGregor, 2000, p. 9). Reflective practice can help the principal objectively review the school day, month, or year to carefully examine actions and behaviors as they relate to one's personal philosophy and belief system. This component will provide:

- Tips for managing the time commitment,

- A method for recording thoughts and decisions,

- A protocol for guiding the reflective process, and

- Ideas for encouraging reflective practice in others.

What does the research say about reflective practice?

Reflective practice can be one of the most powerful strategies a principal uses to examine how well or how poorly decisions are being made, relationships are being handled, and progress is being realized on personal or school-wide goals (Blasé & Blasé, 2004; Downey, Steffy,

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Poston, & English, 2010; York-Barr, Sommers, Ghere, & Montie, 2006). The reflective practice process follows four simple steps, but most importantly, requires a commitment from the person who is reflecting to make reflective practice a routine affair. The first step is to select a situation or event to analyze. Second, to focus on and analyze specific behaviors or interactions that occurred. Third, to consider what adjustments in the situation will improve individual behaviors and interactions. Finally, to implement the adjustments and fine tune the principal's analysis in the event that additional changes are needed to make additional improvements.

Principals who engage in reflective practice on a regular basis may become more self-aware of their comments, reactions to situations, and interactions with others (Calabrese & Zepeda, 1997). The process of continual reflection helps the individual develop a better understanding of the concerns and challenges facing students, parents, and teachers. Reflection focused on instruction will help the principal "focus on the learner and the curricular and instructional decisions the teacher has made to impact student learning" (Downey, Steffy, Poston & English, 2010, p. 183). As a result, reflective practitioners seek new and varied solutions to routine problems that occur over the course of a day, week, month, or school year.

Individuals who work through the reflective process progress through several levels of awareness (van Manen, 1997). Their initial thoughts usually focus on the selection of appropriate behaviors, comments, and interactions. From there, they begin to analyze the rationale behind decisions and why certain decisions were selected over others. They also begin to realize that certain choices will result in specific outcomes and to make choices based on the outcome they desire. Finally, analyzing situations through a variety of political, social, educational, and ethical lenses helps principals determine what choices best fit the needs of students, parents, teachers, or community for that particular situation.

What strategies can be used to put reflective practice into action?

Step One: Find the time to reflect.

Reflection can be a very time consuming activity. One of the greatest challenges is finding the time to devote to this activity. Whether one reflects daily or weekly is a personal decision based on an individual's personality and how that individual approaches the workday. The following tips are just a few of the available options for reflective practice and should be used to determine which option best fits the principal's working style.

➤ Time for reflection can be found by scheduling an appointment with one's self. The principal can put the date and time on the calendar and then keep the appointment. Reflection becomes a habit when used as a routine part of the day or week.

➤ The principal might consider closing the office door and spending the last ten to fifteen minutes of the day "debriefing." In an effort to protect this time from interruption, the principal could post a sign on the door that says, "Please don't disturb. Reflective thinking in progress."

➤ The principal could use the time driving to and from school, exercising, or completing routine household chores to reflect. One technique for reflecting away from the desk or computer, would be to pretend to have an "instant replay" button to relive situations or events and rehearse different responses to the situation. The principal could then determine which behaviors or interactions to adjust and what might happen as a result.

Step Two: Keep a written journal, log, or chart.

A written journal, log, or chart can help principals clarify thoughts and discover patterns embedded in routine events. In addition, the journal becomes a chronological documentation of

actions over the course of a month or school year. Some principals prefer to write in a notebook or journal, while others might prefer to type their comments on the computer. Still other administrators might prefer to use a spreadsheet format in which to record events and behaviors (see Figure A1: Reflective Log). After determining a suitable method of recording thoughts, the principal will answer some or all of the following questions when composing a reflective entry.

- What is the date?
- What main events occurred over the course of the day or week?
- What situation or event is being described in detail?
- Where did this occur?
- Who was involved?
- Is this an ongoing or single event?
- What events or actions preceded this event or situation?
- What happened? Provide enough detail to recall the event when reading notes at a later time.
- What decisions were made?
- What happened as a result of these decisions?
- What actions should be repeated in the future?
- How might the situation or event have been handled differently?
- What questions come to mind about this event or situation?
- Is there a need to gather more information or investigate further?
- What "gut" reactions arise from this event or situation?

Step Three: Fine tune reflective entries with Hole and McEntee's Guided Reflection Protocol.

Hole and McEntee (1999) developed a Guided Reflection Protocol that can be used to refine reflective entries and focus attention on how a specific event fits within the "bigger picture" of daily happenings in the school. Hole and McEntee recommend asking the following questions:

➢ What happened? Write a narrative of the event that removes the principal's interpretation of behaviors, actions, or comments. The principal should be as nonjudgmental as possible.

➢ Why did the event happen? This questions helps the principal examine the reasons or motives behind the behaviors, actions, or comments that were observed. The principal can then think about how an individual's responses exposed their beliefs regarding teaching and learning.

➢ What might the event mean? If the event fits into a pattern of behaviors or actions that are problematic, further remedial action may be needed. The principal can spend time at this stage considering the range of options. How would the principal prefer that events or situations transpire? Solutions can be built around this outcome.

➢ What are the implications for teaching and learning? As a result of the information gathered, there may be a need to implement new procedures or initiate professional development activities in a particular area. Whatever changes are made, the principal should be sure they fit within the ideals for teaching and learning the school community is striving to meet.

Figure 1: Example of a Reflective Entry

September 15th	What happened?	Why did the event happen?	What might the event mean?	Implications for T & L
Classroom Observations	Observed students in 4th, 5th, and 6th grade math classes struggle with division facts, long division problems, and word problems using division.	Students did not know their multiplication or division facts quickly enough to work through the division algorithm. As a result, they made many errors and the process took them a long time.	(1) We need to work on improving recall of basic facts. (2) We need to examine how the concept is presented to students. (3) We need to reteach the concept of division.	(1) Scope and sequence for teaching the concept needs to be examined. (2) Teachers need additional training in how to teach division. (3) New materials are needed.

Step Four: Encourage reflective practice in teachers.

Principals who encourage reflective practice as a routine individual and collaborative practice can help teachers focus attention on their own learning and professional growth. They

realize that when teachers "understand the how and why of what they do and have done, they can then take the steps that will carry them along the path to better learning" (Farrell, 2004, p. xi). Reflection is then used as a tool for questioning routines, encouraging experimentation with new practices, and continually refining skills.

Although reflection is commonly referred to as an educational practice, few teachers utilize reflective practice as part of a daily routine. While many teachers make on-the-spot reflective decisions during a lesson, as they expand explanations or probe with additional questions, few engage in ongoing reflection focused on examining strategies and techniques in an effort to improve the delivery of lessons.

Reflection can be an empowering practice that allows a teacher to craft and shape instruction in an effort to better "serve students and foster higher levels of learning" (Robbins & Alvy, 2003, p. 132). By "intentionally engaging in activities that challenge current beliefs and practice" (Brown & Irby, 2001, p. 28), the teacher can examine what was intended in the lesson to what actually occurred. This allows the teacher to gauge the impact that daily lessons have upon student learning and design subsequent activities that increase understanding and mastery of content.

When the principal encourages others to begin reflective practice, teachers should be reminded that reflection can lead to "increased thinking about instructional improvement, new ideas, and /or innovative concepts, a fresh awareness of student needs, an enhanced problem-solving orientation, an openness to new ideas and different approaches, an improved ability to learn from one's mistakes, and a greater willingness to take risks" (Blasé & Blasé, 2004, p. 98). Teachers may need a few implementation tips that will help define their reflective practice.

These tips can be provided during a staff development meeting in the form of a handout or as a short reminder in a newsletter or email.

➤ Teachers can be given a list of the reflective practice steps and additional reading from the articles or books listed at the end of this component. They may also need clarification as to what each of the following reflective practice steps entails:

• Finding the time to reflect on a regular basis.
• Determining whether reflection will be recorded or shared.
• Selecting specific situations for examination.
• Focusing on specific behaviors or interactions.
• Making adjustments that improve behaviors or interactions.
• Implementing changes and fine tuning for further improvement. (Downey, Steffy, Poston, & English, 2010)

➤ Encourage teachers to think about the philosophy that drives their daily actions and behaviors. This examination will help them gauge how well they are adhering to a particular line of thinking. For some, this examination may help them define the philosophy guiding their instructional practice. The following questions can be used as prompts for initiating this reflective activity: What are the routines, practices, or procedures used every day? What are the theories that support these choices? What influences have formed the overall instructional practice used each day? What might one do differently? (Smyth, 1989).

➤ Another avenue for guiding individual reflection can be through a technique of "framing and reframing" a specific lesson, unit, subject area, or problem in the classroom (Clarke, 1995, p. 246). For example, if a particular lesson were under examination, the teacher would frame the lesson in terms of the specifics of the setting. This might include the grade level, demographics of the class, prior knowledge of the students, how well students responded to the material, what successes or challenges were experienced, and what decisions were made as a result of those successes and challenges. The next step is to reframe that lesson in "light of

past knowledge or previous experience" and to "develop a plan for future action" (Clarke, 1995, p. 247). This technique enables the teacher to review personal prior knowledge and to pull additional strategies, techniques, or resources into current lessons.

➢ An additional enhancement to the "framing and reframing" technique is to encourage teachers to research what others are saying or doing about similar lessons, subject areas, or problems. The principal may direct teachers to professional journals or websites, specific searches on the Internet, or other teachers' blogs. The teacher can then be encouraged to re-examine the lesson or problem in light of what was discovered and to incorporate this new information into current practice.

❧ *How does reflective practice relate to change?*

When establishing a new routine such as keeping a reflective journal, the principal should commit time to making this process work by setting a goal of writing one to three times a week for several months. The process of recording thoughts becomes easier as events are described more succinctly and the principal can quickly move to alternative solutions that address concerns and challenges.

Feldman (2003) said, "Self-study recognizes at least implicitly that to improve our practices we need to change our ways of being educators" (p. 27). Feldman added that reflective entries remind principals of how they have changed and that the change has value. The goal of reflective practice is to raise awareness of the decision-making process so improvements can be made to one's reactions, approach, and interactions with others.

? *Reflective questions to consider:*

❑ The principal should select an area of concern such as curriculum, discipline, or conflict resolution. The next step is to locate events in the log that pertain to this area of concern. The principal should then analyze personal actions as they relate to these events. Did the principal handle similar situations in the same or different way? What reasons can the principal associate with the actions? What might the principal have been done differently? What actions should the principal continue?

❑ The principal can examine the journal, log, or chart to determine whether there are underlying issues or areas of conflict that need to be addressed with the staff. How will the principal approach this issue or conflict? What resources are available to the school community that will aid this process?

❑ The principal and teachers can discuss the benefits and drawbacks of reflective practice. What benefits are present? What modifications can be made to reduce the effects of the drawbacks?

✿ *Recommended Reading:*

Farrell, T. S. C. (2004). *Reflective practice in action: 80 reflection breaks for busy teachers.* Thousand Oaks, CA: Corwin Press.

Kaagan, S. S. (2004). *30 Reflective Staff Development Exercises for Educators.* Thousand Oaks, CA: Corwin Press.

McGregor, G. (2000). *The reflective principal: Inquiry as a tool for school improvement.* Washington, D.C.: US Department of Education. This document can be downloaded from http://www.urbanschools.org/publications/principal_project.html.

York-Barr, J., Sommers, W. A., Ghere, G. S., & Montie, J. (2006). *Reflective practice to improve schools: An action guide for educators* (2nd ed.). Thousand Oaks, CA: Corwin Press.
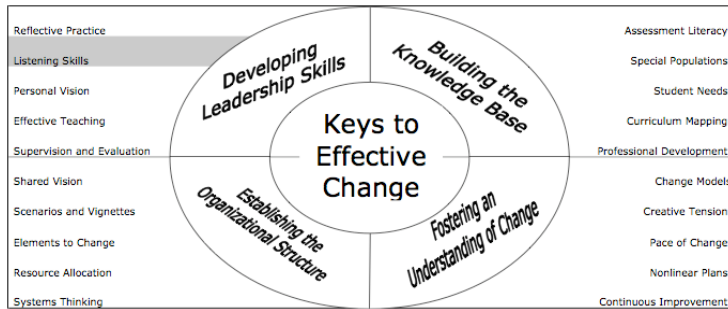
Component Two: Listening Skills

So when you are listening to somebody, completely, attentively, then you are listening not only to the words, but also to the feeling of what is being conveyed, to the whole of it, not part of it.

Jiddu Krishnamurti, Spiritual Philosopher

Reflective thinking requires an analysis of a principal's thoughts and actions to make adjustments to behaviors and interactions. Many of the interactions a principal has over the course of a day are situations where the principal is listening to the concerns and points of view of students, teachers, parents, or others within the school community. In fact, researchers have noted that "more than forty-five percent of our total communication time is spent in listening" (Feyten, 1991, p. 174). Given this fact, techniques for improving a principal's ability to listen effectively are definitely necessary. The strategies included in the listening skills component to help strengthen a principal's ability to concentrate and listen to the messages being heard are:

- An assessment tool for analyzing listening skills,

- Techniques to practice while listening, and

- An acronym for remembering important listening behaviors.

What does the research say about listening skills?

Few individuals receive formal training to listen effectively (Feyten, 1991). However, this important skill affects all aspects of a person's personal and professional life. McEwan's research (2003) showed "the major difference between highly effective principals and their less

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effective colleagues is that successful administrators learn early in their careers that the ability to listen isn't just a nice thing to do: It is an essential skill to surviving and thriving in the principalship" (p. 7). In addition, Gupton (2003) cited a number of studies that indicate listening as the "communication skill most often needed by administrators" (p. 73).

Those who listen effectively adjust their listening according to who is speaking. This skill can help the principal demonstrate a willingness to learn more about the student, teacher, or parent speaking. When the listener attends to a speaker in a focused manner and provides verbal and nonverbal cues that show the listener is attending to the message, these actions demonstrate a willingness to be attentive and empathetic to the persons with whom one interacts.

What strategies can be used to put listening skills into action?

Step One: Assess personal listening skills.

The first step toward improving listening skills is to determine strengths and areas for improvement. The MOREAR ® Listening Self-Assessment can be used to rate listening behaviors and consists of twenty-eight questions related to best listening practices (Figure A2: MOREAR ® Listening Self-Assessment). The Self-Assessment developed by Brandt and Brandt (1999) is used by HighGain, a training company that specializes in helping individuals improve their listening skills, and can be accessed at the following web address, http://www.highgain.com/SELF/index.php3. When an individual completes the survey, ratings are given in the areas of Memory, Open-mindedness, Respect, Empathy, Attention, and Response. These ratings can help an individual determine which techniques for improving listening skills should be practiced the most.

Step Two: Practice listening techniques.

Listening is a complex act, because the listener must not only attend to the words being spoken, but must also notice the nonverbal cues expressed by the speaker's body language. In addition, the listener must focus on the speaker, ignore distracting thoughts or noises, and listen to the entire message being delivered. Focused listening can clearly be a difficult task given the one hundred and one things that require a principal's attention on any given school day.

To improve listening skills and provide some background information about the act of listening, the principal may read Kline's *Listening Effectively*. This pamphlet can be accessed on-line at http://www.au.af.mil/au/awc/awcgate/kline-listen/b10tp.htm. Kline's pamphlet, written for the Air Force University, covers common fallacies about listening, explains the types of listening, and provides tips for improving listening skills. Kline recommends that a listener "prepare to listen, adjust to the situation, focus on the speaker's ideas or key points, capitalize on the speed differential, and organize materials for listening" (Kline, 1996, Chapter 5, np).   The following tips can help improve the principal's listening skills:

➢ Prepare to listen. Be in a position to hear and attend to the speaker. Be sure to make eye contact with the speaker and remove distractions from the area. Moving to a quiet location or facing away from distracting movements can also be beneficial.

➢ Adjust to the situation. Sometimes there are barriers that interfere with one's ability to listen to the speaker. Perhaps the listener has been interrupted in his work or has difficulty understanding the speaker's accent. Whatever the barrier, the listener should make adjustments to better attend to the words being spoken.

➤ Focus on ideas or key points being expressed. While the details are important, be sure that one understands the main idea of the speaker's message. Take notes if necessary, but don't let note taking become a distraction.

➤ Capitalize on the speed differential. Listening is complex, not only because of the distractions that occur, but because the rate of speaking is much slower than the rate of processing that information. Individuals generally speak at 120 to 180 words per minute. However, listeners can process approximately 500 words per minute. Use this time difference to summarize the speaker's message to verify that key points are understood. Anticipate what the speaker will say next, but do not interrupt. If the listener is confused or there are points that need clarification, formulate questions to ask the speaker after he or she has finished talking.

➤ Organize materials for learning. Write key points on paper or arrange them mentally. The goal is to make connections between what the speaker is saying and what is already known.

Kline's tips provide a common sense approach to the act of listening and can help principals make small tweaks to their own behavior and practice. These adjustments can often make the difference between an effective situation and one riddled with confusion.

Step Three: Learn an acronym for listening effectively.

Once techniques recommended by Dr. Kline are practiced, the principal may post the following acronym (Kosmoski & Pollack, 2001, p. 8) in the office or in a planner to serve as a reminder that the ultimate goal of listening is "to empathize with the intent to understand" (Covey, 1989, p. 240).

L – Look at the person speaking to you.
A – Ask questions.
D – Don't interrupt.
D – Don't change the subject.
E – Empathize.
R – Respond verbally and nonverbally.

How does listening relate to change?

When staff members are asked to implement a new program or try a different teaching strategy, they will often direct questions and opinions concerning the change to the principal. Waters, Marzano, & McNulty (2004) found that when staff is engaged in a change that transformed their school or teaching, communication was often negatively affected. A principal can prevent miscommunication during a change process by improving listening skills. Since over 45% of time spent communicating with others is spent listening, these interactions should be positive and productive. The staff, students, and parents will appreciate willingness on the part of the principal to listen and focus on their message.

Reflective questions to consider:

❑ The principal can measure the ratio of time spent listening and talking to students, teachers, or parents. Does the ratio differ according to who is speaking (e.g., student, teacher, parent)?

❑ The principal can reflect on interactions with others and determine whether advice was offered. What form of advice was given? Did the speaker ask for advice? How was the advice received?

❑ Pay attention to the nonverbal cues being used by the speaker. Do the cues observed match the words and tone of the speaker? Nonverbal cues demonstrate an attentiveness to the

message. Who is standing or sitting? Where are the listener's and speaker's hands or arms?

Does either nod or purse their lips? What are the listener's or the speaker's eyebrows doing? Is

the listener making eye contact with the speaker? (Gilbert, 2004)

Recommended reading:

Gilbert, M. B. (2004). *Communicating effectively: Tools for educational leaders.* Lanham, MD: ScarecrowEducation.

Kline, J. A., & Air University Press. (1996). *Listening effectively.* Maxwell Air Force Base, AL: Air University Press.

Ramsey, R. D. (2002). *How to say the right thing every time: Communicating well with students, staff, parents, and the public.* Thousand Oaks, CA: Corwin Press.

Recommended websites from this component:

Listening Effectively by J. A. Kline & Air University Press.
http://www.au.af.mil/au/awc/awcgate/kline-listen/b10tp.htm

MOREAR ® Listening Self-Assessment
http://www.highgain.com/SELF/index.php3
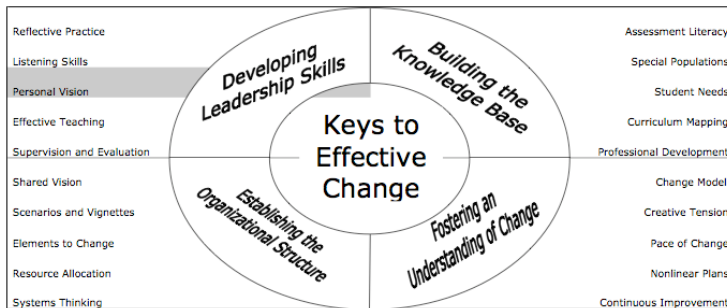
Component Three: Personal Vision

> *The heart of leadership has to do with what a person believes, values, dreams about, and is committed to – the person's personal vision.*
>
> Thomas Sergiovanni, Professor of Education

A personal vision statement can be an invaluable tool to help a principal guide daily

decision-making and remain committed to goals that improve teaching and learning in the

school.   In addition, a personal vision statement can help the principal frame messages to students, staff, and parents over the course of the school year. Finally, a vision statement can be used to remain committed to professional goals throughout the principal's career. This component is designed to help the principal create a personal vision statement by providing:

- An overview of the roles and responsibilities associated with a principalship,

- Specific questions to be answered that relate to the school setting, and

- A vision audit to see how well one's personal vision statement is expressed.

What does the research say about personal vision?

The research on principal leadership shows that leadership matters and principals with a clear vision are the most effective (Danielson, 2002; Evans, 1996; Fullan, 2003; Leithwood, Louis, Anderson, & Wahlstrom, 2004). Sparks (2005) stated that principals who are preparing for a significant change in their schools could ready themselves by "developing a clearly articulated purpose and a richly detailed vision" (p. 29).   The personal vision statement can be shared with members of the school community to find commonalities of purpose and belief. Marzano, Waters, and McNulty (2005) found that identifying shared ideals and beliefs regarding the nature and purpose of schooling is critical to establishing a strong school community" (p. 119).

The first step toward building shared ideals and beliefs is for the principal to develop a personal vision statement that states beliefs about teaching and learning, sets professional goals, and determines what the principal would like to accomplish within a given timeframe. Such a statement would satisfy Crow, Matthews, and McCleary's (1996) belief that "the principal as a leader should have a vision of the purpose of schooling, the goal of teaching and learning, and

how these can be accomplished in the lives of students" (p. 78). In addition, adherence to a strong vision defines principals as authentic leaders "who have strong commitments, who preach what they believe, and practice what they preach" (Evans, 1996, p. 184). The personal vision statement becomes the vehicle for moving the school community forward and for developing a set of shared ideals and beliefs in the future.

What strategies can be used to put a personal vision into action?

Step One: Become familiar with the standards related to principal roles and responsibilities.

Over the past ten years, a series of studies have tried to capture the essence of the roles and responsibilities associated with the principalship. Some of these studies have been translated into standards that define "what principals should know and be able to do" (NAESP, 2001). Others have been used as the basis for licensure exams and principal evaluation systems.

The four major studies highlighted in this component examine different aspects of school leadership and the role of the principal. The studies are being used to guide universities that are training aspiring principals, assist superintendents and school boards who evaluate current principals, and provide a framework for those write state and national licensure exams. These documents set forth the standards to which school principals are being held and principals should be intimately familiar with them.

➢ The *Educational Leadership Policy Standards: ISLLC 2008* is an updated version of the *Interstate School Leaders Licensure Consortium: Standards for School Leaders* (1996). The purpose of the original document was to "present a common core of knowledge, dispositions, and performances that will help link leadership more forcefully to productive schools and

enhanced educational outcomes" (CCSSO, 1996, p. iii). More recently, "ISLLC 2008 is meant to serve as a foundational piece for policymakers as they assess current goals, regulations, policies, and practices of education leaders" (CCSSO, 2008, p.4). The National Policy Board for Education Administration (NPBEA) adopted the resulting six standards and "reflect new information and research about education leadership that has been gathered over the past ten years" (CCSSO, 2008, p. 1).

➢ *Leading Learning Communities: Standards for What Principals Should Know and Be Able To Do* written by the National Association of Elementary School Principals in 2001. In this document, "six characteristics of instructional leadership were identified that outline what the principals' role in school improvement can and should be" (NAESP, 2001, np) and described quality indicators to ensure that the standards promoted a focus on the learning of both students and adults within the school.

➢ *What We Know about Successful School Leadership* by Leithwood and Riehl (2003) in conjunction with the American Educational Research Association "presented a summary of key, well-documented understandings about leadership at the school level" (Leithwood & Riehl, 2003, p. 1). The paper used the two functions of providing direction and exercising influence to examine five major findings from the research on school leadership.

➢ *Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement* was written by Waters, Marzano, and McNulty in 2003. This study was a meta-analysis that "examines the effects of leadership practices on student achievement" (Waters, Marzano, & McNulty, 2003, p. 2). The result was a framework describing twenty-one leadership responsibilities that positively correlate with student

achievement. The study was recently published as a book entitled *School Leadership that Works: From Research to Results (2005)*.

At the end of the personal vision component, in the *Recommended Readings* section, web addresses for pdf files of these studies are provided. Principals can broaden their knowledge of the expected standards, roles, and responsibilities of the school principal by downloading and reading these studies.

A summary table (Figure A3: Summary of Leadership Standards, Roles, and Responsibilities) is provided that includes the basic standards, roles, and responsibilities from the four studies. This table serves as a reference guide that may be used to select key words, phrases, and goals when writing a personal vision statement.

Step Two: Write a personal vision statement.

There are several ways to begin writing a personal vision statement. The principal could begin by writing the answers to these three questions: (1) Why did I become an educator? (2) What do I stand for? (3) What legacy do I want to leave? (Livsey & Palmer, 1999). Robbins and Alvy (2004) suggested writing belief statements about "leadership, students, staff members, community building, curriculum, instruction, assessment, learning, professional development, supervision, communication, and change" (p. 7). Eaker, DuFour, and DuFour (2002) felt that writing in terms of "I will," rather than "I believe" signifies a commitment to action.

Whatever style is selected as the basis for writing a personal vision statement, the principal's leadership style, teaching and learning goals, and how the principal intends to make this vision a reality should be clarified. To ensure that the statement encompasses many aspects of the school's present situation, the principal may locate the following documents for reference while writing: (a) the school's achievement data or report card, (b) district or state benchmarks

and goals, (c) the principal's reflective journal, log, or chart and refer to Figure A3: Summary of

Leadership Standards, Role, and Responsibilities. The following suggestions may be used to

direct the principal's thinking as a personal vision statement is prepared.

➢ Consider the principal's personal leadership style. Which standards, roles, or

responsibilities fit this style and which deserve more attention when selecting personal goals?

How would the principal like to be described by students, staff, and parents?

➢ Examine student achievement data or school report card. What pressing concerns or

areas of achievement need attention? Are there external factors that are preventing students from

achieving? How can the principal help the students and staff overcome these challenges?

➢ Examine the school's instructional program. Does achievement data reflect a

problem with curriculum or instructional practice? What aspects of the program need to be

changed or improved? Does the school have school improvement goals or standards that the

principal wants to include in a personal vision statement?

➢ Take a look at the reflective journal, log, or chart. What patterns exist regarding the

principal's decision-making skills, interactions with others, and the challenges that regularly

need attention? Which of these challenges can be incorporated into a vision statement?

➢ Using the notes generated, compose a personal vision statement that reflects these

thoughts. Remember to include leadership style, teaching and learning goals, and how to

achieve this vision.

Examples of personal vision statements include:

• As the instructional leader, who leads and guides teachers toward best practice in the

area of reading, I will promote the use of research based reading strategies by

providing teachers with appropriate training and support to raise students'

comprehension scores.

- As a principal who believes all students and staff members should work and learn in a

  bully free environment, I will support the implementation of the Olweus Bully

  Prevention Program by providing training for students and staff members, following

  through on guiding those who bully, and ensuring that the program receives the

  appropriate resources, time, and energy to be successful.

Step Three: Conduct a vision audit to determine how well the vision is being expressed.

Composing a personal vision statement is only the beginning. A personal vision

statement will be realized only when it is communicated and acted upon. The principal can

begin by sharing thoughts about teaching and learning, posting messages that reflect his or her

personal vision statement, and behaving in a manner that exemplifies the leadership style being

projected. The Vision Audit included in this book (Figure A4: Vision Audit) includes ideas

about how to communicate with students, staff, parents, and school community.

The Vision Audit can be a periodic means to determine whether the principal's messages,

actions, and decisions foster or detract from the personal vision statement. Reflecting on these

messages, actions, and decisions will help the principal recognize whether certain behaviors are

in line with the vision statement and whether all stakeholders are being included on a regular

basis. Recording the type of reactions the principal receives, whether appearing in the form of a

comment, question, note, e-mail message, or phone call, will help monitor how well the ideas

were expressed. If the principal hears nothing, that is also useful feedback. The following

suggestions may help the principal to further disseminate the vision statement.

➢ The principal can begin by sharing personal statements that express the vision and goals in staff and school newsletters, during staff meeting discussions, or in local newspaper articles. The principal might examine signs in hallways and on doorways to be sure they reflect the intended message for visitors. In addition, the principal might use a web site, blog, or homework hotline regularly to communicate what is most important about teaching and learning. If the principal has an opportunity to speak with local business owners or service organizations, information about what is happening in the school and plans for the future can be shared.

➢ The principal might consider coupling verbal statements with positive actions. These might include the maintenance of an open door policy and visibility throughout the school. The principal can make visits to classrooms on a regular basis so students and teachers know the principal is interested in the teaching and learning occurring in the school. Also, the principal can share the goals and vision with parents and other community members to let them know the positive things happening each and every day. The principal may also wish to be visible in the community by attending sporting events or community activities, serving on local charitable boards, volunteering for special events, and/or participating as a service club member.

➢ The principal may expand the message to include those who attend regular activities. Volunteers and support staff should also know what the principal believes and how they can contribute to the achievement of the goals. During parent/teacher conferences, parent/teacher organization activities or meetings, site council meetings, and family events, the principal will share thoughts and beliefs with each of these groups. Parents want to know how important their childrens' achievements are to the principal and the staff. The principal should also reach out to central administrative staff and other members of the community to let them know what personal goals have been set for the school and self.

➢ The principal should definitely use the personal vision statement as a decision-making guide. If student learning and quality teaching are the focus of the personal goals, the principal should be sure they are given priority when making a decision. The principal can monitor the decisions by asking these questions: How will this decision affect the students and student learning? How will this decision impact instruction and curriculum decisions? Where should the school spend monies to improve student achievement and instructional practice? Where should staff development efforts be focused? What additional talents should the staff strive to bring to the school when hiring new staff members?

The principal can use the Vision Audit form throughout the school year. The form and a copy of the personal vision statement can be kept on the principal's desk or in a planner. The principal might plan to read the personal vision statement at least once a month to be sure that no particular group or action is being overlooked. In addition, keeping track of what messages have been sent and looking for patterns that indicate how well those messages are being received can also be informative. The principal may find that efforts need to be strengthened in some of the areas listed in the Vision Audit by increasing the frequency of the message, promoting the message among certain factions of the school community, or clarifying the principal's thoughts by more clearly expressed views. Over time, the principal will find that the message is being heard and actions are noticed.

❧ *How does a personal vision statement relate to change?*

If a personal vision statement describes the principal's leadership style, outlines teaching and learning goals, and details how one intends to make this vision a reality, the statement can be used to analyze and adjust decisions and relations with others. The vision statement can become

a vehicle to change the principal's behavior and actions and to monitor the progress being made toward achieving personal goals.

In addition, a principal's personal vision statement can direct and focus the staff when they are being asked to make a change. Kotter (1996) believed that vision "clarifies the general direction for change, simplifies hundreds of more detailed decisions, and motivates people to take action in the right directions" (p. 68). A personal vision statement can help keep staff morale high and the school community's energy focused on the important goals of improved teaching and increased student learning.

? *Reflective questions to consider:*

❑ What communication tools (newsletters, e-mail messages, web site announcements, blog sites, etc.) are being used to deliver the principal's personal vision to students, staff, parents, and the community? How often is this message being sent? What actions can be taken to increase the intensity and frequency of the message?

❑ How is the principal's time spent over the course of a school day or week? Is this how the principal has intended to use time? If not, what adjustments can be made to the schedule?

❑ What is the principal's most important responsibility? The principal can examine the reflective journal or log to see how much time and attention has been given to this responsibility.

Recommended reading:

Council for Chief State School Officers (2008). *Educational leadership policy standards: ISLLC 2008.* Washington, D.C.: Council of Chief State School Officers. Access this document, in pdf format, at http://www.ccsso.org/publications/details.cfm?PublicationID =365

Leithwood, K. A., & Riehl, C. (2003). *What we know about successful school leadership.* Philadelphia, PA: Laboratory for Student Success. Access this document, in pdf format, at http://eric.uoregon.edu/pdf/whatweknow103.pdf

National Association of Elementary School Principals in partnership with Collaborative Communications Group. (2001). *Leading learning communities: Standards for what principals should know and be able to do.* Alexandria, VA: NAESP. Access this document, in pdf format, at http://www.naesp.org/resources/1/Pdfs/LLC2-ES.pdf

Waters, T., Marzano, R. J., & McNulty, B. A. (2003). *Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement.* Aurora, CO: Mid-continent Research for Education and Learning. Access this document, in pdf format, at www.mcrel.org/.../LeadershipOrganizationDevelopment/ 5031RR_BalancedLeadership.pdf
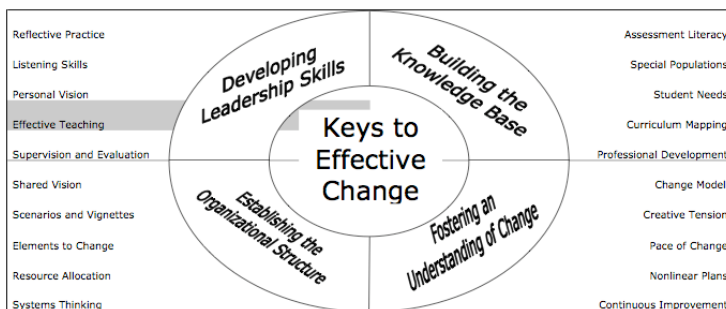
Component Four: Recognize Effective Teaching

What the best and wisest parent wants for his own child, that must the community want for all of its children.
John Dewey, American philosopher and Educational reformer

Teachers and principals who serve as instructional leaders have a significant impact on student achievement (Hattie, 2009; Marzano, Waters, & McNulty, 2005). Hattie (2009) described effective teachers as those "who teach in a most deliberate and visible manner" and "intervene in calculated and meaningful ways to alter the direction of learning to attain various shared, specific, and challenging goals" (pp. 62-63). Marzano, Waters, and McNulty (2005) found that "school leadership has a substantial effect on student achievement" (p. 12). Therefore, a successful strategy for supporting quality instruction is to encourage principals to learn as much as possible about effective teaching by exploring:

• Standards and frameworks of effective teaching,

- Methods for observing quality teaching in action, and

- Tips for hiring the right people.

What does the research say about effective teaching?

What are the traits of a highly effective teacher? McEwan (2002) described the highly effective teacher as "mission-driven and passionate, positive and real, and a teacher leader" who demonstrated "with-it-ness in the management and organization of the classroom, engagement of the students, and management of time", possessed "a unique style, motivational expertise, and instructional effectiveness", and finally, "demonstrated knowledge, curiosity, and awareness" (pp. 191-193). Hattie (2009) described effective teachers as those who act as "deliberate change agents and as directors of learning" (p. 251).

Effective teaching has garnered the attention of many researchers. Darling-Hammond (2000) as well as the National Board for Professional Teaching Standards (2004) have documented the significant impact that quality instruction has on student achievement. The effective teachers described in this body of research can be labeled as passionate, dedicated, knowledgeable, and committed. In addition, studies of the effectiveness of National Board certified teachers found that "learning improvements went beyond higher test scores, adding up to learning improvements equivalent to more than a month's worth of additional time in the classroom" (Vandevoort, Amrein-Beardsley, & Berliner, 2004, p. 37).

Principals who study effective teaching can make use of this information in a variety of ways. They can converse with teachers during informal meetings and formal evaluation sessions about what effective teaching looks like and what characteristics of effective teaching the teachers demonstrate in their practice (Downey, Steffy, Poston, & English, 2010). As areas for

improvement are found, these principals can coach those teachers who need improvement by using specific examples and recommending strategies that will make a difference in their instruction (Danielson, 2002, 2007). Principals, who continue to learn more about and observe quality teaching, will begin to see patterns regarding strategies and techniques being implemented across the building. Some strategies and techniques may need to be improved and should be targeted with professional development experiences and additional resources (Schmoker, 2006). These supervisory behaviors on the part of a principal, coupled with a clear vision, represent a commitment to the continuous improvement of teaching and learning in a school.

What strategies can be used to put recognizing effective teaching into action?

Step One: Become familiar with standards and frameworks of effective teaching.

In 1987, the National Board for Professional Teaching Standards (NBPTS) developed five core propositions that "are expressions of the effectiveness, knowledge, skills, dispositions, and commitments of the accomplished teacher" (NBPTS, 2004, p. 4). These propositions are:

- Teachers are committed to students and their learning.
- Teachers know the subjects they teach and how to teach those subjects to students.
- Teachers are responsible for managing and monitoring student learning.
- Teachers think systematically about their practice and learn from experience.
- Teachers are members of learning communities.

In addition to these five core propositions, the National Board created a voluntary, rigorous, performance-based assessment whereby teachers who enroll as candidates for certification compose four portfolio entries describing "goals and purposes of instruction, reflections on what occurred and the effectiveness of the practice, and the rationale for the

candidate's professional judgment" (NBPTS, 2004, p. 7). The entries include "one classroom-based entry with accompanying student work, two classroom-based entries that require video recordings of interactions between the teacher and students, and one documented accomplishments entry that provides evidence of the teacher's accomplishments outside of the classroom and how that work impacts student learning" (NPBTS, 2008).

After the certification portfolio has been submitted, candidates complete assessment center exercises concerning their knowledge of subject matter content related to their field and certification area. The entire certification process generally takes one to three years to complete. Certification is valid for ten years and teachers may engage in a renewal process toward the end of this time period to extend their certification.

The number of National Board Certified Teachers (NBCTs) has increased substantially since 1993. Currently, all fifty states and many school districts provide incentives for teachers who pursue and/or achieve National Board Certification. In addition, those achieving certification are regarded as "highly qualified" under No Child Left Behind guidelines.

➢ The principal can begin investigating effective teaching at the National Board for Professional Teaching Standards (NBPTS) website, http://www.nbpts.org. The site contains extensive information regarding the standards, certification process, and research on the effectiveness of certified teachers.

➢ Within the NBPTS website, the principal may investigate the link for Standards and National Board Certification that include the standards that have been created for twenty-five different teaching fields. The focus of the investigation could be on standards that relate to the principal's own teaching staff. Examples of teacher certification areas include Art, English, Math, Science, Music, Library Media, Social Sciences, and Physical Education. Certificates also

range from those who teach early childhood to those who teach adolescents and young adults.

The principal may review the Five Core Propositions and learn more about "what teachers should know and be able to do" for each proposition. The principal should be familiar with the certification process to understand what teachers are expected to accomplish and produce.

Finally, a review of the renewal process will help the principal understand how certification can be extended after the initial ten year certification period comes to an end.

➢ The principal can learn more about certified teachers in one's district or state through the National Board Certified Teachers link within the NBPTS website. By joining a support network of principals, candidates, NBCTs, and university officials, the principal can actively promote certification in one's school or district. Finally, the principal may request recruitment materials from the website to encourage teachers to become candidates for certification.

➢ At the Education Reform link, the principal may read stories that demonstrate the impact NBCTs are having upon the profession. In addition, there is information about the type of support other principals are offering staff members who pursue certification. The National Board is interested in recruiting principals, parents, community members, and business leaders to support the process and spread the word about the impact NBCTs are having on student achievement.

➢ The principal can read ongoing and completed research projects on the site that document the effectiveness of NBCTs on student achievement and performance and standards-based professional development.

Investigation of the National Board Certification and the National Board for Professional Teaching Standards will provide the principal with an understanding not only of the certification process, but also the competencies that National Board certified teachers possess. Considering

the impact national board certified teachers are having on student achievement, the principal may encourage staff members to pursue certification and to use the same instructional strategies that NBCTs use in their classrooms. As professional learning activities are developed for teachers, the principal may focus these activities on the Five Core Propositions listed on page 27 and National Board Standards for the certification areas that correspond with teachers' teaching assignments.

Danielson (1996, 2007) developed *A Framework for Teaching* based on teacher licensing expectations and the National Board for Professional Teaching Standards. Her framework divides the "complex activity of teaching into 22 components clustered into four domains of teaching responsibility: planning and preparation, classroom environment, instruction, and professional responsibilities" (Danielson, 2007, p. 1). Danielson's framework "assumes that the primary goal of education is to engage students in constructing important knowledge and that it is each teacher's responsibility, using resources at hand, to accomplish that goal" (Danielson, 1996, p. 25).

The Danielson framework is being used in many university and school district settings. Pre-service teacher training programs at colleges and universities use the framework to help students learn more about effective teaching practices. School districts across the country use the Danielson framework to evaluate the performance of both new and experienced teachers as unsatisfactory, basic, proficient, or distinguished (Danielson, 2007, p. v).

➢ The principal can obtain a copy of each of Charlotte Danielson's books, *Enhancing Professional Practice: A Framework for Teaching*, 1st and 2nd editions. The books can be purchased from the Association for Supervision and Curriculum Development website at http://www.ascd.org.

➢ The principal may review the chapters that describe the rationale, features and assumptions of the framework, to understand how the framework is useful for a wide variety of audiences and how the research base was used to construct the framework. In addition, the principal may learn about the framework's constructivist role in shaping a teacher's practice and professionalism.

➢ If the district encourages teachers to create portfolios of lesson plans, student work samples, and assessment results to illustrate their competency in the classroom, the principal may review Danielson's portfolio model from the 1st edition of *Enhancing Professional Practice.* The chapter describes the purposes of a portfolio and the types of work samples such as unit plans, videotapes, and student work samples that a teacher may wish to include. Sample reflection sheets, observation records, and logs are also provided.

➢ The sections on supervision, goal setting, and evaluation in the chapter on how to use the framework are very useful. The Danielson model strongly emphasizes the use of reflection and self-assessment as techniques for a teacher to evaluate and improve upon instructional practice. These techniques will be familiar after having engaged in the reflection activities described earlier in this chapter.

➢ Finally, the principal may review the domains, components, and elements of the framework to be familiar with its vocabulary and understand the differences between the four levels of performance. With the framework firmly in mind before visiting classrooms to observe these techniques, the principal will be better able to categorize and classify the behaviors and actions observed.

The National Board for Professional Teaching Standards and Danielson's *Framework for Teaching* are excellent tools for identifying, discussing, and encouraging effective teaching. The

more familiar the principal is with these tools, the greater the ability to focus the staff's attention on the continuous improvement of teaching and learning in the school.

Step Two: Observe quality teaching in action.

After studying a particular area of education such as using critical thinking skills in mathematics or reading an interesting article describing societal behavior, examples suddenly seem to be wherever one looks. The same is true when the principal begins to study effective teaching. Certain techniques or strategies are recognized and teachers' instructional behaviors can be categorized according to the Five Core Propositions. Attention to the complexity of effective teaching is heightened. Principals should take advantage of this period of awareness to hone observation skills.

➢ The principal can locate the National Board Certified teachers in local schools, districts, or across the state and schedule appointments to watch these teachers in action. Before observing, the principal may read a particular domain from the Danielson framework or descriptions from the 5 Core Propositions of the National Board Standards to review effective teaching strategies. The observation can then focus on a specific strategy such as questioning skills, differentiated instruction, student engagement, or use of instructional materials.

➢ As the principal investigates the domains, components, and descriptive elements of effective teaching from the Danielson *Framework of Teaching*, the levels of performance associated with unsatisfactory, basic, proficient, and distinguished practice should be referenced. After reading a component and its descriptive elements, the principal should circulate through classrooms in the building in search of these behaviors. A reflective log can be used to record behaviors, strategies, and observations from these visits. Information from these informal

observations will provide the principal with formative evaluation data and can be used to engage teachers in discussions of effective teaching practice.

➤ With teachers' permission, the principal can make videotapes of demonstration lessons that model effective strategies and techniques while leading a literature circle or introducing a new concept in mathematics. These video clips can be shared with the rest of the staff and a discussion can be held on which effective strategies and techniques were used during the lesson. Teachers should be encouraged to share additional strategies or techniques that are also effective. Focused attention on specific instructional strategies or techniques will help teachers reflect upon their own practice and will reinforce the use of best practice.

➤ When observing individual teachers, the principal can take notes during the observation to create an informal record to reference during post-observation conferences. Some or all of the following areas may be included in the notes:

- Objectives, goals, or curriculum standards addressed in the lesson.
- Management techniques and strategies utilized in the classroom.
- Demonstrations of student learning that were visible.
- Motivation techniques that actively engaged students.
- Evidence that showed high expectations for student work and behavior.
- Questioning strategies and feedback to responses that were used.
- Activities that showed how students practiced or applied new learning.

➤ Whenever the principal sees an effective lesson presented, the teacher's efforts to engage students, provide clear directions, and explain concepts by linking prior knowledge to the topic at hand can be recognized. The principal can jot a short note describing the particular action or behaviors observed and congratulate the teacher on the lesson's success or effectiveness. The principal may highlight a specific standard or component from the Danielson model in the staff newsletter, using descriptions of effective practice witnessed during the observations. Finally, effective teaching practice can be applauded during staff meetings by

congratulating the teacher, describing the lesson or technique, and awarding them with a small token of appreciation (e.g., a pen, an apple, or a thank you note).

As the principal observes quality teaching in action and brings those behaviors to the attention of staff, the emphasis should be on the impact effective teaching has upon student achievement. Student success and increased learning are the ultimate goals and should be at the forefront of all efforts.

Step Three: Hire the right people.

Fullan (2003) admonished principals that "people are not your most important asset. The right people are" (p. 9). Kotter (1996) discussed the importance of hiring lifelong learners with "high standards, ambitious goals, and a real sense of wisdom in their lives" (p. 183). Quality teachers who are dedicated, passionate, and committed to teaching and learning make a positive impact not only on their students, but also on their colleagues and administrators (Reeves, 2008, p. 4).

When vacancies occur on the staff, the characteristics of who would be the "right people" for the school should be determined. The principal may want to start with Lambert's (2003) general recommendations regarding characteristics for quality teachers: (a) willingness to participate in decision making, (b) constructivist philosophy of learning, (c) sense of responsibility for all students in the school, (d) readiness to work with others to accomplish the school's goals, and (e) an understanding of how to improve one's craft. Next the principal should consider the ways in which new staff members might bring unique talents to the school, promote school improvement goals, or move the staff in a new direction.

➢ The vacancy and job description for that position should describe the skills, talents, and credentials the ideal candidate would possess. The principal may want to look for those who

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are already national board certified, as these teachers have demonstrated their ability to teach effectively. If students need to increase their skills in a certain academic area such as writing, reading comprehension, or problem solving, individuals may be selected who have received additional training or have geared their professional development opportunities to improve their practice in that area. For example, if the school's scores in reading need improvement, the principal may look for individuals who have been trained in the latest reading strategies or who have assumed leadership positions as literacy coaches or language arts lead teachers.

➢ College transcripts can indicate whether candidates have demonstrated mastery in mathematics and composition. Teachers should have strong oral and written communication skills and good problem solving skills to challenge students to excel in all areas of the curriculum. The goal should be to select individuals who have shown a commitment to their own education and have demonstrated the ability to achieve.

➢ As the principal fills vacancies within a department or grade level team, consideration should be given to the other members of the team. What character traits would compliment the present members of that team? For example, the team may need an organizer who loves to work out the details of putting together units or field trips. Other teams may need an adventurous sort who is willing to try new techniques or learn how to use the latest technological equipment for a science lesson. Rather than look for staff members who all share the same qualities, the principal may attempt to select individuals with unique skills and talents. The principal may also select someone who will help move the staff in a new direction, by bringing a different perspective to the position.

➢ The diversity of the school's teaching staff is another area of consideration when filling a vacancy. Many researchers discuss the importance of positive role models for today's

youth and encourage schools to maintain a staff as diverse as its student population (Banks & Banks, 2004; Jorgenson, 2001; Nieto, 2002/2003). The principal can strive to build a staff that fits the school's demographics and find ways to work with central office administration to retain these individuals.

➢ Staff members can participate in the hiring process as members of the interview team. The principal should review the interview protocol the school or district has established with team members so they understand what questions are acceptable to ask during the interview and how the process works. For example, some districts have screening interviews at the district level and follow up interviews at the schools. The principal may also consider arranging interviews while school is in session and may ask the candidates to teach a lesson in a classroom. Valuable information can be gained from watching a candidate in action. The school interview may also focus on whether that individual would be compatible with others on the staff and whether the individual possesses the desired skill set for the position. The interview team can review applications, participate in the interview, discuss the candidates' qualifications, and help make hiring recommendations.

The goal when filling a vacancy on the staff is to hire the most effective teachers who will move student achievement forward and help others improve their instructional practice. These are the passionate, dedicated, knowledgeable, and committed teachers who will make a difference in the school.

✿ *How does effective teaching research relate to change?*

A study entitled, *Teachers at Risk: A Call to Action*, stated, "If we cannot attract and retain the nearly two million high-quality teachers that we will need in the critical decade ahead, we simply will not succeed in providing young people with the education they need and deserve" (The Teaching Commission, 2004, p. 21). The study recommended that principals should "provide teachers with mentoring and professional development that is known to improve classroom instruction" (The Teaching Commission, 2004, p. 47). Hargreaves and Shirley (2009) stated, "High quality teachers committed to and capable of creating deep and broad teaching and learning build powerful, responsible, and lively professional communities" (p. 107).

As the instructional leader of the school, the principal should learn more about the components and standards of effective teaching, observe these characteristics in action, and discuss these observations with teachers. In return, the principal's credibility with teachers and ability to mentor effectively will increase. Having a clear understanding of which instructional strategies and techniques are being used will help the principal develop professional growth opportunities designed to improve the teachers' instructional practice. When these professional development activities are presented, the principal should participate to demonstrate a willingness to learn new skills and to understand the challenges of implementation. Effective teaching has a significant impact on student learning and fostering improved instruction will help raise student achievement levels in the school (Schmoker, 2006).

? *Reflective questions to consider:*

❑ How well do teachers understand the standards and components of effective teaching? A study group could read current literature, review lessons plans, and discuss the

effectiveness of different teaching methods to raise awareness of what effective teaching looks like. The principal may use the recommendations in this chapter to direct and participate in the group's activities.

❑ What opportunities have been created for staff members to observe and identify effective teaching? The principal can provide release time for staff members who wish to observe quality teachers in the school or district. These teachers should be asked to share their observations with others and implement one or two new strategies in their own classrooms.

❑ Who are the lifelong learners and quality teachers in the school? Are these teachers working toward National Board Certification? If not, the principal may invite them to take a look at the website, visit with local National Board Certified Teachers and consider the challenge of the National Board Certification process. In addition, the principal may explore avenues for funding the certification fee, providing release time for writing entries, and arranging videotaping services.

Recommended reading:

Danielson, C. (1996). *Enhancing professional practice: A framework for teaching.* Alexandria,
    VA: Association for Supervision and Curriculum Development.
    Support materials and software have been developed by the Educational Testing Service
    and are available at http://www.ets.org/pathwise/framewrk/.

Danielson, C. (2007). *Enhancing professional practice: A framework for teaching, 2nd
    edition.* Alexandria, VA: Association for Supervision and Curriculum Development.

McEwan, E. K. (2002). *10 traits of highly effective teachers: How to hire, coach, and mentor
    successful teachers.* Thousand Oaks, CA: Corwin Press.

National Board for Professional Teaching Standards. (2004). *Moving education forward through
    National Board Certification.* Arlington, VA: NBPTS.

Association for Supervision and Curriculum Development
http://www.ascd.org

National Board for Professional Teaching Standards (NBPTS)
http://www.nbpts.org
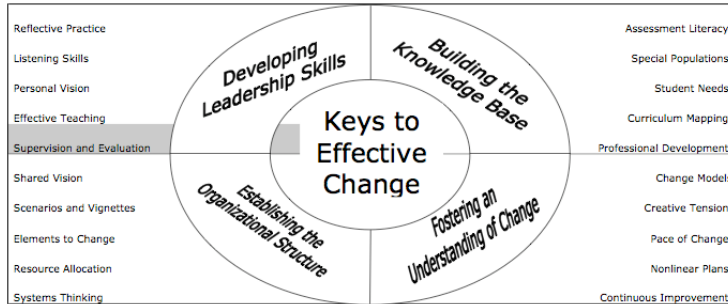
Component Five: Supervision and Evaluation

You have to lead people gently toward what they already know is right.
Philip Crosby, Business Philosopher

Teacher evaluation has traditionally focused on formal classroom observations, district timelines, and summative reports. However, summative evaluations only provide teachers with a snapshot of their teaching rather than focusing on the feedback needed to help them improve and develop their instructional practice. The component of supervision and evaluation describes the formative process of evaluation and can help with:

• Observations of teachers in action,

• Conversations with teachers about teaching and learning, and

• Personal improvement goals that will motivate teachers.

🌿 *What does the research say about supervision and evaluation?*

Along with the creation of the National Board for Professional Teaching Standards and the use of Danielson's *Framework of Teaching*, a movement toward using formative evaluation procedures has begun in many school districts across the country. The Southeastern Regional

Vision for Education (SERVE) conducted several studies of the effects of formative evaluation programs in school districts across the southeastern United States. One of these studies by Egleson and McColskey (1998) reported that "principals spent more time in classrooms, informally interacted with teachers and students," and found "their role changed from a manager to a coach/facilitator" (p. 22). In addition, teachers were self-selecting goals and collaborating on a regular basis with their colleagues which, in turn, helped to improve instructional practice and intensify the focus on student learning and achievement.

Principals involved in formative evaluation procedures encourage teachers to collect information from a variety of sources about their practice, including informal observations by the principal or peers, videotaped lessons, student assessment results, student and parent questionnaires, journals, action research studies, and portfolios (Egelson & McColskey, 1998). A broad-based evaluation involving multiple sources of information will produce a more balanced view of the teacher's performance than can be gained from a few formal observation sessions.

As teachers are encouraged to engage in a formative evaluation process, the principal is asking them to trust that their risk taking behavior will be understood and rewarded. The more time a principal spends in classrooms and engages teachers in a dialogue about the choices and decisions they make, the more teachers will appreciate a principal's willingness to learn, enthusiasm for their efforts, and support if lessons do not succeed. The latter actions will help the principal become a facilitator/coach who is focused on students and the instructional program.

What strategies can be used to put supervision and evaluation into action?

Step One: Visit classrooms on a daily basis.

Peters and Waterman (1982) popularized the idea of "management by walking around" as a method for encouraging executives to become more engaged with their employees. Many principals have adopted this practice to gather information about the condition of the facility, interactions and relationships between students, and the instructional practice of teachers.

➢ Scheduled classroom visits on the calendar will help the principal devote time each day to this important practice. The principal may block out an hour each morning and an hour each afternoon. The goal is to gather impressions of what is occurring in classrooms throughout the school day to be aware of general patterns and trends across the building. The principal should avoid visiting classrooms at the same time of day or following a set path if the principal wishes to see different activities and lessons.

➢ The principal may consider timing observations to watch specific subject areas, grade levels, or types of lessons. This is an excellent time to observe how staff members are progressing toward common building goals. Observations could focus on a content area such as mathematics for as many days as it takes to visit every classroom. Following a certain grade level by visiting during content areas lessons or specialty classes over the course of a week can help make observations more manageable in a middle or secondary setting or in a school with a large student population.

➢ The principal should have a specific teaching or learning focus in mind when leaving the office by determining whether one of the National Board standards, a Danielson component, a school improvement goal, or a safety issue will be selected. The principal should then look for

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specific activities, lessons, or behaviors that exemplify the focus. As the principal looks for

specific instructional strategies, student behaviors, or environmental attributes (accessibility for

disabled students, displays on the walls, how students or visitors are greeted in the hallways),

areas that need to be discussed and addressed with the entire staff will be quickly recognized.

➢ The principal may want to use a "walk-through" model to guide observations.

Downey, Steffy, Fenwick, Frase, Poston, and English (2004, 2010) described a walk-through

process that includes a five step observational structure, a focus on a reflective question and

conversation, and ongoing collegial discourse (see Figure 2: Downey Walk-Through Template).

This process includes:

• "Student Orientation to the Work - Do students appear to be attending when you first
walk into the room?

• Curricular Decision Points - What objective(s) has the teacher chosen to teach at this
time and how aligned are they to the prescribed (district or state) written curriculum?

• Instructional Decision Points - What instructional practices is the teacher choosing to
use at this time to help students achieve the learning of the curriculum objectives?

• Curricular and Instructional Decisions - What evidence is there of past objectives taught
and/or instructional decisions used to teach the objectives that are present in the
classroom - walk the walls, portfolios, projects in the room?

• Safety and Health Issues - Are there any noticeable safety or health issues that need to
be addressed?" (Downey, Steffy, Fenwick, Frase, & Poston 2004, Table 2.1 on p. 21).

➢ Figure 2: Downey Walk-Through Template provides the principal a way to record

information gathered during a walk-through. The template could be loaded on to a computer,

cellphone, or other hand held electronic device and the principal could enter information

digitally.

Figure 2: Downey Walk-Through Template

Name		Grade level	
Date/Time		Instruction	
Content Area			
What skill or concept?			
How are students demo learning?			
		Conversation?	
		Leave note?	
		Need to watch.	
Bloom Cognitive Level			
Know/Comp/App/Anal/Synth/Eval		Walk the Walls	Safety

Adapted from Downey, et al., 2004.

Downey, Steffy, Poston, & English (2010) suggested that principals use the technique of reflective questioning to help teachers "grow in their practice and to be motivated to analyze their own practices and set professional development goals" (p. 46). To use this technique, the principal will pose a reflective question and engage the teacher in a dialogue focused on the teacher's decision-making process and instructional choices. The idea is to focus on teacher decisions and choices related to the context of the observation, the impact on student learning, and the ability to reflect on the situation (Downey, et al., 2010, pp. 54-55). This opportunity allows the principal with opportunities to coach and guide the teacher toward expected individual or school improvement goals.

➢ When conducting a walk-through, the principal should ask those who answer the office phones to inform callers that the principal is visiting classrooms and working with students

and teachers. This message tells the caller that this aspect of a principal's role is important and worthy of attention. Later in the day, when the principal has returned from visiting classrooms and walking the building, calls can be returned.

Step Two: Engage teachers in conversations focused on teaching and learning.

Wheatley (2002) reminds us "that real change begins with the simple act of people talking about what they care about" (p. 22). Holding a conversation following a classroom observation or visit is one strategy for helping teachers focus on specific aspects of their teaching and continue the reflective process. While the act of reflection can be a private activity, "many teachers report a preference for oral rather than written tasks as they to learn to reflect on their work, as well as a preference for working with others (a peer or a supervisor)" (Cutler, Cook, & Young, 1989, p. 4). By using reflective dialogue with teachers, "the principal is actively assisting them to transform and challenge the status quo by fostering the expansion of good practices beyond the classroom of the teachers who originated the ideas, to the broader context of the school" (Downey, Steffy, Poston, & English, 2010, p. 110).

➢ After a classroom observation or visit, the principal can return to the classroom when students are not present, to share the observation and invite the teacher's reflection upon the lesson. Downey, Steffy, English, Frase, and Poston (2004) suggested that questions should help the teacher reflect on how and why particular decisions and choices are made. Reflective questions might include some of the following:

- What was the intended goal(s) of the lesson?
- Did the lesson achieve its goal?
- How did the students respond to ....?
- How were individual student needs addressed?
- Tell me about student work (strengths/concerns).
- How did you decide to ….?
- What other strategies or techniques did you consider using?

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- What would you do the same or differently in the future?
- What is your overall perception of the lesson?
- How would you rate this lesson on a scale from 1 to 5? Why?

> Eastern Michigan University's CITE (Collaboration for the Improvement of Teacher Education) framework describes seven hierarchical levels of reflective thinking (Sparks-Langer & Colton, 1991, p. 39). These levels include:

- No description of teaching behaviors,
- Simple descriptions of teaching behaviors,
- Labeling of teaching/learning events using pedagogical concepts,
- Explanation of teaching behaviors using only tradition or personal preference,
- Explanation of teaching behaviors using pedagogical principles,
- Explanation of teaching behaviors using pedagogical principles and context, and
- Explanation of teaching behaviors using ethical/moral considerations."

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The CITE framework can be used to compose reflective questions and coach less experienced teachers through the reflective process while stretching veteran teachers to look more closely at specific aspects of their practice. The following recommendations provide the principal with specific questions based on the hierarchy of CITE's levels. Because the first level of "no description" contains no description by the teacher, the recommendations will begin with the second level.

> The second level begins with simple descriptions of teaching behaviors. The principal may want to ask teachers to review the structure of the day's lesson or give a description of how students completed a specific task. Example questions include: What activities did you choose for this class period? How often do students engage in this particular activity? What activities do you use to review previously introduced material? What were the steps that the students took to complete this task? What is the criteria for successfully completing this assignment?

➢ The third level asks the teacher to label teaching and learning events using pedagogical concepts. In this situation, the principal may look at individual or school improvement plan goals and help guide teachers to focus on specific aspects of the plan. Example questions include: What phonological awareness activities are students engaged in during the reading lesson? When students design a science experiment, how are you guiding them through the scientific process? Which problem solving strategies are students using to tackle word problems? In what ways are you building your students' computational fluency?

➢ The fourth level involves providing an explanation of teaching behaviors using only tradition or personal preference. With this line of questioning, the principal can encourage teachers to share how creatively they have designed lessons to meet the individual needs of their students. Example questions include: In what ways do you help students settle into the school day? How do you motivate students to complete their work? As you choose work to display in the hallway, what criteria do you use to decide what work will be selected? In preparing for the upcoming field trip, how are you preparing students for what they will experience on the trip? What are the routines you have established for using the computers in your classroom?

➢ The fifth level involves providing an explanation of teaching behaviors using pedagogical principles. With these types of questions, the principal is asking teachers to examine the rationale behind their selection of classroom activities. Example questions include: In what ways have you scaffolded instruction for students who have not yet grasped this concept? As you teach note-taking skills, what procedures are students following to ensure that they have all of the necessary information? At the end of each class period, how do you help students to review the new material that was introduced today? What strategies are you using to help students visualize the concept that was presented?

➢ The sixth level involves providing an explanation of teaching behaviors using pedagogical principles and context. This question will ask teachers to consider the specific characteristics of groups of learners, community factors, or personnel working in the classroom. Example questions include: What additional supports are in place for your students who are English Language Learners? As you incorporate volunteers into your classroom, what types of activities do you ask them to lead and why those activities? How have you modified the lesson to meet the needs of your students on an Individualized Education Plan (IEP)? How do utilize the paraprofessional or teacher's aide during the lesson?

➢ The seventh and final level involves providing an explanation of teaching behaviors using ethical/moral considerations. This level of questioning asks teachers to consider the economic, social, and political aspects of the teaching environment. Example questions include: As you prepare for the field trip, how will you handle students whose families are unable to afford the trip? In what ways do you incorporate alternative viewpoints into this particular history lesson? When engaged in this science lesson, how do ensure that both girls and boys are equally participating? How do you show students that you value their cultural heritage and identity in your classroom?

➢ Use of the CITE framework can easily be adjusted to help teachers reflect upon and address specific areas of instruction, individual or school wide goals, or broader aspects of a school improvement plan. The principal may record questions asked of individuals to monitor the level of the questions and frequency of reflective questions.

➢ The principal should be sensitive to the demands placed upon teachers when asking them to reflect. The principal may want to provide adequate time for the teachers to respond to questions by encouraging them to meet after school or the next day. Some teachers may prefer

time to formulate a response before discussing the question. The answers received may be brief

or very complex, depending on the individual to whom the question was posed. The point is

simply to start a dialogue and let teachers know the expectation is that they should carefully

consider their choices for what is occurring in the classroom.

Step Three: Encourage teachers to set personal improvement goals.

Researchers have found that individuals are motivated to learn when goals "are specific,

attainable within a limited amount of time, and of moderate difficulty" (Bruning, Schraw, Norby,

& Ronning, 2004, p. 112). When staff members voluntarily set goals based on the needs of their

students and their personal interests, their desire to learn and excel is increased.

➢ Principals should make goal setting by teachers a part of the summative evaluation

process by encouraging them to set at least two goals related to their instructional practice. One

goal should be specific to their individual interests and might include working towards a masters

degree in a designated field, focusing on classroom management strategies, or increasing

knowledge of a specific content area. A second goal should relate to school or district-wide

goals and be developed collaboratively with the principal. Begin by looking at these goals and

discussing ways the teacher might improve their skills or utilize specific strategies to increase

student learning. Two goals are certainly plenty, but those wishing to set another goal should not

be discouraged.

➢ Principals may want to use the goal setting form in Figure A5: Goal Setting Form to

help teachers identify activities and strategies to be used, resources and materials needed, and

documentation to be collected. Figure A5: Goal Setting Form includes space for recording three

different goals. The teachers can use this form at the beginning of the year to inform the

principal of their selected goals, develop professional development activities that will support their learning, and target funds for necessary resources and materials.

➢ A teacher's timeline for completion of goals should vary. Some goals may be short term and focus on immediate changes the teacher intends to put in place and accomplish. For example, the teacher may practice vocabulary words each morning to start the school day. Another teacher may choose to have students respond to oral questions by writing their answers on a piece of paper. These goals can be accomplished in just a few days or weeks.

Other goals may require two to three years to accomplish and will probably involve challenging expectations for the teacher. For example, a teacher may complete an English as a Second Language certification and incorporate the strategies learned from this coursework into the classroom. While the long-term goals may be quite ambitious, teachers should not be penalized for selecting goals that may not be entirely accomplished at the end of a set timeline. Rather, they should be encouraged to "stretch themselves" to reach new levels of expertise.

➢ The principal will meet with teachers several times during the year to discuss the goals. To avoid disruption of student learning, the principal should schedule appointments with the teachers during their planning times, before school or after school. When meeting, the principal may ask teachers to bring evidence of their progress, which may include books or articles that have been or will be read, student work samples, videotaped lessons, lesson plans, and notes from workshops or seminars. The teachers should be encouraged to share their reflections on these items and to focus their attention on how these choices are impacting student learning.

➢ At the end of the year, the principal can ask teachers to submit a progress report of their work that describes the goal, professional activities, evidence of progress, adjustments to be

made, and whether the goal was accomplished or not. Evidence of the progress should be attached to the report. Excerpts from the report may be included in the final summative evaluation of the teacher.

❧ *How do supervision and evaluation relate to change?*

McColskey and Egelson (1998) stated, "If teachers and schools are to break out of old molds and adopt new approaches to teaching, then an evaluation system designed to encourage individual teacher growth is not a luxury but a necessity" (p. 7). Strategies for principals to encourage teachers to grow and improve their practice include: visiting classrooms on a regular basis, using a formative system of evaluation, engaging teachers in reflective questions focused on choices and decisions related to curriculum and instruction, coaching teachers to carefully examine their own instructional practice, and encouraging teachers to set personal improvement goals. Principals who utilize these strategies may notice improved teacher attitudes towards evaluation and professional development (Downey, Steffy, Fenwick, Frase, & Poston, 2004). In addition, collegial conversations with teachers help prepare the way for professional activities such as creating a shared vision, identifying elements of the curriculum or instruction to change, and fostering the regular use of reflective thinking.

❓ *Reflective questions to consider:*

❑   When conducting regular building walk-throughs, principals may want to encourage teachers to join them on a building walk to learn more about how their colleagues are performing and what exciting lessons are occurring across the building. When the walk is complete, the principal could ask the teachers to reflect on their impressions. This information could be used

to gauge whether the principal is attending to the same aspects of classrooms, building culture, and instruction as they are.

❑ The principal should take time to reflect on the characteristics of the staff. What strengths does staff possess? Where are its weaknesses or deficiencies? Who has expertise that can be shared with others? Which staff members are willing to accept challenges and try a new course of action?

❑ Principals may use this opportunity to review the district's evaluation tool as to how the standards and components of effective teaching are reflected. How can the principal incorporate formative evaluation strategies into the summative process that has already been established? Are teachers asked to set goals and reflect upon their own learning? If not, seek ways to include these strategies as well.

Recommended reading:

Calabrese, R. L., & Zepeda, S. J. (1997). *The reflective supervisor: A practical guide for educators.* Larchmont, NY: Eye on Education.

Downey, C. J. Steffy, B. E.; Poston, Jr., W. K.; English, F. W. (2010). *Advancing the three-minute walk-through: Mastering reflective practice.* Thousand Oaks, CA: Corwin Press.

Downey, C. J., Steffy, B. E., English, F. W., Frase, L. E., & Poston, Jr., William K. (2004). *The three minute classroom walk-through: Changing school supervisory practice one teacher at a time.* Thousand Oaks, CA: Corwin Press.

McColskey, W., & Egelson, P. (1998). *Designing teacher evaluation systems that support professional growth (3rd ed.).* Greensboro, NC: SERVE.

Summary:

This chapter, Developing Leadership Skills, clarifies the principal's personal beliefs and attitudes towards teaching and learning and provides additional skills of engaging in reflective practice, listening well, conveying consistent messages to the school community, and conversing

regularly with staff members about effective teaching practice. Before moving to the next

chapter, be sure the components of reflective practice, effective listening skills, personal vision,

recognizing effective teaching, and supervision and evaluation are in place, because these

strategies lay the foundation upon which a supportive organizational structure for students and

staff can be built.

Chapter 2
Establishing the Organizational Structure

The key of establishing the organizational structure includes the following components: (1) shared vision, (2) scenarios and vignettes, (3) identification of elements to change, (4) resource allocation, and (5) systems thinking. The first component, shared vision, will help the school community consolidate their beliefs and attitudes towards teaching and learning. In addition, stakeholders (e.g. students, staff, parents, and community members) will create a vision for how they would like the school to evolve and grow in the future. By using the second component, scenarios and vignettes, the principal can encourage dialogue about teaching and learning among staff members regarding current or desired situations that need to be addressed or achieved. Scenarios and vignettes can help the principal introduce difficult topics and develop alternative plans for upcoming challenges by encouraging collegial conversations focused on what is best for the school community in regard to teaching and learning.

Once a series of alternatives have been considered and the school community has developed a shared vision, the third component, specific elements of the school's educational program that need to be improved, enhanced, or eliminated, will be identified from information gathered from surveys, existing school data, and current research. The next step is to look at how component four, existing resources, are currently allocated to ensure that the organizational structure is supportive of the vision. Finally, an overview of component five, the systems thinking model, can provide a structure for organizing and guiding the principal's thinking as the change process begins.
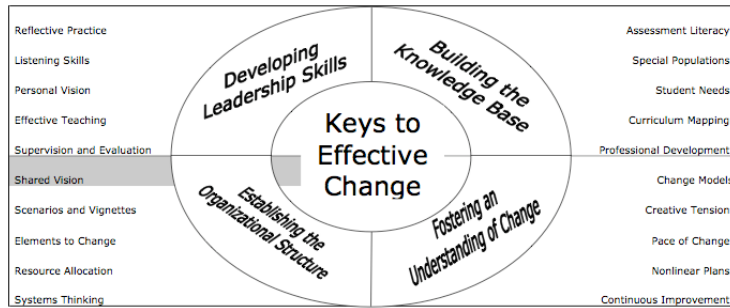
Component One: Shared Vision

Where there is a shared vision of excellence, where people can be the best they can be on a daily basis, where they know what is expected of them, understand that reward is linked to performance, and believe they can make a difference because they will be heard, they will make a difference. They will go beyond our expectations and great things will start to happen.

Frederick W. Smith, CEO, Federal Express

If the principal has worked through the recommended components in Chapter 1 and has a personal vision statement in place, the Vision Audit (Figure A4) will help monitor how well the personal vision statement is guiding messages, actions, and decisions concerning teaching and learning. The creation of a personal vision statement is an important step, but will have a limited effect on changes within the school community unless the principal works with students, staff, parents and community members, the school's stakeholders, to articulate and create a shared vision of teaching and learning for the school. The strategies of this component will help the principal move the school community away from the current reality toward a new vision for the future. They include:

• A method for engaging the school's stakeholders in a series of dialogue sessions,

• A process for developing a shared vision statement,

• A method for communicating that statement.

🌿 *What does the research say about shared vision?*

A shared vision provides the school's stakeholders with a common purpose, language, and method for achieving teaching and learning goals that best fit the needs of the students, staff, parents, and community. The process of developing a shared vision may take weeks, months, or years depending on the personalities involved and the challenges that present themselves. Often, a school community facing a crisis or fresh challenge will move more quickly towards a shared vision than towards one maintaining the status quo. When guiding the process, the principal should remember that in order for stakeholders to take ownership of the shared vision, the vision must project "a future that is better and more desirable in significant ways than existing conditions" (DuFour & Eaker, 1998, p. 62).

Principals who develop and use a shared vision with their stakeholders can see many positive effects in their school. The shared vision encourages staff members to move beyond established, comfortable routines and to experiment with new techniques and strategies. Camaraderie increases as the staff supports one another's efforts and celebrates progressive improvements (Deal & Peterson, 2009). In turn, students take ownership for their learning through goal setting and accept the challenge of increasing their knowledge and skills (Marzano, Pickering, & Pollock, 2001). By providing parents and community members with information and encouraging their participation in school events and activities, these stakeholders understand and support the efforts being made to effect change (Deal & Peterson, 2009). Finally, current research and proven, reliable strategies lend credibility to the shared vision, thus encouraging stakeholders to remain committed to the continuous improvement of teaching and learning (Sparks, 2005).

The principal should focus on these positive aspects of a shared vision, but should also be prepared for common obstacles that may interfere with individual efforts. Developing a shared vision takes time, a precious commodity in today's busy schools. Often, stakeholders must experience a sense of urgency to fully embrace and remain committed to new approaches, strategies, or programs. For example, perhaps the school has failed to meet annual yearly progress (AYP) guidelines and is in jeopardy of losing students as a result. Immediate changes will be needed to reverse this trend and improve test scores. In this situation, the principal's communication and leadership skills will be called into play over and over again while striving to keep the ball rolling and providing stakeholders with progress indicators, praise for risk taking, and reminders of what the vision entails. The rewards are well worth the effort and over time, the school community will appreciate the principal's leadership and dedication to the shared vision.

What strategies can be used to put a shared vision into action?

Step One: Engage stakeholders in a series of dialogue sessions.

Stakeholders within a school community "could be students, parents, community members and local business employees, school faculty and all other staff members, administrators in the buildings as well as those in a district office, and others" (Ubben, Hughes, & Norris, 2007, p. 63). Before these individuals begin to work collaboratively to develop a shared vision, they must first have the opportunity to meet and discuss their beliefs about teaching and learning. They must learn to accept differences of opinions and decide which "truths" about teaching and learning they are most willing to support. The principal will need

skills related to leading groups in dialogue sessions, including effective listening skills, preparing goals and questions for each session, and establishing ground rules for participation.

➢ The principal should determine whether the stakeholders have enough information to engage in meaningful conversations about teaching and learning. The discussion could be initiated by sharing stories from other schools, research articles, district initiatives, or school assessment data. If the principal wants to implement drastic reform, study groups could be formed for several months or part of a year to intensely explore specific areas, options, and information related to a desired change.

➢ Before each meeting, the principal should prepare an agenda with the goals for the meeting and questions for discussion. A rule of thumb is to make sure meetings begin on time and have a designated ending time. The agenda should be distributed ahead of time so the purpose of the meeting is evident and group members may begin thinking about the goals and questions before the meeting. Goals on the agenda should be ones that are achievable in a short period of time. As goals for the next meeting are formulated, the principal should help group members link new goals to the previous ones.

➢ As the principal develops discussion questions, material previously given to group members should be considered and attention should focus on how best to guide the direction of the discussion. The principal can help group members consider multiple viewpoints and alternative solutions. In addition, group members may discuss what is presently occurring in the school to encourage discussion of members' beliefs and attitudes towards teaching and learning. Prompts might include:

- In our school, learning happens when . . .
- In our school, teachers are most effective when . . .

- In our school, school employees interact with students, other staff members, parents, and the community in the following ways . . .
- In our school, we measure student achievement by . . .
- In our school, the following resources are available . . .
- In our school, the ultimate goal is . . .

➤ At the first meeting, the principal will set ground rules or group norms for participation such as guidelines for conducting a dialogue, participating in a brainstorming session, and preventing the conversation from becoming a gripe session. During a dialogue session, group members should be encouraged to respect confidentiality, share time equitably, listen carefully, keep an open mind, and be respectful. During a brainstorming session, group members should participate fully, suspend judgment of others' ideas, generate numerous and diverse ideas, and build on others' ideas. During all sessions, negative comments will be recorded on a piece of chart paper in terms of "Things we would like to change" or "Challenges" or "What's missing in our school."

➤ The principal will be using a variety of facilitation skills throughout the meeting. The goal is to create a relaxed, open atmosphere with comments that encourage additional participation. The principal will ask questions such as "Who else might have a similar (or different) opinion?" or "Do you have an example or additional information to share?". The group members can be kept on track by occasionally refocusing members' attention, limiting those who would monopolize the conversation, and encouraging reluctant speakers to share their thoughts. At the end of the meeting, the principal should seek generalizations of the discussion, summarize key points, and ask group members to provide a brief evaluation of the meeting. An evaluation form attached to the agenda will encourage group members to share their opinions.

While meeting separately with school community members who have a common interest in aspects of teaching and learning that pertain only to them may be beneficial, the group that

creates the shared vision statement should include all stakeholders: students, parents, teachers, support staff, and community members. The principal may include members of already established groups such as the site council, school advisory board, or parent-teacher organization board. These stakeholders will bring different perspectives and viewpoints to the conversation and help the group produce a more inclusive statement. If the group is particularly large, the principal may want to consider dividing the group into smaller groups of five to six people so that members have more opportunity for interaction. In addition, smaller groups should have representatives from each of the stakeholder groups (e.g., students, parents, teachers, support staff, and community members).

Step Two: Develop a shared vision statement.

Now that stakeholders have explored their beliefs and attitudes concerning teaching and learning and have gained a new understanding of the challenges and possibilities facing the school, the time is right to create a shared vision statement. This process will definitely take more than one meeting to accomplish. Many organizations work for months to produce a shared vision statement that adequately reflects the group's goals and dreams. While working through this process, the principal will plan hour-long sessions focused on specific tasks.

Session One: Where are we and what challenges are we facing?

➤ Ground rules of participation should be established with the group participating in the visioning process. The principal will refer back to the rules of participation that were developed and used during dialogue sessions with the various stakeholders. In general, participants should be encouraged to respect confidentiality, share time equitably, listen carefully, keep an open mind, and be respectful. When brainstorming, participants should suspend judgment of others' ideas, participate fully, generate numerous and diverse ideas, and build on others' ideas.

➢ Group members should be reminded of past dialogue sessions, study group findings, district goals, assessment results, and other related discussions. The principal will use this opportunity to relate the history of the school's improvement plans and student achievement gains. Together, the group can look at how the school's demographics have changed and determine what new challenges have presented themselves. While group members need to understand the history of the process of forming a shared vision, this step of the process should not be belabored. Short summaries, graphs, tables, or lists will suffice.

➢ Each group should be provided with a large sheet of chart paper and markers. The following questions can be posed: (1) What are the successful features of the school and its program? (2) What new challenges are we facing? The groups should discuss and record their responses on the chart paper. The principal should circulate among groups and listen to their conversations, rather than being assigned to a group. This is an opportunity to gauge reactions and general opinions that are being expressed.

➢ Posting the charts will allow everyone time to review all of the groups' responses. To help group members identify similar points of view related to successful features and challenges, the principal may ask them to place a specific color of stick-on dot next to items that appear on multiple charts. An example would be to ask group members to place green dots next to successes related to student achievement or red dots next to challenges related to lack of materials and resources. This technique provides group members with a visible means for reaching a consensus on which items should be included in the shared vision statement, as those that receive a large number of dots are obviously at the forefront of the groups' thinking.

➢ At the end of the session, the principal will call everyone together to summarize the session's proceedings. An agenda for the next session should be set and group members should

be reminded of the next session's date and time. The principal will end the session on time and thank group members for their input and support.

Sessions Two - Seven: Take time to dream.

In preparation for subsequent meetings, the principal will post the charts from the last session and make copies of pertinent materials (e.g., research articles, success stories from other schools). The meeting room should be arranged so small groups will have places to gather. Each group should be provided paper on which to record points from the discussion.

➢ Together, the group can review the charts from the last session. The principal should remind stakeholders of current successes and challenges to frame a context for the meeting's discussion. Similarities and differences among the charts can be discussed and group members can be encouraged to add additional points or thoughts.

➢ Once the large group has considered what is currently happening, the process of dreaming about what might be possible can start. Again, group members should be placed in groups of five or six. At each session, individuals should be shuffled among the groups so that members have a chance to hear multiple perspectives. This process should not be hurried, as each small group will need up to six separate sessions to fully discuss each of the following prompts:

- In the ideal school, learning would be accomplished by…
- In the ideal school, teachers would…
- In the ideal school, school employees would interact with students, other staff members, parents, and the community in the following ways…
- In the ideal school, we would measure student achievement by…
- In the ideal school, the following resources would be available…
- In the ideal school, the ultimate goal would be…

➢ Groups can prepare a short, one-minute synopsis of their discussion to share with everyone. The last portion of the session can be spent listening to these statements and setting

the agenda for the next session. The principal will collect the notes from each group to save as a record of their conversation. In addition, the principal will review the notes to summarize key points and ideas at the beginning of the next session.

Session Eight: What is the vision?

In preparation for this session, the principal or a designee will create posters or charts of key points and ideas generated during the previous discussions. Copies of this material, chart paper, and markers should be available to group members.

➢ The principal will start with a summary of the ideas generated over the past several sessions. Group members should be encouraged to share their impressions of the process and their hopes for the group. The principal may visit with specific individuals before the session, so they will be prepared to share and can initiate the discussion. The task for this session is to create a key image, theme, and statement that will be representative of the shared vision.

➢ The following questions can be posed for small group discussion: (1) When you think of a vision for our school, what are the key images or themes that come to mind? (2) What will be the indicators of progress toward this vision? Group members can be asked to create a graphic or picture to illustrate the answers to these questions. In addition, they can be asked to write a sentence or two summarizing their views.

➢ Graphics and pictures should be posted around the room. Each group should have adequate time to present and explain their work so that commonalities between the illustrations and summary sentences can be discussed. The entire group should be asked to consider whether any important ideas are missing that should be included.

➢ A vision statement writing committee will then be formed that has representatives from each of the stakeholder groups and will be responsible for creating a draft vision statement.

The principal will set a time for this work to be accomplished and schedule a meeting of the entire group after this time.

Session Nine: Write the statement.

Kotter (1996) listed the following as important "characteristics of an effective vision: (1) imaginable, (2) desirable, (3) feasible, (4) focused, (5) flexible, and (6) communicable" (p. 72). He added that an individual should be able to communicate the vision to someone else in five minutes or less. Evans (1996) recommended that a vision statement be no longer than a few lines, avoid unrealistic aims or goals, and not include clichés or slogans. The principal may share these recommendations with the writing committee, whose task is to formulate "a compelling picture or image of what the school can become in the future" (Robbins & Alvy, 2004, p. 8).

Just as the principal's personal vision statement reflects leadership style, teaching and learning goals, and a course of action for achieving the vision, the shared vision statement of the school community should also contain similar aspects. However, rather than discussing leadership style, the shared vision's focus will be on the culture and climate of the school. The teaching and learning goals included should encompass all learners and programs. Instead of a plan of action, the shared vision statement will reflect the dream and ideal that everyone is striving to reach. When directing the actions of the writing committee, the principal should keep Kotter's six characteristics and the above aspects of a vision statement in mind to help the committee formulate a complete vision statement.

To prepare for this session, the principal will bring charts, documents, and data that were examined and created during the previous sessions. The writing committee members will need

paper and writing utensils available to complete their work. Writing sessions should be held in a room that allows committee members adequate space for their task.

➤ The session will begin with a review of the images and statements generated during the last session. Committee members should also be encouraged to review charts and documents created during the entire visioning process. This review of the process and discussion of key concepts will help the committee members reach a consensus on the exact wording, concepts, and ideas to include in the final shared vision statement.

➤ Each committee member should be provided paper and writing utensils and encouraged to jot phrases or sentences that express the key concepts and ideas on which everyone agrees. Often, a vision statement is written by one individual and then tweaked and edited by the rest of the committee. As committee members share their written phrases or sentences, the principal may find that one of the committee members has a special talent for summarizing and stating the big picture. When writing, committee members should be encouraged to avoid jargon and long-winded statements.

➤ Ideas shared by committee members can be recorded on a chart or whiteboard for all to see. Once the ideas have all been posted, the principal may choose to engage the group in a constructive criticism exercise where the merits and drawbacks to the statements are discussed. Perhaps one statement immediately catches the group's attention. The group can then play with alternate wording and phrasing to arrive at a statement agreeable to all.

➤ Additional comments or explanations can be drafted that the committee feels should accompany the vision statement. This supportive material may help the larger group understand the rationale for the wording or phrases included in the draft statement. At the end of the

session, the principal should express appreciation for the group's willingness to spend additional time on the process.

Session Ten: Revise and discuss vision statement.

In preparation for this session, the principal will distribute the draft vision statement to the entire group for review. The principal may share the statement with other individuals who have not been a part of the process and receive their feedback on the clarity of the message. This feedback may be useful as the group attempts to revise the draft.

Figure 3: Sample Vision Statements

We believe:
     Every person is unique and deserves the opportunity to achieve his/her
     potential.
     Each individual has responsibility for his/her actions and the resulting
     consequences.
     Diversity strengthens individuals and the community.
     Learning is an essential lifelong process.
                                   Lakeview High School, St. Clair Shores, Michigan

At Northview Elementary:
* We will set high expectations and provide opportunities for everyone to be
successful.
* We will challenge everyone to reach their full potential academically, socially,
emotionally, and behaviorally.
* We will work together with families, students, staff, and the community to
support and enrich the educational experience of all.
* We will create a positive environment that fosters respect, responsibility, and
acceptance for all.
                         Northview Elementary School, Manhattan, Kansas

➢   The session can start with a presentation by the writing committee. Committee members should share their reasoning and rationale for the proposed draft. Additional comments or concerns can be elicited from the larger group. Feedback received from other individuals about the clarity of the message can be shared. The group may be asked to consider whether the

statement reflects Kotter's (1996) six characteristics of an effective vision: (1) imaginable, (2) desirable, (3) feasible, (4) focused, (5) flexible, and (6) communicable" (p. 72).

➢ The principal can determine what revisions or changes are needed based on the comments that are generated by the group. Group members should be encouraged to reflect upon whether the shared vision statement portrays an accurate picture of the desired culture and climate, teaching and learning goals, and dream for the school. The statement should comprehensively reflect the ideas, themes, and concepts that arose from discussions of teaching and learning during sessions two through seven. Changes should keep these factors in mind and follow the tone and direction set by the entire group. At the end of this session, the group should formally adopt the draft as the shared vision statement.

The principal may encourage group members to reflect upon the shared vision statement and record their thoughts and feelings. The group may be reconvened in a few weeks, a few months, or in a year to edit and revise the statement as needed. A vision statement becomes a living document when revised to reflect current challenges, progress, and external pressures.

Step Three: Communicate the shared vision statement.

In Chapter 1, the principal learned the importance of communicating and acting upon a personal vision statement. Now, a shared vision statement has been created by a representative group of the school's stakeholders and must be widely distributed, communicated, and acted upon in order for the vision to become a reality. The suggestions included in Step Three provide the principal with tips for communicating the shared vision statement to the larger school community. Strategies for encouraging collegial conversations, allocating resources, identifying leverage points, and examining policies will be discussed throughout the rest of the chapter.

➢ In the next few weeks, the newly created shared vision statement should be distributed to students, staff, parents, and the community. The principal may include the statement in staff and school newsletters, in e-mail messages, on the web and blog sites, and in district level communications to the public. The principal may also include the rationale and reasoning behind the vision statement and give credit to the visioning group for their work.

➢ Creating the shared vision statement was a lengthy process that required much "give and take" by group members involved. The principal will want the larger school community to understand the process and the group's thinking behind the vision statement. The principal may enlist the help of group members to create a short presentation that can be given to student, staff, parent, and community groups. An agreed upon message and delivery system will ensure that the vision statement is communicated consistently and will lend credibility to the process and to the statement itself.

➢ The next task is to determine how the shared vision statement will be displayed and communicated at the school site. The principal may place signs outside of the school, at the entrance to the school grounds, or on a marquee. Signs could also be placed on the doors leading into the building or in the hallways. The principal will display the vision statement in the main office and in principal's office. Additional signs could be displayed in classrooms, the cafeteria, and library media center. Each of these locations provides an opportunity for making the vision statement readily visible and accessible.

➢ The principal can encourage staff members to incorporate the shared vision statement in their communication with students and parents. Office staff might use portions of the statement when answering the telephone. Teachers might include portions or the entire statement in classroom newsletters and other communications with students and parents. The

principal can ask staff members to include the vision statement as a part of classroom websites and e-mail signatures. A bonus would be for the staff to explain how their classroom activities, projects, and assignments conform to and promote the school's vision for the future.

➢ The principal can write articles for the school newsletter, web and blog sites, district newsletter, and local newspaper to explain the vision statement. The principal can include examples of how the school is working towards its ideal, using excerpts from staff communications with students and parents. Readers will enjoy relevant anecdotes as the principal describes lessons or projects completed by the students and staff. Additional information can be given about pertinent school events and how these events reflect the beliefs and attitudes expressed in the vision statement. These reminders will keep the vision statement visible and will communicate how the statement is acted upon daily.

Each time the vision statement is presented to the school community and reinforced with specific examples of school and classroom activities, the larger school community is reminded that the vision statement is shared by all of the school's stakeholders and is not the principal's alone.

How does shared vision relate to change?

Once a shared vision has been widely distributed and communicated to the entire school community, change will occur as the vision becomes institutionalized in the form of policies, programs, procedures, curriculum, staffing, evaluation, and budget (Lashway, 2003). These types of changes do not happen immediately, but reflect a gradual movement from the status quo to the ideal that has been envisioned. The vision statement serves to explain changes in clear, concise terms and provides direction for the change process. Adherence to the shared vision

statement as a decision making guide, a framework for frequent communications, and a rationale

for change is important so this process demonstrates the principal's belief in the goals and his or

her respect for and dedication to the hard work of change.

? *Reflective questions to consider:*

❑ Now that a shared vision statement has been created, how will the principal continue

to communicate the vision to students, staff, parents, and community members?

❑ As new students, parents, and staff members join the school, how will they be

informed of and encouraged to adopt the shared vision?

❑ What procedures will the principal put in place to encourage all stakeholders to

adhere to the vision on a daily, weekly, and monthly basis?

Recommended reading:

Eaker, R, DuFour, R. & Dufour R. (2002). *Getting started: Reculturing schools to become professional learning communities.* Bloomington, IN: National Education Service.

Evans, R. (1996). *The human side of school change: Reform, resistance, and the real-life problems of innovation.* San Francisco: Jossey-Bass.

Kotter, J. P. (1996). *Leading change.* Boston: Harvard Business School Press.

Reflective Practice			Assessment Literacy
Listening Skills			Special Populations
Personal Vision	Developing Leadership Skills	Building the Knowledge Base	Student Needs
Effective Teaching			Curriculum Mapping
Supervision and Evaluation	Keys to Effective Change		Professional Development
Shared Vision			Change Models
Scenarios and Vignettes	Establishing the Organizational Structure	Fostering an Understanding of Change	Creative Tension
Elements to Change			Pace of Change
Resource Allocation			Nonlinear Plans
Systems Thinking			Continuous Improvement

Component Two: Scenarios and Vignettes

Thinking about scenarios – the different plausible future environments that can be imagined – is the key to thinking the process through and to keep thinking about it as the plans for the future unfold.

Kees van der Heijden, Professor of General and Strategic Management

A personal vision statement helps the principal remain focused and attentive to the direction and goals that have been set. In addition, the school's vision statement helps the principal provide direction for the staff and school community. As challenges present themselves, the principal can collaborate with the staff to discover the best direction for solving current problems. While the principal may have definite opinions on how to handle these challenges, staff members may have opposing or varying opinions on how to address these same issues. Using scenarios and vignettes as a dialogue tool is a strategy to explore options and listen to others' point of view to reach consensus. The scenarios and vignettes component provides the principal with:

- Definitions and examples of scenarios and vignettes,

- A method for writing scenarios and vignettes, and

- Tips for using scenarios or vignettes during a staff meeting.

What does the research say about scenarios and vignettes?

Scenarios and vignettes have typically been used in military, business, and educational settings to help leaders guide decision-making toward solutions that might otherwise be overlooked or missed (Schwartz, 1991). Business policy makers and military intelligence

"created simulation games that combined known facts about the future, such as demographics, geography, military, political, industrial information, and mineral reserves, with plausible alternative social, technical, economic, environmental, educational, political and aesthetic trends" (Wikipedia, 2010). The idea was to use the simulation games to develop long range plans and change mindsets. The same technique can be used in the school setting by presenting narrative stories, pictures, or images to describe a challenge the school or staff members may soon be facing. For example, a school district may experience several years of declining enrollment and reduced budget expenditures or a new industry may be coming to the community and will result in an influx of non-English speaking students to the school. These types of school-related issues and concerns present the principal with an opportunity to use a scenario or vignette that describes the situation and help the staff develop a flexible, long-range plan that addresses different aspects of the problem.

Principals, who regularly share scenarios and vignettes with their staff, can find their use to be a means to promote open dialogue about sensitive issues. Because scenarios and vignettes are written in a concise, easy to understand style, all staff members can be asked to share their opinion of the dilemma that has been raised to develop possible solutions or outcomes collaboratively. Because no one has ownership of the issue, the principal will hopefully learn more about each staff member's personal beliefs and attitudes towards the targeted issue. Engaging in dialogue can encourage staff members to explore alternative solutions and approaches to issues that may become real situations in the future.

A dialogue session with staff members can be enlightening. The session may reveal opposing points of view, the "hot" buttons that exist among staff members, and the depth of emotion related to an issue. This information can be invaluable when the principal is deciding

how best to proceed when a difficult situation comes to light. The principal will know which staff members' talents to tap and who will need extra support before they feel comfortable with the change. Knowledge of how certain staff members feel can be used to frame an issue in a more palatable way to avoid immediate conflict. Change is a difficult process fraught with challenges (Kotter, 1996; Quinn, 1996, 2000; Senge, Scharmer, Jaworski, & Flowers, 2004). The more information the principal has, the better able staff members can be lead to a successful solution when challenges come the school's way.

What strategies can be used to put scenarios and vignettes into action?

Step One: Understand the difference between scenarios and vignettes.

The following definitions will help the principal understand the difference between scenarios and vignettes.

A scenario is a short narrative or concise image that personalizes a future event in order to allow individuals to explore alternative futures (Schwartz, 1991; Senge, 1990). Scenarios are also "stories about the way the world might turn out tomorrow, stories that can help us recognize and adapt to changing aspects of our present environment" (Schwartz, 1991, p. 3).

A vignette is "a short story about hypothetical characters in specified circumstances, to whose situation the reader is invited to respond" (Finch, 1987, p. 105). Vignettes are often used to tell a "story from the participant's view" (Creswell, 1998, p. 18).

Step Two: Write a scenario or vignette that expresses an issue or concern that may affect the staff.

Before writing a scenario or vignette, the principal should analyze the change staff members are being asked to accept. For example, perhaps students need to improve their writing

skills and different types of lessons are needed to make this happen. Or maybe the principal has decided to reverse recess and lunch so that children play before eating their meal. The principal must assess whether staff members: (1) will be able to immediately rectify the situation or implement suggested improvements, or (2) will need to engage in a complex decision-making process. Scenarios are better suited for situations that may require new methods or routines affecting a large number of students, staff members, or parents. Vignettes lend themselves well to situations that call for small adjustments to instructional practice or school procedures.

Every school community has its unique challenges. By turning current and past experiences into scenarios or vignettes, the principal can help staff members discuss and explore how to best handle these challenges.   The following tips have been adapted from the Scenario Writing component of the Future Problem Solving Program (Shewach, 1991) and will help the principal create a well-written scenario or modify personal stories into vignettes.

➢   The principal can select a topic area that will have meaning for the staff. The principal may look back over the reflective journal or log and select a topic from the challenges that have presented themselves over the past few months. Perhaps, the principal may select a topic occurring in the community or with a district program as the change that will impact the school. To look at the full range of options, the principal may consider writing two equally plausible scenarios related to the same topic.

➢   The principal should research or gather information about a concern or issue to be addressed in the scenario or vignette. The principal may find discussion points in stories from newspaper articles, online forums, or other sources that could be borrowed for the story. Staff members may have additional information that would make the story relevant to the school community.

➢ The principal can consider a variety of alternative futures for resolving this issue. Some resolutions may allow the situation to be resolved on its own, while others may present additional challenges. One of these can become the central focus for the scenario. The selection should be based on the alternative that provides the staff with the best opportunity to discuss and brainstorm possible solutions.

➢ The principal can focus the scenario around a central character who is affected or changed by the event or issue. Selection of the central character can be based on whether the principal wants the staff to look at the issue from a student, teacher, or parent point of view.

➢ The principal may hypothesize a chain of events that might lead to, become, or follow the plot of the story. Staying within the confines of plausible events will make the story more realistic. Sometimes, true events are often more amazing than expected.

Figure 4: Example of a Scenario

According to the latest scores released from the state department, the students' written work at Brierwood High School is below average. Scores indicate that improvements are needed in all areas – narrative, descriptive, persuasive, and expository. The English Department is convinced that the problem is completely the fault of the Math and Science Departments, while the Math and Science Departments don't feel that teaching writing is their responsibility. Mr. Geoffrey, the principal, spreads the reports across the conference table and contemplates what to do next.

Solution 1: Mr. Geoffrey decides to devote the next four weeks of staff meetings to professional development sessions focused on how to teach writing. He asks the English Department Chair to lead the sessions and to concentrate on a different type of writing each week. Teachers will then be required to have students produce written work that corresponds with that particular type of writing. For example, when the teachers learn about persuasive writing, every student will produce persuasive pieces in each of their classes. Mr. Geoffrey turns to his computer to draft an email letting everyone know what will be expected.

Solution 2: Mr. Geoffrey believes it would be best to send the department chair from English, Math, and Science to a writing workshop. When they return from the workshop, they could each provide training for the teachers in their respective departments. He sets a meeting with the department chairs and lets them know that improving writing scores will be the responsibility of all departments, not just the English Department. A lively discussion ensues.

Solution 3: Mr. Geoffrey knows that the best way to get buy in from the teachers will be to call them together and have them develop a plan for improving writing. He decides to use the next staff meeting to pitch the idea to the staff. To prepare for the meeting, Mr. Geoffrey finds a journal article on how to improve writing at the high school level and searches the Internet for ideas to improve writing across the curriculum. He's surprised by the wealth of ideas available and can't wait to share them with the staff.

➢ The principal can liven up the scenario by including dialogue between the central character and other characters by including information about the characters' feelings and their thoughts. The principal can make the scenario more realistic by avoiding lengthy descriptions of the situation.

➢ Allow staff members to bring their opinions and values to the situation during discussion. In some cases, the principal may leave the situation unresolved, so staff members can devise the best solution given the circumstances of the scenario. When resolving the story, the principal should aim for a gentle, implied solution that is not judgmental.

These tips also work well for creating a longer, complex scenario. However, the principal may turn a personal experience such as an interaction with a colleague or a major event that took place in another school into a vignette. The process becomes more simplified, because the principal has a ready-made issue, sequence of events, and characters. The principal should protect the characters' confidentiality by omitting identifying details. Changing the perspective of the narrator can help staff members examine the situation from another point of view. For example, the vignette could be told first from the student's point of view and then told from the teacher's point of view. Finally, limiting the number of words to no more than 1,500 will keep the vignette simple and concise.

Figure 5: Example of a Vignette

At Golden Oak Elementary, Gretchen White, the parent of a second grader, called the principal, Mrs. Radford, with her concerns about her child's lunch experience.

"Mrs. Radford, I came to school yesterday to have lunch with my second grader and I was alarmed by what I saw. Students were waiting in line for 10 to 15 minutes to get their trays. Many students sat down and gobbled their food as quickly as possible so that they could be dismissed to go outside. Some of the students were eating well, but when their friends got up to leave, they got up too and didn't finish the rest of their meal. By the time some of the students sat down, they had only five minutes to eat before they were being asked to line up to go outside to recess. Frankly, Mrs. Radford, I am appalled by this situation."

"Mrs. White, I'm so glad you called to bring this to my attention. The teachers and I have been discussing ways to improve our current lunch/recess procedures. I'd like to share those with you right now," said Mrs. Radford.

She went on to explain, "We've been considering switching recess and lunch so that students will play before they eat. The students would go outside to play for 10 minutes and then would be asked to line up to go inside to lunch."

"How will they wash their hands?" asked Mrs. White.

"The students could stop by the restroom, wash their hands, and line up again before going into the cafeteria," answered Mrs. Radford.

"How much time would they have to wait to get their trays and how long would they have to eat?" asked Mrs. White.

"We could monitor the line and call classes to the cafeteria so that waiting time to get their trays is reduced to just a few minutes. The students would then have 15 minutes to eat before their teacher arrived to pick them up from the cafeteria," said Mrs. Radford.

"What if a student wasn't done by the time the teacher came to pick the students up?" asked Mrs. White.

"Well, we certainly hope that isn't the case very often. But we could probably have the student remain at the table to finish eating and join the class as soon as he/she were finished," responded Mrs. Radford.

"I think I like this new plan. Thank you for sharing this with me," said Mrs. White.

"You're welcome. And thank you for bringing your concern to my attention," said Mrs. Radford.

Step Three: Use a scenario or vignette during a staff meeting to stimulate an open dialogue and brainstorming session.

This step explores the use of two different formats for sharing a scenario or vignette during a staff meeting or professional development session. The first format involves using a

Discussion Guide as a recording sheet for the discussion (see Figure B1). The second format has staff members respond to question prompts in order to clarify their thoughts.

Discussion Guide format

The Discussion Guide format should be used when the goal is for the staff to examine a variety of options before they develop a plan of action to address the situation. The following description outlines a one-hour time frame. If the issue or concern is very complex, the principal may break the discussion into more than one session. This will allow staff members the time to reflect on the issue and encourage them to develop a more comprehensive plan.

➢ Staff members should be provided a copy of the scenario or vignette and a copy of the Discussion Guide. Time should be given for them to read and think about their individual responses to the first three questions on the Discussion Guide: What situation was presented in the scenario or vignette? What aspects of the situation are currently present in the school? What differences exist between the two? This time allows individuals to consider their personal viewpoints prior to being placed into a group.

➢ Next, staff members will be placed into small groups of three or four. The principal will ask each group to discuss and record thoughts regarding the first three questions on the Discussion Guide: What situation was presented in the scenario or vignette? What aspects of this situation are currently present in our school? What differences exist between the two? The principal may want to remind staff members that responses will be shared with everyone.

➢ When this task is complete, the principal should pull the groups back together and display the Discussion Guide so that comments and concerns presented by each of the small groups can be recorded. The purpose of this step is to be sure everyone is analyzing the same issue or problem. The principal may find that some of the small groups focus on different

aspects within the same scenario or vignette. Therefore, the large group will need to decide which of the concerns or issues will be the primary focus of the discussion session.

➢ With this common concern or challenge in mind, the small groups will reconvene and brainstorm solutions to the concerns or issues. Conversations should focus on these questions from the Discussion Guide: Who might be involved in the solution? What resources could be tapped? What issues or concerns might develop over time? What visible signs show that progress is being made?

➢ Staff members will continue to alternate between the large group and small group settings until all aspects of the Discussion Guide have been discussed. As before, as each small group shares their ideas, responses should be recorded on the displayed Discussion Guide. During this stage, the principal will encourage staff members to ask questions and refrain from dismissing ideas too quickly. The principal may wish for one of the small groups to play an adversarial role and examine unpopular points of view.

➢ Now that all of the questions on the Discussion Guide have been discussed, the principal will develop a plan of action with the large group. The staff should be encouraged to pick the best solution from the options presented. Possible steps to follow, resources to use, and who will be responsible for implementing the solution should all be recorded on the displayed Discussion Guide.

➢ After the meeting, the principal will provide staff members with copies of the Discussion Guide responses. These responses can be referred to as staff members continue to develop the plan of action, implement the steps, and evaluate progress. The principal may also wish to revisit this concern in a few weeks or months and use the responses recorded during this

session as a reminder of the discussion. If the issue has not been adequately addressed, the responses may provide the group with alternatives or additional issues to consider.

Question/Response format

The Question/Response format should be used when the goal is to unearth personal beliefs and attitudes toward an issue or concern before staff members are asked to make a change in procedure or practice. Depending on the scenario or vignette used, the principal will select questions for the staff from the following list:

- What is the issue or concern that needs to be addressed?
- What do I believe about this situation?
- Who do I believe should be responsible for this situation?
- How do I typically behave in these circumstances?
- What policies or structures are in place that support or do not support this situation?
- What changes will I need to make to my behavior or instructional practice?
- How can I avoid acting in this manner in the future?

➢ The scenario or vignette can be distributed ahead of the meeting to allow time for everyone to read and respond in writing to the questions. When the group meets, staff members will be arranged in small groups of three or four and will be asked to discuss the questions and share individual responses. The principal should be sensitive to what staff members are asked to divulge. Some responses may be too personal and should be used simply as a self–evaluation tool.

➢ Each group will be asked to summarize their small group discussion for the entire group. The principal or a designee will record these summaries on chart paper, an overhead projector, or on a computer screen. After all groups have shared their responses, the principal will determine what steps should be taken to help staff members develop a common belief structure. Options might include staff development opportunities such as study groups, attendance at conferences or workshops, or a series of staff meetings focused on a specific issue.

➢ Over the next few weeks or months, the principal will develop a plan of action related to the staff suggestions. The principal may also wish to send periodic reminders about the agreed upon points in an e-mail or the staff newsletter. Staff development opportunities can be implemented and the principal can look for additional ways to guide the staff toward the common beliefs that were agreed upon.

Both the Discussion Guide and the Question/Response formats provide the principal with the opportunity to address an issue with the staff in a way that allows them to examine their own belief structure, encourages them to explore a variety of options, and helps them begin the process of developing a workable plan of action. This strategy is a technique for starting the initial conversation. The plan of action that is developed from that conversation becomes the tool to help the staff continue the dialogue and to work toward a successful solution.

How do scenarios and vignettes relate to change?

Senge (1990) believes that every individual possesses a mental model of the world that influences how that person interacts with others and reacts to situations that arise. According to Senge, when a person is asked to change a behavior or action, he must first determine how well his mental model fits the change or innovation he is being asked to embrace. Using scenarios and vignettes enables the staff members to examine their mental models of the situation. Discussing alternatives and exploring options answers staff's questions immediately, so staff members know what is expected of them in regard to a new procedure, program, or instructional practice.

? *Reflective questions to consider:*

❑   What mental models will be stumbling blocks for the staff as changes are made to some aspect of the organizational or instructional program? What can the principal say or do to help staff members overcome these issues or concerns?

❑   How will the principal help the staff review and revise the action plan that is developed?

❑   How will the principal remind staff members of decisions that have been made or discussions that have taken place? How often will the principal send these reminders? What means of communication will be used (e.g., e-mail, discussion, newsletters)?
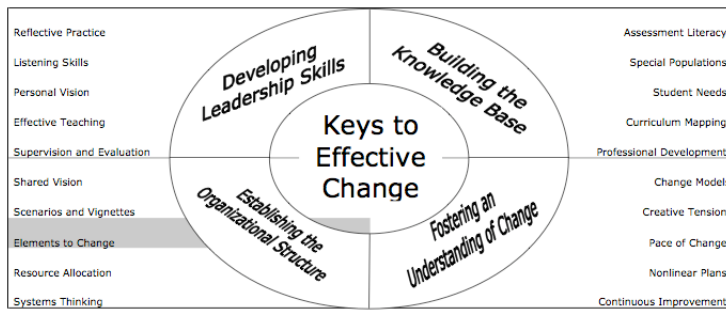
Recommended reading:

Schwartz, P. (1991). *The art of the long view*. New York: Doubleday.

Senge, P. (1990). *The fifth discipline*. New York: Doubleday.

Shewach, D. L. (1991). Scenario writing: A vision of the future. *Gifted Child Today*, *14*(2), 32-36.

Van der Heijden, Kees. (1996). *Scenarios: The art of strategic conversation*. West Sussex, England: John Wiley & Sons.

We need to prepare ourselves for the possibility that sometimes big changes follow from small events, and that sometimes these changes can happen very quickly.

Malcolm Gladwell, author

A compelling vision statement can be the impetus for bringing many new ideas and changes to the school. When discussing situations with staff members and other stakeholders, the principal may find that everyone has a different idea about what needs to be done first or which areas need the most attention to move toward the newly developed shared vision. As the principal meets with and listens to staff and community members, the task is to identify the key elements or leverage points that will bring the school closer to this vision while focusing on teaching and learning. To help the principal determine the key elements or leverage points within the school's program, this component provides:

• Tips for gathering information,

• Research on effective schools, and

• Research on effective strategies for implementation.

What does the research say about elements to change?

Leverage points for change within the school's program may be easy or difficult to pinpoint given the school's unique demographics, situation, or issues. While there are key elements that will have a significant effect, the principal should remember that "change happens within a complex system of interrelated elements" (Zmuda, Kuklis, & Kline, 2004, p. 38). In

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order to make a difference within that system requires that "educators contemplate the elements, interrelate the various elements, discern the patterns that constitute the whole, and think through how to redesign, over time, the patterns for learning and growth to ensure that the school's purpose is achieved" (Zmuda, Kuklis, & Kline, 2004 p. 38).

Principals who take the time to identify leverage points can better focus resources on specific tasks (Kegan & Lahey, 2009). Focusing time, talent, energy, and fiscal resources provides an efficiency of scale and will help the staff and community better understand the steps needed to accomplish goals addressed in the shared vision (Fullan, 2008). In addition, principals adopting this strategy can find leverage points that reach across curricular, social, and leadership arenas. This interrelatedness of leverage points helps staff experience systemic change and improves the principal's chance of encouraging systemic thinking and action (Fullan, 2010).

During the process of identifying leverage points, the principal should ensure that the tasks selected are for changes on which the staff members', district's, and community's resources should be focused (Leithwood, Aitken, & Jantzi, 2006). While pinpointing a few specific elements to address is difficult, choosing too many items could overwhelm the staff. Alternately, the principal should refrain from selecting too few tasks and fail to capitalize on the energized state of mind the staff and community members will experience after completing the shared visioning process (Reeves, 2009). The idea is to find just the right focus in order to create a leverage point for change.

What strategies can be used to put elements to change into action?

Step One: Gather information.

Schools generate a wealth of data over the course of a year, which includes demographics, student achievement results, climate surveys, and professional development activities. The challenge is to determine what data are most pertinent and will be the most helpful to identify the key elements that will help the principal achieve a personal vision and the school community's shared vision. The principal can examine the following list of data sources and determine which are most readily accessible to the school at the current time.

➢ Student achievement data will be the most important data source. This data will help target particular student subgroups and select areas of the curriculum and specific skill sets within subject or content areas. As the data is examined, the focus should be on the areas within the school or district program where students are experiencing the most success in order to learn what is working, with whom it is working, and why it is working. With this information, the principal can address specific needs and subgroups that need additional attention. More information on how to analyze student data is included in Chapter 3.

➢ Demographic data are particularly useful for tracking information concerning the student population. The principal may learn more about free and reduced lunch rates, the ethnicity of students and the community, gender breakdown by grade level or school, languages used in the home, and absolute numbers of students. The principal may find it particularly interesting to track this data over a three to five year period and see what patterns emerge. In addition, census data and local housing trends can help the school and district project future enrollment and may influence planning.

➢ Climate surveys given to students, staff members, and parents address general feelings of satisfaction or dissatisfaction with the school's current organization and structure. Hoy and Feldman (1987, 1999) defined organizational health in terms of "specific interaction patterns in school" that include items such as academic emphasis, institutional integrity, morale, resource support, and actions of the principal (p. 31). Questions related to these areas can be found in a variety of sample climate surveys. This data can be useful in determining how much work is needed to encourage collegial and collaborative work relationships, whether the principal's leadership skills are meeting the needs of the staff, and whether students and staff feel a sense of belonging and purpose.

The principal may wish to examine climate surveys used by other schools or districts prior to selecting a final instrument to distribute. The Alliance for the Study of School Climate at California State University has a comprehensive climate survey available to review and can be accessed at http://www.calstatela.edu/centers/schoolclimate/assessment/school_survey.html. Additional climate surveys can be viewed at the Wisconsin Information Network for Successful Schools (WINSS) website, http://www.dpi.state.wi.us/sig/improvement/index.html.

➢ To learn more about specific parental views, utilize topical surveys that target specific concerns such as need for homework support, interest in parenting courses, technology availability in homes, drug or alcohol concerns with teens, or bullying behaviors in the neighborhood or school. These surveys are generally one to five questions in length and can be easily administered at school events, by mail or with an Internet survey. This data source could help the principal distinguish between a perceived need and reality. In addition, the principal may be able to target specific groups within the school community that are in need of additional resources.

➢ The principal may also wish to access community survey data gathered by the local chamber of commerce, city or county strategic planning groups, or nonprofit organizations. Surveys of this nature often fall under the guise of "quality of life" or "community needs" surveys. This data can help the principal target trends across the community and tap additional community resources and support for change.

➢ Additional demographic data that may be of particular use include the age, experience, and ethnicity of school personnel. According to data from the National Center for Education Statistics and the National Commission on Teaching and America's Future (2010), the average age for teacher retirement is 59 and approximately one half of the current teaching force is over the age of 50. These statistics mean that over one half of the teaching force in the United States is eligible for retirement in the next decade. Depending on the current demographics of the school, the principal may find this trend has serious implications for the staff and district in terms of institutional knowledge and pedagogical expertise (http://www.census.gov).

Step Two: Research effective schools.

In light of the wealth of current research on effective schools and practices, there are many resources available to the principal and staff that can illuminate effective strategies, methods, and programs for the student population and school's needs. The important thing to keep in mind is that every school is unique and no one program or strategy will answer all of the concerns. Instead, finding the right blend of strategies or programs that compliment the talents and skills of the staff, students, and community will be advantageous.

➢ A particularly relevant starting point is Effective School Research championed by Lezotte, which looks at seven key areas and finds that "the extent to which the Correlates are in

place in a school has a dramatic, positive effect on student achievement" (see Figure 6:

Correlates of Effective Schools) (Lezotte, 1991, p. 4).

Figure 6: Correlates of Effective Schools

Instructional Leadership	Principal acts as the instructional leader and effectively and persistently communicates that mission to the staff, parents, and students.
Clear and Focused Mission	A clearly articulated mission through which the school staff shares an understanding of and commitment to instructional goals, priorities, assessment procedures, and accountability.
Safe and Orderly Environment	An orderly, purposeful, businesslike atmosphere free from the threat of physical harm permeates the school environment.
Climate of High Expectations	Climate of expectations in which the staff believe and demonstrate that all students can attain mastery of the essential content and school skills.
Frequent Monitoring of Student Progress	Student academic progress is measured frequently with a variety of assessment tools. Results are used to improve individual student performance and the instructional program.
Positive Home – School Relations	Parents understand and support the school's basic mission and are given an opportunity to play an important role in helping the school achieve that mission.
Opportunity to Learn and Student Time on Task	Teachers allocate a significant amount of classroom time to instruction in the essential content and skills.

Adapted from the Correlates of Effective Schools, Inc. website www.mes.org/correlates.html

➢ Advice from principals of award winning schools can also be enlightening. The

United States Department of Education sponsors a recognition program entitled Blue Ribbon

Schools. In 2005, principals from seven high-poverty, high achieving schools were interviewed

and their top ten responses were summarized on the U.S. Department of Education website:

1. Set high standards, high expectations, and a rigorous curriculum. Decide on a focus and stay the course. Find the necessary resources.
2. Listen to the data. If an inadequate number of students are learning to high standards, develop tutoring and test prep strategies to improve the numbers.
3. Hand-pick teachers and create a culture where the administration works for the teachers, not the other way around.
4. Provide timely and intensive intervention strategies for students who are experiencing difficulties.
5. Provide upward and downward opportunities for students who are strong or weak in specific content areas.

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6. Ensure the principal spends a lot of time in classrooms and knows what is (and is not) happening.
7. Structure bilingual education so that students are effectively mainstreamed into regular classes by fourth grade.
8. Ensure strong, two-way communication between school and home—not just parental involvement but family involvement.
9. Provide a safe, pleasant environment before, during, and after school.
10. Remember that the most important component of education is the students—and that the teacher's most important job is doing what is best for the students. (Retrieved from http://www.ed.gov/programs/nclbbrs/2005/profiles/index.html)

➢ Across the nation, many effective schools and programs exist. These "lighthouse schools" can provide the staff and school community with concrete examples of strategies, techniques and programs that are working for others. Success stories can help focus the staff with a particular example or can provide hope that even very dire circumstances can be overcome. Visit the Center for Comprehensive School Reform and Improvement website at http://www.centerforcsri.org to find examples of these successful schools and programs.

Step Three: Research effective strategies for implementation.

Many studies have and are being conducted regarding which strategies and techniques have the most positive effect on student achievement. The following paragraphs describe some of the better-known studies and provide the principal with a summary of the authors' work. Further research and reading will be necessary for the principal to become more familiar with this body of work.

➢ Marzano, Pickering, and Pollock's book, *Classroom Instruction that Works* (2001) outlined nine research-based strategies for increasing student achievement. See Figure 7: Research-Based Strategies for Increasing Student Achievement for an outline of the strategies derived from a meta-analysis of studies to determine the effect a particular strategy has on student achievement. While Marzano, Pickering, and Pollock have not identified which

strategies work best for certain content areas or grade levels of students, the strategies clearly

have a strong effect on student achievement. In addition, while instructional strategies are an

important focus, management techniques and curriculum design are equally important aspects of

effective pedagogy (Marzano, Pickering, & Pollock, 2001).

Figure 7: Research-Based Strategies for Increasing Student Achievement

Strategy	Tasks
Identifying similarities and differences	Comparing, classifying, creating metaphors, creating analogies
Summarizing and note taking	Analyzing data, outlining information, grasping the big idea, creating text frames
Reinforcing effort and providing recognition	Tracking effort and achievement, using rubrics and other methods of reinforcement
Homework and practice	Articulating a homework policy, identifying clear purpose, practicing new skills or processes
Nonlinguistic representations	Creating graphic representations, making physical models, generating mental pictures, drawing pictures, engaging in kinesthetic activity
Cooperative learning	Focusing on positive interdependence, encouraging others, accountability to self and others, processing as a group
Setting objectives and providing feedback	Narrowing focus, generalizing instructional objectives, personalizing class goals, receiving specific, timely feedback
Generating and testing hypotheses	Clearly explaining hypotheses and conclusions through systems analysis, problem solving, or historical investigations
Questions, cues and advance organizers	Higher level questions focused on big ideas or essential information

Adapted from Marzano, Pickering, and Pollock's (2001) *Classroom Instruction that Works: Research Based Strategies for Student Achievement.*

➢ In *Results Now: How We Can Achieve Unprecedented Improvements in*

Teaching and Learning, Schmoker (2006) listed four key factors for raising student achievement:

(a) strategic reading where students learn to read closely for the purpose of the information, to

synthesize the information, and to draw inferences; (b) rereading for the purpose of promoting fluency and deep understanding of text in every discipline; (c) writing as a way for students to learn to refine, improve, and clarify their thoughts; and (d) discussion so students can test their ideas and viewpoints. In fact, he strongly advocated "that even 30 minutes of close, purposeful reading followed by regular discussion and writing could add months of growth for each school year" (Schmoker, 2006, p. 98).

➤ Reeves, the author of *The Learning Leader: How to Focus School Improvement for Better Results* (2006), named the following trends in schools with the greatest gains in achievement and equity: (a) holistic accountability for teachers and students; (b) nonfiction writing assessments in every subject; (c) frequent, common assessments that are formative, designed to improve teaching and learning, and accompanied by immediate feedback; (d) immediate and decisive intervention for students who are struggling; and (e) constructive use of data to identify and act on problems.

➤ Pollock's approach, outlined in *Improving Student Learning One Teacher at a Time* (2007), reviewed four general guidelines that teachers should follow. She coined the guidelines as the "Big Four" and reminded teachers to "use a well-articulated curriculum, plan for delivery, vary assessment, and give criterion-based feedback" (p. 8).   She defined a well-articulated curriculum as one that includes "learning targets that are robust concepts, generalizations, and procedures" (p. 28). As teachers plan for delivery, she suggested use of instructional strategies that will help "the learner remember content and apply information and skills, not just do schoolwork" (p. 59). The purpose of "varied assessment strategies is to provide feedback that helps the learner hit the learning targets" (p. 83). And finally, teachers should give "methodical, criterion based feedback to individual students" (p. 103).

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➢ Hattie's book, *Visible Learning: A Synthesis of over 800 Meta-Analyses Relating to Achievement* (2009) analyzed the six major contributors to learning: the student, home, school, teacher, curricula, and teaching to determine the effect each had on overall student achievement. Hattie concluded with "signposts for educational excellence" that entail how teachers can be "directive, influential, caring, and actively engaged in the passion of teaching and learning" as they continually ask, "Where are you going?, How are you going?, and "Where to next?" (pp. 238-239). Hattie found that critical factors of teaching included techniques that help "learners construct and reconstruct knowledge and ideas" in an environment where the teacher "feels safe to learn, re-learn, and explore knowledge and understanding" (p. 239). Hattie recommended that teachers and school leaders carefully examine these signposts to capitalize on the behaviors, strategies, and programs that truly make a difference in schools.

How does elements to change relate to change?

As the principal reviews the recommendations included in the effective school research, there will be no surprises or earth shattering revelations. However, the message is strikingly clear: instruction matters. The instruction teachers provide each and every minute of the school day matters. All children deserve to be taught well and have the opportunity to read, write, think, and discuss each and every school day. If the vision the school community has created is worth pursuing, the improvement of instructional practice will undoubtedly be at the core of the change process.

? *Reflective questions to consider:*

❑ How will the principal generate a passion for quality teaching that is needed to truly effect a change in the staff's instructional practices?

❑ What target areas will the staff need to work on first? Which recommendations mentioned in this component does the principal feel the staff and/or school are already meeting?

❑ How will the principal share success stories with the staff as new practices and strategies are adopted?

Recommended reading:

Hattie, J. A. C. (2009). *Visible learning: A synthesis of over 800 meta-analyses relating to achievement.* London and New York: Routledge.

Pollock, J. E. (2007). *Improving student learning one teacher at a time.* Alexandria, VA: Association for Supervision and Curriculum Development.

Reeves, D. B. (2006). *The learning leader: How to focus school improvement for better results.* Alexandria, VA: Association for Supervision and Curriculum Development.

Schmoker, M. (2006). *Results now: How we can achieve unprecedented improvements in teaching and learning.* Alexandria, VA: Association for Supervision and Curriculum Development.

Recommended websites in this component:

Alliance for the Study of School Climate at California State University
http://www.calstatela.edu/centers/schoolclimate/assessment/school_survey.html

Center for Comprehensive School Reform and Improvement
http://www.centerforcsri.org

Correlates of Effective Schools, Inc.
www.mes.org/correlates.html

Wisconsin Information Network for Successful Schools (WINSS)
http://www.dpi.state.wi.us/sig/improvement/index.html
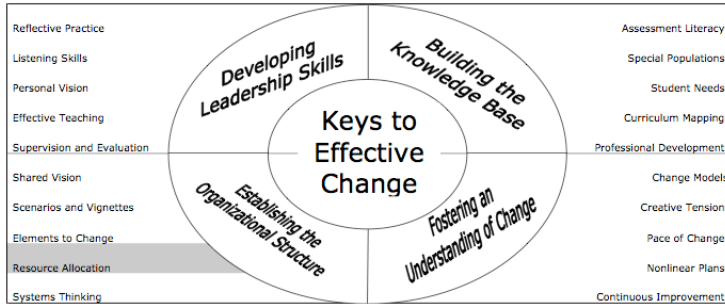
Instruction itself has the largest influence on achievement.
Mike Schmoker, author.

Now that the school community has completed the visioning process, forged a common bond that is focused on a shared vision of the future, and selected specific elements of the program to target, the time has come to capitalize on this momentum. Typically, principals are not likely to gain additional dollars or new sources of revenue to support this initiative. Instead, the principal will have to look at existing resources and determine the best allocation scenario for the particular situation by examining:

- The allocation of how time is utilized in the school,

- The individuals on staff and their existing skill sets, and

- The budgeting process.

What does the research say about resource allocation?

Odden and Associates with the Consortium for Policy Research in Education (CPRE) at the University of Wisconsin, have studied school finance and resource allocation for over fifteen years. A portion of their work "aligns effective allocation and use of resources to the most powerful and comprehensive school-based strategies that can boost student learning" (Odden, 2005, p. 1). The CPRE researchers recognized that "schools will need to restructure themselves to more powerful educational strategies and, in the process, reallocate all dollars to their new and more effective educational visions" in order to meet NCLB's stringent accountability measures

(p. 8). Therefore, the researchers looked at schools in Washington state and Wisconsin that were able to double student performance scores. They found that these schools focused efforts by "setting high goals for achievement, analyzing student data to become deeply knowledgeable about the status of student performance, adopting more rigorous curriculum, investing in teacher training, providing extra help for struggling students, creating smaller class sizes at the primary grades, using time more productively, and in the process, creating professional learning communities with teachers working collaboratively on the instructional program" (pp. 14-15).

Walters, from the Northwest Regional Education Laboratory (NWREL) in Portland, Oregon, created a guide for district leaders on how best to allocate resources to support comprehensive school reform. She identified key attributes of schools that are finding success educating all children. These included: "strong leadership, an academic focus, high-quality teaching staff, and coherence of approach" (Walters, 2001, p. 3). According to Walters, a coherent school ensures that "every decision and every expenditure clearly supports teaching and learning" (p. 5). To achieve coherence, she recommended a close examination of three factors: time, professional staff, and money. In regard to time, Walters suggested that the staff look closely at the amount of time students spend with teachers and how this time is utilized. She reminded principals that the human resource is the most abundant in a school setting and "protecting an investment in certified staff means reallocating resources to ensure their continued growth and skill development" (p. 14). Finally, Walters encouraged district leaders to be flexible in the way in which funds are used at the school level.

Principals who reallocate resources in a way that fosters efficient use of time and improved instruction will find a school community focused on their primary function: teaching and learning (Sorenson & Goldsmith, 2006). A focus on teaching and learning will allow the

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principal to keep the school community's shared vision and clearly defined goals at the forefront of all discussions. In addition, as funds become available, the litmus test for determining whether expenditures fit the school's vision and goals is whether or not the expenditures are going to improve student learning. Consider the power of this message: At our school, we use all of our resources to ensure that students are learning and we are dedicated to improving instruction each and every day.

What strategies can be used to put resource allocation into action?

Step One: Audit how time is used by students and staff over the course of a day and/or week.

Time is a finite and valuable commodity that must be carefully allocated in order to ensure there is time for all that needs to be accomplished. While a formal schedule of the school day, month, and year exists, the principal can "drill down" into this schedule to determine how time is being utilized to increase learning. Examining the use of time to determine how students are demonstrating their understanding of the subject, content, or concept is critical for improving instruction and guaranteeing that students will experience success.

➢ Begin by asking the staff to look at the amount of time students spend with teachers and determine exactly what activities occur throughout the day. While teachers likely have a formal schedule that outlines the courses or how time will be allotted over the morning or afternoon, strive for a more specific breakdown that charts how students are engaged and how much time is actually spent on instructional activities.

➢ Have teachers chart their day in a manner that makes sense with their schedule. High school, middle school, and departmentalized elementary school classrooms will emphasis individual class periods. Non-departmentalized elementary school classrooms will break down

their schedule by subject area and/or activity. The principal can ask the teachers to chart this

information by keeping a log of activities and how much time is spent on each activity. See

Figure 8 for sample charts.

Figure 8: Examples of Activity Logs

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Activity Log for Secondary Math Class

8:00 AM	Bell rings to signify beginning of class period. Students read directions on screen and prepare for class. Attendance is taken and immediate questions answered.
8:10 AM	Review yesterday's lesson and concept.
8:15 AM	Grade homework and answer questions.
8:25 AM	Introduce new lesson and have students practice.
8:40 AM	Assign homework and answer questions.
8:45 AM	Bell rings to signify end of class period.

Activity Log for Elementary Math Class

8:40 AM	Pass out math drill sheets and have students complete top half.
8:45 AM	Time all students as they complete bottom half of math drill.
8:50 AM	Grade sheet together. Students record scores on their log.
8:55 AM	Review yesterday's lesson and concept. Students demonstrate understanding on white boards by completing sample problems.
9:10 AM	Introduction of new concept.
9:25 AM	Practice problems given and paced by teacher.
9:35 AM	Independent practice of problems.
9:45 AM	Math period ends.

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Ask teachers to carefully analyze their findings and answer the following questions:

- How much time is spent on non-instructional activities such as taking attendance, moving from one activity to another, distributing materials, gathering students to a specific site in the room, locating resources, or finding papers?
- When direct instruction is occurring, how much time do students spend listening to the teacher or another student?
- How much time are students actively engaged by responding to questions either orally or in a written format, practicing a skill, reading, etc.?

Teachers may be surprised to find how much time is spent each day on non-instructional

activities and may also realize there are many opportunities to increase student engagement

during a lesson. Engagement activities can include having students write a response to a teacher

directed question on paper or a small whiteboard, orally whisper a response to a partner, or use

manipulatives or hand movements when responding. The ultimate goal is to increase the amount

of time students spend engaged in instructional activities.

> The principal can look carefully at the schedule to see how time might be maximized.

While there are definitely ways to increase student engagement during a class period, there are

also ways to use the school day, month, and year more efficiently   At the elementary level,

consider the following questions:

- Are there sizeable blocks of time available for concentrated time to be spent on reading and math instruction?
- Has an attempt been made to avoid fragmentation of the schedule? For example, some schedules leave teachers with odd gaps in their schedule of only 15 to 20 minutes between specialty or content area classes.
- Do students travel to meet with a tutor or specialist? Would it be possible for the tutor or specialist to go to the student?
- Do students have recess and physical education during the same morning or afternoon block? Is this necessary?
- How long is recess? How much time is spent settling back in while students get drinks, use the restroom, or wash hands?
- How much time is spent watching movies, celebrating birthdays or other special events, playing games on the computer, or engaging in other non-academic activities?
- How much time is spent attending assemblies, programs, or taking field trips?
- How much time is spent engaged in non-academic activities before holidays and at the end of the school year?

At the middle and high school levels, consider these questions:

- How much time is spent in non-instructional activities such as taking attendance, listening to announcements, watching movies, traveling from one location to another, distributing materials, or finding papers?
- When students are assigned in-class work time, how many students take advantage of this time?
- How much time is spent attending assemblies, pep rallies, or programs?
- How many times do students miss class in order to attend sporting events, contests, or tournaments?
- How many students opt out of classes and have release time for work or some other activity?
- How many students are tardy to class because their schedules do not permit them to move between classes in a timely fashion?

• How much time is spent engaged in non-academic activities before holidays and at the end of the school year?

As the information is collected, the principal and staff members should look for patterns to emerge. In many cases, there will probably be circumstances that are unique to a particular school population or community. Once patterns are identified, the principal can take advantage of this opportunity to have frank discussions about how to engage students each and every minute of the day, how to reduce the amount of down time that occurs over the course of week, month, or year, and when it is permissible to stop teaching at the end of a semester or year. If a difference is to be made in student achievement, time must be used to its maximum efficiency.

Step Two: Consider the skills and talents the staff possesses and how these skills and talents are being utilized.

Over sixty percent of a typical school's budget is spent on personnel (CPRE, Traditional Resource Reallocation and Use, 2010). There are many ways to use existing personnel to improve the school's instructional program by providing staff development opportunities, building leadership capacity, and creating workplace synergy that comes from focused collaboration and collegiality.

➢ The principal can capitalize on specific staff members' talents in order to improve the overall delivery of instruction and build the knowledge base of the entire staff. Many experts agree that a highly qualified, well-trained staff is the most important factor in improving student achievement (Darling-Hammond, 1997; Hattie, 2009; Schmoker, 2006). Survey staff members to determine what talents, skills, and expertise they possess that can be shared with others. The survey might include knowledge of state standards, curricular knowledge in the content areas, technology skills, or other specialized training.

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➢ Rather than hiring an outside consultant or academic coach to train teachers, the principal may capitalize on the wealth of knowledge and expertise within the school or district. One method for accomplishing this is to regularly have teachers within the school share successful lessons, strategies, or techniques with others during regularly scheduled staff meetings. Teachers may also wish to form small study groups that are focused on particular types of lessons or skills. These groups may meet periodically throughout the year to learn and practice new skills, and then reconvene to share success stories, concerns, and challenges. Teachers within the school district who possess special skills or training could be asked to share their knowledge during professional development meetings or inservice days.

➢ Survey data can be used to identify strengths and areas in need of improvement or areas where the staff feels they need additional support. Typical areas for improvement may include working with diverse populations, differentiating lessons for all learners, or using assessment data to effectively drive instruction. These findings can be used to drive individual and school wide professional development plans.

➢ Before the school implements a new program or instructional approach, the principal should determine what skills, techniques, resources, or materials teachers need to successfully implement the program or approach. The principal can then budget accordingly, so teachers receive focused and ongoing professional development from members of the staff or outside consultants, sufficient resources and materials, and opportunities to add additional resources and materials as they become more familiar with the program or approach.

➢ The principal should determine whether the right people are in the right positions. An under-performing staff member may actually excel if placed in a different position, grade level, content area, or school. While this conversation may be a difficult one to initiate and take the

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majority of a school year to accomplish, in the end, the staff member may be happier and more successful in a new situation. The ultimate beneficiaries are the students.

➢ As teachers resign or retire, the principal should consider the specific needs of the staff, department, or grade level before hiring a replacement. Three to six members of the existing staff can be included on the interview team to discuss the skill sets needed by individuals who will work in the school. The team should identify strengths or skills that are needed to implement new programs, continue successful programs, or fill leadership positions. In addition, the team may consider the types of individuals who will work best with students and their families. As candidates are interviewed, the principal should consider whether the individual candidate's personality and interests will mesh with current staff members. (See additional hiring tips in Chapter 1.)

➢ The primary way to affect the quality of classroom instruction is to improve the skill set of the teacher (Odden & Wallace, 2008). Therefore, opportunities to provide staff members with additional professional development are highly beneficial. Odden and Wallace concurred that "improved classroom instruction is the prime factor to produce student achievement gains" (p. 21).

Step Three: Analyze exactly how budget dollars are being spent.

The final step the principal should consider under the resource allocation component is how existing dollars are being used to fund the programs and people that make the biggest difference for student achievement.

➢ An analysis of the school's fiscal information for the past three years can start with information from the budgets the principal directly controls such as materials and supplies, professional development, capital expenditures, grant funds, donations, any classified or certified

salaries, and supplemental contracts. If the school qualifies as a Title 1, English as a Second Language, or high poverty school, there may be additional at-risk funding under the principal's control.

➢ The principal will also want to include staffing allocations to determine how many individuals impact student achievement. These will include certified teachers, support personnel such as aides or paraprofessionals, and other certified staff members with an academic or specialty area focus.

➢ This information can be organized in a spreadsheet or database to make easy comparisons. See Figure B2: School Resource Worksheet for an example. The principal can calculate what percentage of resources are spent in each category, historically and currently, to determine whether or not funds support set goals.

➢ When budget allocations are received for the new school year, the principal can determine how these funds will be distributed. If new technology, materials, or professional development opportunities are needed to successfully implement new teaching strategies, the principal can determine how to direct funds to support this initiative. In addition, the principal will need to decide whether the determination for distributing funds will be unilaterally the principal's or whether a committee will be formed to help with the decision making process.

➢ There may be additional funds to support the school's efforts in the form of grants, donations, and PTA funds. The principal may discuss the notion of opportunity costs with the staff before devoting these dollars to the program initiatives. An opportunity cost means that, if resources are spent in a certain way, the individual is giving up the opportunity to spend the resources on something else. For example, perhaps the school's PTA funds have always supported field trip transportation, but in the future will be used to purchase additional computers

or classroom materials. In a situation such as this, the staff will need to decide whether or not they are willing to make this trade in the funding of special projects.

How does resource allocation relate to change?

The allocation of resources to specific elements of the school program can be used as a tool for shaping and designing an instructional program focused on the specific needs of the students within that school community. Glickman (2002) wanted schools to consider the decisions they make every day, every week, and every year and determine whether they are high-impact (deal with teaching and learning) or low impact decisions (deal with calendar events). These decisions communicate to the school community that the school's shared vision and goals are worthy of all available resources. A steady allocation of resources on specific goals will help sustain and institutionalize the changes that have been put in place.

Reflective questions to consider:

❑ How will the principal continue to monitor the use of time over the school day, month, and year? What communication measures will the principal put in place to remind students and staff that every minute of every day counts?

❑ Does the staff understand the value of their skills for the students and school? Encourage staff members to continue building their skills and sharing their talents with others. This continual focus on teachers' learning will have added benefits for students from improved instruction and the use of best practice.

❑ How will the principal communicate expenditures throughout the year to the staff? This communication may be an important step for building trust and maintaining focus.

Recommended reading:

Odden, A. (2005). *CPRE's school finance research: Fifteen years of findings*. Madison, WI*:*
Consortium for Pollcy Research in Education.

Walter, F. (2001). *District leader's guide to reallocating resources*. Portland, OR:
Northwest Regional Education Laboratory.

Component Five: Systems Thinking

Change is about creating something new based on an exploration of possibilities.
Peter Senge, author

A school is a complex structure of interrelated resources, programs, policies, needs, and challenges. Therefore, the principal needs to consider the organization as a whole and determine how to orchestrate this structure while managing the connections, leverage points, and subtle effects of the change process. Component Five: Systems Thinking provides the principal with:

- A tool for organizing thinking about school change,

- A method for creating a history of events, and

- Tips for encouraging staff members to become learners.

What does the research say about systems thinking?

Senge coined the term "systems thinking" in his book, *The Fifth Discipline* (1990). According to Senge (1990), "systems thinking is a discipline for seeing interrelationships rather than linear cause-effect chains and seeing processes of change rather than snapshots" (p. 73). Fullan (2008) focused on systems thinking in terms of how a principal can impact the school, the

district, and ultimately, the larger education community by "investing in instructional leadership, combining direction and flexibility, mobilizing the power of data, using peers to change district culture, addressing the managerial requirements, and staying the course" (pp. 58-63). Senge and Fullan encouraged those within an organization to recognize the importance of attending not only to the details of what is occurring day to day, but to the dynamics of how those changes will impact events and actions in the future. In addition, those within the organization should be encouraged to adhere to a shared vision, shape their mental models around this vision, and accept personal responsibility for mastering the skills necessary for the vision to occur. Senge reminded the reader that these actions are not the work of a single person, but occur only when the members of the organization learn and work together.

Principals who follow the ideas expressed by Senge (1990) and Fullan (2008) will encourage their school community to create a shared vision for teaching and learning. They will find time for their teachers to collaborate and discuss in order to shape their mental models around a common language and practice. As a result, the staff will begin to look for leverage points of "small, well-focused actions that can sometimes produce significant, enduring improvements" (Senge, 1990, p. 64). The principal will continue to focus attention on instruction and ask each teacher to become a master in the classroom. Together, the principal and staff members will carefully consider the interconnected components of the school structure and work daily to align them.

When individuals within an organization work toward a common goal, creative energy can be generated (Fullan, 2010; Senge, 1990; Schlechty, 2009). This energy sustains the organization through the hard work of change. However, to bolster this creative energy, the principal will need techniques for considering all aspects of the structure, recording what has

been accomplished, and renewing the passion to become a learner. Those individuals who become learners within the organization will persevere and remain committed to the process (Schlechty, 2009).

What strategies can be used to put systems thinking into action?

Step One: Organize thinking about school change.

In 2000, Mid-Continent Research for Education and Learning (McREL) published a guidebook entitled, *Asking the Right Questions: A Leader's Guide to Systems Thinking about School Improvement*, that was designed to provide principals with a process for organizing their thinking about school change. This organizational guide will allow principals to communicate with students, teachers, and parents where the change fits into the overall school program and which specific areas of the school community will be impacted. The first part of the process included an organizer from Cordell and Waters (1993) of the three domains of school systems: Technical, Personal, and Organizational.

➢ The Technical Domain included "what students learn, how they are taught, and the methods that are used to assess their acquisition of new knowledge and skills" (McREL, 2000, p. 6). Components included standards, curriculum, instruction, and assessment. Changes in what students will be expected to learn, what courses or subjects they will study, how teachers will deliver instruction, and how learning will be assessed are a part of this domain.

➢ The Personal Domain "referred to the affective part of the system, that is, issues related to attitudes, skills, and behaviors of the people in the system" (McREL, 2000, p. 7). Components included staff development, leadership and supervision, internal communication, and climate and culture. Teachers and administrators will feel the impact of this domain as

changes occur in how or what staff development is provided, how principals lead and guide teachers, and how the overall culture of the school is affected.

➢ The Organizational Domain "referred to the resources and structures of the system" (McREL, 2000, p. 7). Components included the external environment, stakeholders, resource allocation, technology, and accountability. The impact here will be seen through budget decisions, whether student achievement is meeting expectations, and the methods for communicating the school's priorities and activities to the larger community.

After the principal has categorized the change being considered by the school into one or more of the domains of school systems, the next part of the process is to follow three steps that reveal the interconnectedness of the school program.

➢ First, the principal must identify and clarify the proposed reform initiative. If the principal has followed the strategies previously outlined in this chapter, this step has already been taken by developing a shared vision, gathering pertinent data, and identifying elements of the program to change.

➢ Second, the principal will examine each of the three domains by asking specific guiding questions about the particular situation. These questions will clarify how change will affect the thirteen components within the three domains. Beginning with the Technical Domain, the principal will ask in regard to standards, curriculum, instruction, and assessment, what are the implications of this initiative for what and how students learn and how will we assess their progress? Next, with the Personal Domain, the principal will ask in regard to staff development, leadership and supervision, internal communication, and climate and culture, will attitudes and skills contribute to the success of this initiative? Finally, with the Organizational Domain, the principal will ask in regard to external environment, stakeholders, resource allocation,

technology, and accountability, will organizational supports contribute to the success of this initiative?

> The third step is to consider possible actions to take in response to the answers that were generated when the guiding questions of step two were asked. This step is the foundation of the change process as specific actions are identified that the principal and staff members will take to yield tangible results. These are the actions that push the change process forward through clear-cut techniques, strategies, and methods that are visible and doable each and every day.

Step Two: Create a history of the change process.

When the school begins a change process, honoring where the school has been historically, as held in the staff's perceptions and feelings, is an important acknowledgement as the school community moves forward. The history and the school's current situation will help the staff make comparisons and provide them with opportunities to celebrate short term wins and successes as new accomplishments are reached.

> The principal may consider posting the history of the change process on a bulletin board in the office, workroom, or teacher's lounge. Items to post might include the shared vision statement, overall school data on student achievement, photographs, short success stories, a timeline of events, staff development activities, phrases that describe the instructional strategies the staff is learning about and implementing, copies of the covers of books or articles that have been read, and inspirational quotes or phrases.

> As staff members experience success in the classrooms and with particular students, the principal may ask them to write a short note describing the success story. Staff members might want to share a piece of student writing or an example of how the students demonstrated their understanding of a concept with a picture or drawing. The note can then be posted on the

change process history bulletin board. Some staff members might prefer to take a photograph of the student or event and post the photo instead.

➢ After four to six weeks, items may be removed from the bulletin board in order to make room for new notes, pictures, or information. A scrapbook created from these items and could serve as a permanent record of the history of the school.

Step Three: Encourage everyone on the staff to become a learner.

Change is really about learning and creating something new (Reeves, 2009). As the staff explores the notion of improving instruction and raising student achievement, they will be asked to abandon initiatives or practices that do not work well and learn new skills, strategies, and techniques. In essence, the principal is asking everyone to become a learner.

➢ Senge's work (1990) referred to the idea of personal mastery which was defined as "the discipline of continually clarifying and deepening our personal vision, of focusing our energies, of developing patience, and of seeing reality objectively" (p. 7). A person who strives for personal mastery approaches "life as a creative work" (p. 141), expects a certain level of proficiency in every aspect of life, is connected to others, is "more committed, will take more initiatives, and has a broader sense of responsibility toward work" (p. 143).

The principal might consider sharing Chapter 9 entitled Personal Mastery from Senge's book, *The Fifth Discipline* (1990) with the staff. The staff should read the chapter before meeting to discuss what personal mastery means to them. The principal can ask staff members to name examples of personal mastery in their lives or among their fellow colleagues, brainstorm ways in which they might reach this level of proficiency, and challenge them to strive for the best and be an example of mastery for others.

➢ One technique for encouraging staff members to work toward personal mastery is to set SMART goals. SMART stands for Specific, Measurable, Attainable, Realistic, and Timely (Donohue, 2007). "A specific goal answers the six "W" questions of who, what, where, when, which, and why. A measurable goal has concrete criteria for measuring progress toward the attainment of the goal. An attainable goal has carefully planned steps and establishes a time frame that allows you to follow the steps. A realistic goal represents an objective toward which you are willing and able to work. A timely goal is grounded within a time frame" (Donohue, 2007). The principal may ask staff members to set three goals: one related to their own personal skills, a second related to the achievement level of their students, and a third focused on a target area for the entire building.

➢ Becoming a learner requires a personal commitment to teaching and learning. Fullan (2003) stated, "Moral purpose of the highest order is having a system where all students learn, the gap between high and low performance becomes greatly reduced, and what people learn enables them to be successful citizens and workers in a morally based knowledge society" (p. 29). Encouraging staff members to become learners can help the principal focus attention on the school's shared vision and how each staff member can contribute to reaching the vision's shared purpose and method for achieving teaching and learning goals that best fit the needs of the students.

❀ *How does systems thinking relate to change?*

Systems thinking is created when leaders "foster a climate in which the principals of personal mastery are practiced in daily life. That means building an organization where it is safe for people to create visions, where inquiry and commitment to the truth are the norm, and where

challenging the status quo is expected" (Senge, 1990, p. 172). The process of systems thinking

ensures the principal is able to attend to the interconnected components of the school (e.g.,

resources, programs, policies, needs, and challenges) and provides a mechanism for monitoring

the system for subtle effects and dramatic changes.

? *Reflective questions to consider:*

❑   Where will the history of the change process be placed and who will be responsible

for keeping the information current? The principal may include the guiding questions developed

while using the McREL tool to serve as reminders of the ideas and thoughts behind the actions

the staff has selected.

❑   As new members join the staff, how will they be informed of the history of the

change process? What specific training or information will they be given so that they will be

able to implement the chosen actions?

❑   Becoming a learner implies that one has a passion for that which is being learned.

This passion must be refueled and replenished. How will the principal ensure that this happens?

Recommended reading:

Fullan, M. (2003). *The moral imperative of school leadership*. Thousand Oaks, CA: Corwin
     Press.

Mid-continent Research for Education and Learning. (2000). *Asking the right questions: A
     leader's guide to systems thinking about school improvement.* Denver, CO: McREL.

Senge, P. (1990). *The fifth discipline*. New York: Doubleday.

Summary:

This chapter, Establishing the Organizational Structure, creates a solid framework within the school community that includes a shared vision, effective practices for dialoguing about challenging issues, specific items to target for change, and appropriate measures for allocating resources. These organizational pieces are important aspects for the principal to address when dealing with systematic change and can help the principal identify specific leverage points to use when moving the school community forward in a change process. The next chapter provides strategies for strengthening and building the staff's knowledge base in order to create effective teachers who expertly address the particular needs of their students.

Chapter 3
Building the Knowledge Base

The key of building the knowledge base includes the following components: (1) assessment literacy, (2) special populations, (3) addressing student needs, (4) curriculum mapping, and (5) professional development. Given today's high stakes testing environment, educators must have the first component, strong assessment literacy skills, to interpret the data on student achievement, to analyze how well students are performing, and to pinpoint specific areas upon which students need to improve. In addition to these skills, most educators will have the challenge of component two, working with special populations of students whose unique needs must be considered to effectively increase their achievement.

As staff members pinpoint specific areas for students to improve and determine the unique needs of students within special populations, they will be better able to meet these needs (component three) by differentiating lessons and providing challenging activities for all. In addition, component four, curriculum mapping, will allow staff members to make informed decisions on how best to address content standards and establish benchmarks that clearly identify appropriate goals and objectives for teaching and learning. Finally, as the principal provides staff members with enriching professional development opportunities (component five), an emphasis will be placed on the importance of improving instructional practice with appropriate techniques and strategies and deepening content knowledge.
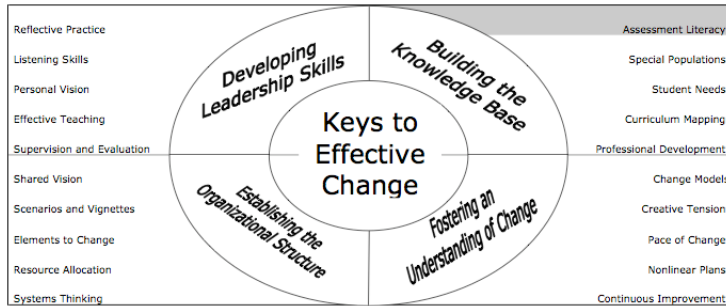
Component One: Assessment Literacy

The aim of assessment is primarily to educate and improve student performance, not merely to audit it.

Grant Wiggins, Author

Assessment literacy is the knowledge educators need to interpret and analyze data to effectively design lessons that maximize student achievement. For the principal, who is the gatekeeper to the vast quantities of data generated at the school, the component of assessment literacy will provide:

• Tips for teaching basic data analysis vocabulary,

• Opportunities to teach and learn more about assessment practices, and

• A reminder to take advantage of formative assessment data.

What does the research say about assessment literacy?

Assessment literacy has been defined as the ability "to gather dependable information about student achievement, communicate assessment results effectively, and use data to maximize student motivation and learning" (Stiggins, 1999, p. 2). Principals and staff members need to be assessment literate to deal with the vast quantities of data that are generated from student assessments and demographic information. These data will allow them to track individual student progress, monitor demographic changes in the school, compare students from different demographic groups to see how well the various demographic groups are performing, and determine how well or poorly reform initiatives are faring.

Assessment literate principals will regularly analyze data for the benefit of the school and will understand the importance of staff members also being assessment literate. Together, the principal and staff members will use data to identify key leverage points addressing gaps and inequities in student achievement. Assessment literate principals will use the data to stimulate frank conversations about the type of learning in which students are engaged and whether or not the instructional strategies in place are meeting the students' needs. These actions ensure that data becomes a guide for improving instruction and meeting the needs of each student.

An assessment literate principal will share data and analytical results with others. Students and parents can be told of the progress being made by using relevant, formative and summative assessment data. Success stories and ideas for replicating what is working can be shared with all staff members, so that all teachers can use successful, effective instructional strategies and every student has the opportunity to excel. As school report cards are published and make strengths and shortcomings within the school program visible to the public, the principal can invite stakeholders to celebrates successes and provide input where improvement is needed. The school's data is a historical record of the past and, when correctly assessed, a roadmap for the future.

 What strategies can be used to put assessment literacy into action?

Step One: Teach basic data analysis vocabulary.

All staff members should clearly understand and be able to explain in lay terms the vocabulary related to data analysis, including but not limited to the following terms: mean, median, mode, criterion referenced, norm, norm referenced, stanine, grade equivalent, percentile rank, percent correct, disaggregation, normal distribution, and statistical significance. Every staff

member who is interpreting test results for students and parents should be able to explain data analysis terms in a friendly, concise manner.

➢ The principal can use opportunities at weekly staff development meetings to highlight specific terms and review data with staff members. For example, staff members need to understand the difference between percentile rank and percent correct on local or state assessments, to accurately report how fluent students are able to read from fluency probe results, and know the difference between a nationally normed and a locally prepared test. As staff members are introduced to each term, the principal can provide them with a specific, relevant example that has been collected by the school so that they can attach the term to real results that have meaning in regard to the staff members' instruction and their students' achievement.

➢ Bracey's guide entitled, *Thinking About Tests and Testing: A Short Primer in "Assessment Literacy"* (2000), contains easy-to-understand definitions and explanations of these terms. The guide can be accessed at http://www.aypf.org/publications/braceyrep.pdf and distributed to staff members for study and to use when test results are being shared with students and parents. Staff members will need to review terms and results at key time periods during the year such as after initial diagnostic tests are administered in the fall, when district and state testing results are released, and during parent-teacher conferences.

➢ The principal may consider highlighting one to two terms per issue in the school newsletter or on the school website for parents and community members. If the principal ties the appearance of these items with the release of testing results, parents will have another resource for correctly interpreting scores and clearly understanding their child's achievement. The principal may also provide an overview of the test, including sample questions that have been released for such use, and school wide results. Analysis of the school wide results should let

parents know whether students are making appropriate progress and how well or poorly the school is performing.

Step Two: Teach and learn more about assessment practices.

Assessment literate principals can help staff members utilize a wide range of assessment practices in the classroom to determine how well students are grasping concepts and content. Teachers may use an assessment that has a list of questions from which students select a multiple-choice, multiple-mark, true/false, or matching response to each question. Alternative assessments ask students to create a short answer, essay, performance, oral presentation, demonstration, exhibit, or portfolio response. The type of assessment used will depend on what information is presented to the student and how the teacher wishes to have the students demonstrate their knowledge.

➢ Student responses on alternative assessments are often evaluated according to criteria established and formalized in a rubric. A rubric (see Figure C1: Student Project Rubric) allows the staff member to create clear and focused guidelines for student achievement that are specifically matched to curriculum objectives, technical details, and presentation options. These types of rubrics further specify categories to which the student must attend and levels of performance that can be achieved, if the student follows the outlined criteria. Rating scales commonly range from 1 to 4 or 1 to 5. The categories often include descriptors for content, organization and format, clarity of the ideas being expressed, and presentation of information.

If the staff does not regularly evaluate student performances with rubrics, the principal may introduce them to RubiStar, an online tool at http://www.rubistar4teachers.org, that provides the user with access to a variety of rubrics that fit a multitude of curriculum and technology

project learning activities. Staff members may select pre-made rubrics, modify existing rubrics, or create their own to fit a particular project.

Rubrics are most successful as an assessment tool when students are introduced to the rubric prior to beginning work on the project. If students have access to the rubric while they are working, they are able to monitor the quality of their work. Students can be expected to rate their own work or that of peers. Staff members are then able to provide students with immediate feedback that is specifically geared to the established performance criteria.

➢ Summative tests are those tests that are administered at the end of a unit, course, or towards the end of the school year. These tests can provide valuable information regarding how well groups of students are achieving, gaps that may exist between demographic groups, and adjustments that should be made to curriculum or to instructional strategies. Whenever summative test results are received, the principal should spend time reviewing this information with staff members to determine how the results will be shared with students, parents, and the community. Prior to the public release of the scores, the goal will be to ensure that all staff members can confidently answer the following questions:

- What is the name of the assessment that was administered?
- What does the assessment measure?
- What type of a score, rank, or result is received?
- What strengths or areas of concern do the test results show for my student(s)?
- How did (a) specific student(s) score in comparison to other students?
- How did the school score in comparison to other schools?
- How will these test results be used to guide instruction?
- What strategies will be used to improve scores in the future?

- If the staff is in need of professional development to expand their knowledge of and use of additional assessment methods, training materials entitled, *Improving Classroom Assessment: A Toolkit for Professional Developers,* are available from Education Northwest (formerly

Northwest Regional Laboratory) at http://educationnorthwest.org/resource/700. Exercises

designed to facilitate professional development in the area of assessment literacy and formative

assessment practices have been provided in four chapters that review standard based assessment

information, integration of assessment with instruction, design of high quality assessments, and

current grading practices.

The lessons are written for the facilitator and include detailed, step by step directions for

presenting topics such as matching assessments to learning targets, establishing performance

criteria, discussing how language and culture can affect student ability to demonstrate

knowledge, and examining a variety of grade card formats. Each lesson includes a purpose

statement, rationale for discussing the topic with the staff, prerequisite activities, discussion

questions, overheads, handouts, and facilitator notes. The principal could use these materials

during professional development days or in shorter, professional development meetings. Before

designing something original, the principal should check to see what has already been prepared.

➢ Wellman and Lipton (2004) provided several tools, structures, strategies, and tips to

help the principal facilitate constructive dialogue concerning school data. Their handbook,

Data-Driven Dialogue: A Facilitator's Guide to Collaborative Inquiry, contains a data primer

for teaching assessment literacy, strategies for dividing the staff into small groups, structures for

leading small or large discussions, and a variety of handouts that correspond to the structures.

These practical strategies will allow the principal to model techniques for increasing learner

participation and engagement and demonstrate a willingness to learn new techniques. Their use

speaks to the value the principal places on learner engagement.

Step Three: Take advantage of formative assessment data.

Formative assessments are those assessments that occur during the learning process and provide information that can be used to modify or adjust the learning activity to solidify or increase student learning. Assessments of this type include informal observations, quizzes, homework, worksheets, students' oral responses to questions, or any other type of student demonstration of knowledge. To be effective, students must recognize the desired goal or outcome, grasp the particulars of what they are currently doing right and wrong, and be given specific information that will allow them to correct their errors. Not only should students be given this feedback, they should be provided with the opportunity and guidance to make the necessary changes.

➢ An important aspect of formative assessment is the use of higher level questioning strategies throughout a lesson. Staff members can improve their questioning skills by referring to Bloom's Taxonomy (1956) or Anderson and Krathwohl's Taxonomy (2000) when designing questions for specific lessons. Both taxonomies remind educators to start evaluative questions with the words: why, how, or which. 'Why' questions ask students to explain concepts in terms of cause and effect relationships. 'How' questions involve problem solving and synthesis of the material that has been presented. 'Which' questions ask students to make a choice based on some type of pre-determined criteria. Additional information on the taxonomies can be found at Leslie Owen Wilson's Curriculum Pages: Beyond Bloom – A new Version of the Cognitive Taxonomy, http://www.uwsp.edu/education/lwilson/curric/newtaxonomy.htm.

➢ Students are naturally curious about the world around them. Staff members may also want students to generate their own questions related to a topic or subject currently being discussed. Prior to beginning a new unit, students might brainstorm a list of questions they

would like to have answered over the next few or several weeks. During a lesson, students can pose questions to peers to clarify and make sense of the content. The resulting discussion can help students better express their understanding and guide them in the construction of new knowledge.

➢ The principal should recommend that teachers use additional questioning strategies that will increase student engagement and help them gauge whether or not students understand the concepts or ideas being presented. One such strategy is to increase the use of wait-time after a question has been asked. Wait-time refers to the amount of silent time between when the teacher poses a question and when a student begins to speak (Stahl, 1994, p.2). Research has found that teachers who wait three to five seconds after posing a question find students more willing to respond and more likely to engage in classroom discussion (Stahl, 1994, p.2).

➢ Additional questioning strategies that increase student accountability for responding to questions include posing questions to the entire class rather than one student, asking students to write down responses on paper or a white board, and asking students to whisper an answer to a partner before raising a hand. Another questioning strategy is to provide students with a "big" question at the beginning of the lesson that will be answered when the lesson is finished. The culminating activity for the lesson is to have students list more factual, detailed questions that helped them answer the "big" question of the day

❧ *How does assessment literacy relate to change?*

Teachers spend approximately one-third of their professional work time in assessment related activities (SERVE, 2007). If one-third of a school year is spent this way, the ability to illuminate and enrich instructional practice by allowing assessment data to guide, shape, and

inform teachers on a daily basis should be embraced. "Assessment literacy of this kind, which constantly accesses and disaggregates student performance data and develops and monitors actions designed to raise the bar and close the gap, and in turn mobilizes all stakeholders to play a role in this venture, is moral purpose with greater force" (Fullan, 2003, p. 36). The more informed staff members are in regard to how students are performing on formative and summative evaluations, the better able they will be to shape instruction appropriately and target specific areas upon which students need to improve.

? *Reflective questions to consider:*

❑ Does the testing program in the school or district use a wide range of tests and alternative assessments to accurately evaluate student learning and the instructional program? If not, what can be done to remedy the situation?

❑ Are there significant gaps between groups of students or in certain content areas? If so, what changes in instruction, curriculum, and staff development need to be made?

❑ Are the assessments reflective of the curriculum that the principal and staff deem the most important? Remember the axiom, what gets measured gets done.

Recommended reading:

Bracey, G. (2000). *Thinking about tests and testing: A short primer in "Assessment Literacy"*. Access this document, in pdf format, at http://www.aypf.org/publicatons/ BraceyRep.pdf.

Northwest Regional Laboratories. (1998). *Improving classroom assessment: A toolkit for professional developers*. Portland, OR: NWREL.

Wellman, B. & Lipton, L. (2004). *Data-driven dialogue: A facilitator's guide to collaborative inquiry*. Sherman, CT: MiraVia.

Improving Classroom Assessment: A Toolkit for Professional Developers
http://educationnorthwest.org/resource/700

Leslie Owen Wilson's Curriculum Pages:
Beyond Bloom – A new Version of the Cognitive Taxonomy
http://www.uwsp.edu/education/lwilson/curric/newtaxonomy.htm

RubiStar
http:://www.rubistar4teachers.org
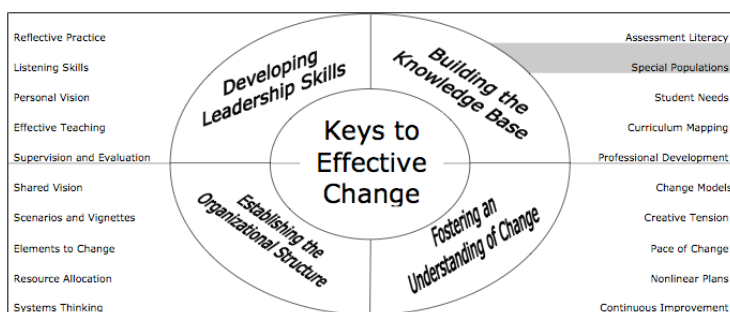
Component Two: Special Populations

We are not suggesting that we become white knights to our children or saviors of them. Those are patronizing orientations. We are talking about something else altogether. We are talking about loving them – holding them and ourselves to the highest expectations. Every one of them. No exceptions. No matter how hard it is.

James Joseph Scheuirch and Linda Skrla, Authors

The demographics of school age children in the United States have changed dramatically in the past ten years (U.S. Census Bureau, 2000). Increasingly, schools and school districts must adapt to meet the needs of a more diverse student body and must pay closer attention to the academic achievement of those within specific demographic groups. While there are many special populations within the school community, the special populations component focuses on three populations that the majority of staff members are likely to encounter: English Language Learners, those diagnosed with Attention-Deficit/Hyperactivity Disorder, and those with Autism Spectrum Disorder.

What does the research say about special populations?

Statistics from the U.S Department of Education (2009), the National Center for

Education Statistics (2009), the National Resource Center for AD/HD (2010) and the Autism

Society of America (2010) provided data on the number and characteristics of English Language

Learners (ELL) and students diagnosed with Attention-Deficit/Hyperactivity Disorder (AD/HD)

or Autism Spectrum Disorder (ASD) who are currently enrolled in public schools.

English Language Learners (ELL)
- In 2009, 11.3% of all K-12 students were limited-English proficient.
- Forty-four percent of these students are living in rural communities.
- The number of children who speak a language other than English at home has increased from 3.8 million in 1979 to 10.9 million in 2009. This is an increase from 9% to 21% of the population in this age range.
- By 2030, students who speak a language other than English at home will constitute 40% of the school-age population.

Attention-Deficit/Hyperactivity Disorder (AD/HD)
- Approximately 5 – 8% percent of children aged 4 to 17 years are currently diagnosed with AD/HD.
- Most teachers are likely to have one or two students with AD/HD in every class.

Autism Spectrum Disorder
- An estimated 1 in every 110 children and 1 in 70 boys born in the United States are autistic.
- Within the next 10 years, almost 4 million Americans will be diagnosed with autism. This is an increase from the 1.5 million who are currently diagnosed.
- The incidence of autism is growing by 10 to 17 percent each year.

To effectively meet the needs of students within these special populations, principals and

staff members must provide the students with appropriate learning environments and develop a

high level of cultural proficiency. Cultural proficiency "involves knowing how to learn and

teach about different groups; having the capacity to teach and to learn about differences in ways

that acknowledge and honor all the people and the groups they represent; holding culture in high

esteem; and seeking to add to the knowledge base of culturally proficient practice by conducting

research, developing new approaches based on culture, and increasing the knowledge of others about culture and the dynamics of difference" (Lindsey, Robins, & Terrell, 2003, p. 100).

One of the roles of a principal is to respond affirmingly to differences in others and to be acutely aware of the effects of teacher expectation, gender bias, and second language acquisition on the quality of instruction. The principal is responsible for monitoring the behaviors and values of the school community to accommodate the full diversity represented by the student body and to hire and train teachers who will deliver meaningful, student centered lessons as a matter of course. In this way, the principal can maintain a well-planned program and respond proactively to the challenges that present themselves over time.

What strategies can be used to put special populations into action?

A focus on special populations will provide the principal with an overview of the strategies and techniques that have proven to be the most effective for addressing the needs of English Language Learners and students who have been diagnosed with AD/HD or autism. While these strategies provide the basics, the principal should explore more extensive courses, studies, and professional development opportunities to become truly proficient when working with these populations. The following information can be used by the principal to guide instruction and monitor whether staff members throughout the school program are using best practice.

Step One: Learn About English Language Learners.

In the United States, there are many different types of programs for English Language Learners including multilingual classrooms, extended school year programs, after school programs, scripted phonics-based programs, sheltered instruction, and classroom support with

endorsed teachers and paraprofessionals. The common feature in all cases is the use of strategies and techniques specifically geared for English Language Learners. Gonzales (1995), from the Intercultural Development Research Association, provided a list of 20 tips for Teaching Content Subjects to Limited English Proficient Students that embody the recommendations found in the research on how best to instruct English Language Learners (Herrera & Murry, 2005). The document can be accessed on the Intercultural Development Research Association website at http://www.idra.org and is summarized in the following paragraphs.

➢ When working with English Language Learners (ELLs), a student-centered approach to teaching and learning works best and involves adapting the structure of the lesson to the student's needs, scaffolding instruction to build content knowledge, making use of all senses, and providing support for language development (Smiley & Salsberry, 2007). Prior to beginning a lesson, the teacher should announce the objectives and activities of the lesson. Instructions, key vocabulary, and major concepts supported with visuals and graphics should be written or projected and reviewed periodically as the lesson progresses. While the language should be simplified, the content should remain at grade level, unless the students do not have the appropriate background knowledge to progress. If possible, provide content and supplementary information in the native language and make use of bilingual dictionaries. Questions posed by the teacher should encourage inferential and high order thinking and teachers should increase wait time to allow students to process a question and respond accordingly.

➢ Lessons should make use of all senses. The teacher should take every opportunity to have students demonstrate, use manipulatives, participate in hands-on activities, model, and experiment. The use of realia, video clips, or audio clips may help connect the students' background knowledge to the new content being presented.

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➤ To support language development, students should be allowed to point, nod, demonstrate, and answer yes/no questions. When possible, students should be paired or grouped with native speakers and staff members should recognize that most students will learn language more quickly from their peers. When students make language mistakes, the staff member should respond to the message and resist the urge to correct grammar errors. Correct usage and word choice will develop over time. Finally, reticent students should not be forced to speak and staff members should understand that ELLs are often focused on listening to and internalizing the language rather than verbally expressing themselves (Smiley & Salsberry, 2007).

➤ Involving the family of the ELL student in the school community will have many benefits for both the student and the staff. Building a relationship with the family helps the principal and staff increase their knowledge of the students' language and culture. Teachers can "use examples from the students' lives to bring the curriculum to life, and provide opportunities for the students to demonstrate their success to their families" (Ginsberg, 2007, p. 60). When families are invited to parent teacher conferences or other meetings, the principal or staff members must be sure to have an interpreter or translator on duty. However, the principal or staff member shouldn't be afraid to act out, demonstrate, or pantomime to get the message across. Of course, family members will definitely appreciate any effort made to speak words or phrases in their native language.

➤ One highly effective model for delivering content based instruction is the Sheltered Instruction Observation Protocol or SIOP Model for English Language Learners (see Figure C2) developed by Short, Vogt and Echevarria (1999, 2003, 2007). Short and Echevarria conducted a literature review, collaborated with practicing teachers, identified the instructional features of high quality sheltered lessons, and perfected the

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model over several years of field testing.   The SIOP model provides content area teachers with a reliable strategy for helping English Language Learners develop their academic English skills as they learn grade level content.

➢ The principal can explore the websites listed at the end of this component to find quality resources, research, and professional development opportunities to use with student and staff members.

Step Two: Learn about Attention-Deficit/Hyperactivity Disorder (AD/HD).

Attention-Deficit/Hyperactivity Disorder (ADHD) is a neurological disorder in which two specific neurotransmitter chemicals, dopamine and norepinephrine, fail to consistently release and reload in the brain. This leads to significant inconsistency in a person's ability to focus and complete tasks. Brain studies show "less activation in critical areas of the brain when performing tasks that require concentration, decision-making, or self control" (Brown, 2006, p. 4).

Students diagnosed with AD/HD struggle in school due to behaviors such as fidgeting, blurting out answers, losing necessary items, and difficulty following directions, sustaining attention, and listening to others. Successful school programs provide specific strategies for lesson design, behavioral interventions, and classroom accommodations.

➢ In the classroom, a student with AD/HD benefits from a highly structured lesson. The teacher should begin by presenting an overview of the planned activities including directions for student behavior expectations. For example, teachers should remind students to raise a hand before responding, to walk slowly across the room, or to keep materials on the desk or table. Before beginning new instruction, a quick review of previous lessons and the priming of background knowledge are important to help students focus and make connections. Students

with AD/HD also benefit from specific guidelines for locating needed materials, completing tasks, and locating additional resources.

The best lessons are predictable, support all students' participation, divide the work into smaller units, and provide detailed directions. Teachers may also take advantage of multimedia resources and assistive technology when possible. Throughout the lesson, the teacher will highlight key lesson points, check frequently for understanding, and provide opportunities for students to self-evaluate and monitor progress. Before concluding the lesson, the teacher should provide advance warning that the lesson is ending and remind students of what to do and where to go when the lesson is completed.

➢ AD/HD students also benefit from organizational tools such as calendars, daily planners, timers, color-coded folders or notebooks, graphic organizers, and task checklists. When possible, teachers should limit the materials or supplies in students' desks or workspaces. Periodic cleaning of students' backpacks, desks, and lockers may also be necessary. The teacher should consider specific accommodations in the classroom such as providing AD/HD students with preferential seating, quiet workspaces, and movable study carrels. These organizational tools can help the student focus and avoid unnecessary distractions in the classroom.

➢ Behavior management strategies are effective for students diagnosed with AD/HD. Teachers should give sincere, specific praise that clearly describes the behavior that earned the praise. The teacher should try to selectively ignore unintentional behaviors that do not disrupt others' learning. Prompts such as visual cues, hand signals, and proximity work well. Teachers may remove distracting objects, provide calming manipulatives such as stress balls or fidget devices, allow frequent movement, or assign "out-of-the-room" errands when students need to

release energy and refocus. These techniques help the student with AD/HD use energy in a positive manner and avoid disruptions that might impact the entire class.

➢ For students with behaviors that are more difficult to channel, the principal and teachers may consider using behavior contracts or management plans. Students often work best for rewards such as smiley faces, opportunities to read to younger students, lunch with the teacher, or other special privileges. When planning a reward system, the principal should remind teachers to carefully consider the message behind certain rewards. If students are given free time for completing assignments, the teacher may be sending the message that learning is not valuable and should be done quickly to move on to something fun (Sullo, 2007). Instead, staff members should encourage the internal feelings of satisfaction that students gain when they learn something new, complete a task, or produce high quality work.

➢ The principal can explore the websites listed at the end of this component to find quality resources, research, and professional development opportunities for students and staff members.

Step Three: Learn about Autism Spectrum Disorder (ASD).

According to the National Institute of Child Health and Human Development (2005), Autism Spectrum Disorder (ASD) is a bio-neurological developmental disability that "affects the functioning of virtually the entire brain" (p. 2). Autism affects a "broad array of skills and abilities, including those involved with sensory perception, movement, and memory". Current research findings suggest that autism has a strong hereditary component. Scientists suspect the disorder is the result of a "complex interaction between several different genes involved with brain signaling and development" (Autism Today, 2010). Unidentified environmental factors are also likely to play a role.

Children with autism typically have difficulties with social interaction, display verbal and nonverbal communication problems, and exhibit repetitive behaviors or narrow, obsessive interests. Successful programs include "highly structured and intensive skill-oriented training sessions to help children learn social and language skills" (National Institute of Neurological Disorders and Stroke, 2007). Individuals diagnosed with ASD may or may not respond to medication, as symptoms vary greatly. There are currently a number of controversial therapies and interventions available, however few are supported by scientifically proven research. Generally, the majority of students diagnosed with ASD benefit from social skill development, communication and language training, behavior management, and sensory integration. Academically, goals should be geared to the student's individual abilities and needs.

➢ One strategy for teaching social skills to students with ASD is to use social stories that provide students with accurate information about situations that may be new, difficult, or confusing. The social stories depict the student as the main character during common school situations such as going on a field trip, eating lunch in the cafeteria, or playing with a friend at recess. The social story includes important social cues, an ordered schedule of events, actions expected of the individual, and ways in which others and the individual might react to events. Many teachers are now using digital images of the student and peers acting out the events of the story as a way to personalize and add meaning to the social story.

➢ Communication and language training often include the use of visuals and direct, explicit instruction. A software program entitled *Boardmaker* allows the teacher to create a variety of picture cards for picture schedules, selection boards, sentence strips, social stories, and more (Mayer-Johnson, 2008). Students with autism use picture cards to communicate choices

for lunch or play, to remind them of the day's schedule of events, to monitor progress through a lesson, and for social cuing.

If a student is verbal, teachers should be reminded to insist on a verbal response so that he/she learns to respond appropriately. For example, when staff members or students say hello or goodbye to a student with autism, the student should be expected to say hello or goodbye in return. Ability in this area will vary and expectations should vary accordingly.

➢ Students with autism are often extremely sensitive to touch, sound, smell, movement, taste, and/or visual stimuli. Sensory integration strategies help students strengthen balance, gross and fine motor skills, body and spatial awareness, eye movement, visual tracking, visual fixation, and auditory processing skills. Teachers applying these techniques use a variety of materials: weighted vests, bouncy balls, small trampolines, inflatable cushions, physically interesting substances such as shaving cream or floam, chew sticks, and fidget devices. Students should use these objects as needed or during regularly scheduled sensory breaks.

➢ The principal can explore the websites listed at the end of this component to find quality resources, research, and professional development opportunities for students and staff members.

✿ *How do special populations relate to change?*

Given how student demographics will continue to change over the next ten years, principals will need to be highly knowledgeable of the characteristics of these special populations and be able to guide staff members towards the use of best practice. In every situation, the focus should be upon providing students with the support and structure that enables them to reach high levels of academic achievement. In addition, culturally responsive educators,

should always willingly "shift our instructional strategies to meet the diverse learning needs of students" (Howard, 2007, p. 20).

? *Reflective questions to consider:*

❑   What specialized training can the principal provide for teachers as they encounter students from these three special populations? Are there conferences, workshops, or seminars for teachers to attend? Are there trained individuals within the district who can provide this training for teachers?

❑   What additional resources or materials are needed in the school to adequately address the needs of students and teachers?

❑   What techniques or strategies work best for the students in the school? In what ways are these success stories shared with others?

Recommended reading:

Rief, S. F. (1993). *How to reach and teach ADD/ADHD children: Practical techniques, strategies, and interventions for helping children with attention problems and hyperactivity.* West Nyack, NY: The Center for Applied Research in Education.

Siegel, B. (2003). *Helping children with autism learn: Treatment approaches for parents and professionals.* New York: Oxford University Press.

Smiley, P & Salsberry, T. (2007). *Effective schooling for english language learners: What elementary principals should know and do.* Larchmont, NY: Eye on Education, Inc.

Recommended websites in this component:

English Language Learners:
Center for Applied Linguistics
http://www.cal.org

Center For Research on Education, Diversity & Excellence
http://crede.berkeley.edu

¡Colorín colorado!
http://www.colorincolorado.org

Intercultural Development Research Association
http://www.idra.org

Lanternfish
http://bogglesworldesl.com

Teachers of English to Speakers of Other Languages, Inc. (TESOL)
http://www.tesol.org

Attention-Deficit/Hyperactivity Disorder (AD/HD)
Children and Adults with Attention Deficit/Hyperactivity Disorder
http://www.chadd.org

LD Online
http://www.ldonline.org

National Resource Center for AD/HD
http://www.help4adhd.org

Autism Spectrum Disorder:
Autism Today
http://www.autismtoday.com

Organization for Autism Research
http://www.researchautism.org

Polyxo.com is a web resource for teaching children with autism.
http://www.polyxo.com
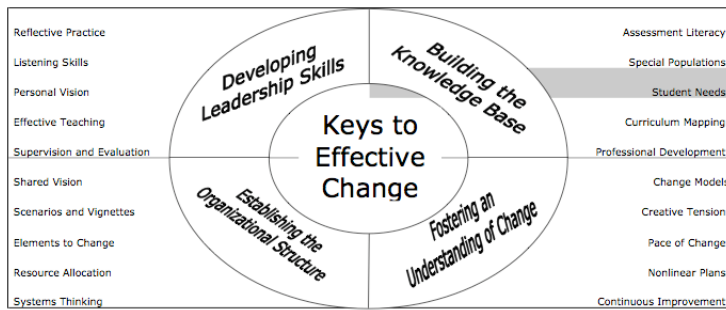
Component Three: Addressing Student Needs

Teachers blaze the path to knowledge generation when pairs, small groups and entire faculties intentionally and purposefully use data as a source for analyzing progress and proactively planning for improvement.

Bruce Wellman, Data Consultant

The last two components, assessment literacy and special populations, provided information to help the principal lay a foundation for correctly assessing students' achievement levels and delivering the best possible instruction to meet the needs of students within certain special populations. The next step in building the staff's knowledge base to ensure that individual student needs' are being met is to focus on the strong connections between instructional practice, student learning, and assessment. Teachers need "solid evidence of student progress, analysis of a student's skill deficiencies, and a plan to remediate and enhance skill development" in order to meet students' individual needs (Langa & Yost, 2007, p. 7). The strategies included in the addressing student needs component will provide the principal with tips for encouraging teachers to use:

- Baseline data for every student,

- Individualized and differentiated lessons, and

- Best practice whenever possible.

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What does the research say about student needs?

"Standards-based and data-driven decision-making in the classroom is about connecting what we know about students and what we want them to learn in relation to the standards with the best possible strategy for success" (Gregory & Kuzmich, 2004, p. 9). Data-driven decision-making of this nature is a tool for informing teachers and parents about what students actually know and can do. In addition, these decisions encourage teachers to develop students' abilities to frame and structure problems, find and generate information, evaluate and propose alternatives, invent ideas and products, and engage in messy problem solving (Falk, 2000). These experiences provide flexibility so that schools and students are able to use multiple forms of evidence to demonstrate understanding.

Principals who employ data-driven decision-making will ask relevant instructional questions such as: What are our expectations for performance and achievement? Do we have the correct resources and materials? What are the most current technologies and tools we can use in the classroom? Are students given enough time to learn the appropriate skills and concepts? Are students encouraged to demonstrate their learning in a meaningful way? Have our students been taught the appropriate strategies for learning how to learn? Do we have the knowledge, skills, and desire to deliver the appropriate instruction?

Principals who approach data-driven decision-making in this way will find a balance between high-stakes accountability measures and informed instructional decisions (Earl & Katz, 2006). They will seek the resources necessary for quality instruction and support for students who are struggling. As these principals work with teachers, they will highlight successful practices and student work as models of the possibilities of what others can do. Teachers under

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their guidance will be encouraged to use multiple forms of evidence rather than a single test to make important decisions about students' futures. And finally, these principals will focus attention, resources, and time on meaningful learning rather than on teaching to the test.

What strategies can be used to put student needs into action?

Step One: Establish baseline data for every student.

At the beginning of the school year or when students enter a new course, initial or baseline data should be gathered. This valuable information can be used to monitor growth, establish homogenous or heterogeneous grouping of students, and clarify the particular skills or concepts students need to learn. The data needs to be multi-faceted so students have a variety of ways to demonstrate their understanding. Data collection of this kind avoids reliance on one particular test or measure that may not give an accurate picture of the student's true ability.

➢ Summative test results and performance data from the end of last year should be collected. This data will be extremely helpful for those students who are returning to the school. Some of these students may have lost ground over the summer months, but they should be able to quickly return to their previous levels of competence with minimal review.

➢ The principal and staff members should determine what assessments can be used to obtain baseline reading and math scores for new students. The staff will plan when these tests will be administered, who will test the students, and how these results will be integrated with existing scores. In addition, staff members should be sure to check cumulative records to see whether summative data from the students' previous schools is available.

➢ A variety of formative assessments can be considered that will accurately pinpoint which specific skills and concepts individual students need to address. Writing prompts, math

problem solving activities, quick reads, and fluency probes are examples of quick assessments

that can provide staff members with valuable information. Teachers may also wish to collect

work samples or review portfolio entries from the current or previous year.

➢ The principal should select a data format in a spreadsheet or database that permits

quick, easy retrieval, is meaningful for the teacher, and is easy to update. If the district has a

web-based student information system, placement of the data on this site will give the parents

and students access as well.

➢ Now that the principal and staff members have individual student data, time should be

taken to carefully analyze how each individual student is performing. Teachers may review the

data independently before discussing their findings with others. Remember the goal is to

determine how best to address a student's needs and improve instruction. Here are some guiding

questions for reviewing individual student data:

- Does the curriculum match the assessment?
- Were the items missed because the standard or concept was not taught?
- Which standards were strengths for this student and which were weaknesses? Were the same standards strong or weak for the majority of students?
- Did a language or vocabulary issue prevent the student from understanding the question? If so, do teachers need to use new terminology when explaining that particular concept?
- Was the question and/or response worded appropriately?
- Was the student given the appropriate accommodations? Did he/she take the appropriate test?

➢ Analyzing student achievement data and determining exactly how each student is

performing is critical to understanding what needs and areas of concern exist. Spillane (2009)

referred to the analysis of data as diagnosis or "determining the nature or cause of a situation"

(in Hargreaves and Fullan, p. 206). He reminded us that the next step of design or the process of

shaping a set of lessons, interactions, routines, or expectations with classroom instruction and

student learning in mind is the "key component of the job" (p. 206). The cyclical nature of using additional diagnostic information to design and redesign a plan of action presents the principal and teachers with the challenge of determining how well these efforts connect quality teaching with increased student learning (Spillane in Hargreaves & Fullan, 2009). Thus, the importance of reviewing data and decisions again and again.

Step Two: Plan individualized and differentiated lessons.

Differentiated instruction provides educators with a proactive method for addressing the needs of all learners. Tomlinson, University of Virginia professor and chair of Educational Leadership, Foundations, and Policy, is one of the leading scholars in this area. Her work described a student-centered approach that is rooted in assessment. In *How to Differentiate Instruction in Mixed-Ability Classrooms*, Tomlinson (2001) reminded us that what the teacher learns through daily interactions with students "becomes the catalyst for crafting instruction in ways that help each student make the most of his potential and talents" (p. 4). In fact, Tomlinson (1999) saw assessment and instruction as "inseparable" (p. 10). The principal can share the basics of Tomlinson's research and encourage teachers to use the information gathered from the baseline data for differentiating instruction. Principals and teachers who wish to know more about differentiated instruction might form study groups to read and discuss the methods, strategies, and ideas presented in Tomlinson's books. See the recommended reading list on page 138 for a list of books.

➢ The premise of Tomlinson's work (1999) is that instruction can be differentiated by "content, process, or products based on one or more student characteristics (readiness, interest, learning profile) at any point in a lesson or unit" (p. 11) (see Figure 9: Differentiation of Instruction). A student's learning profile describes the way in which individual students learn

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best (i.e., in terms of processing information either in a written or verbal format, having material presented part to whole or whole to part, using analytical or creative approaches) and relates to Howard Gardner's work, *Frames of Mind* (1983) and *Five Minds for the Future* (2009) on multiple intelligences. As a teacher is developing a lesson, decisions are made concerning the concepts, skills, or generalizations that all students in the classroom will learn. Through formative assessment practices, the teacher becomes informed of each student's readiness for learning the selected concept, skill, or generalization.

Figure 9: Differentiation of Instruction

Teachers can differentiate

| Content | Process | Product |

according to student's

| Readiness | Interests | Learning Profile |

through a range of instructional and management strategies such as

multiple intelligences	tiered lessons	4MAT
jigsaw	tiered centers	varied questioning strategies
taped material	tiered products	interest centers
anchor activities	learning contracts	interest groups
varying organizers	small-group instruction	varied homework
varied texts	group investigation	compacting
varied supplementary materials	orbitals	varied journal prompts
literature circles	independent study	complex instruction

From C.A. Tomlinson. (1999). *How to differentiate instruction in mixed-ability classrooms, 2nd ed*. Alexandria, VA: Association for Supervision of Curriculum and Instruction.

Once lessons have been designed for a specific unit of study or concept, the teacher can choose to assign specific activities or tasks to individual students or may choose to have a variety of activities from which students may select the tasks upon which they would like to work. The

idea is to provide students with lessons that meet their individual needs and allow them choices that might better fit their personal learning profile. In all cases, the activities and tasks should develop critical thinking, creativity, and the ability to apply skills.

➢ Learning centers are one technique for differentiating instruction. The definition of a learning center is "a collection of activities or materials designed to teach, reinforce, or extend a particular skill or concept" (Kaplan, Kaplan, Madsen, & Gould, 1980, p. 21). A center can be a specific location in the classroom or a set of easily accessible materials which can be used anywhere in the classroom. Some centers are organized so students are working at different centers simultaneously or independently while the teacher is instructing a small group.

Centers should contain a variety of materials that address a wide range of reading and skill levels, interests, and learning profiles. Directions describing the center's tasks provide guidelines for successful completion of the center, criteria for quality performance, tips for the student who needs help, and directions for where to put the finished product when the task has been accomplished. Students are generally expected to engage in some type of record keeping to monitor their progress and evaluate their performance. Differentiation occurs when teachers vary the difficulty of the tasks, ask students to generate different products, allow students to explore areas of interest, or adjust the complexity of the skills required to complete the center.

➢ Another idea for differentiating instruction is to provide students tiered activities that are designed so that students with "different learning needs are able to work with the same essential ideas and use the same key skills" (Tomlinson, 1999, p. 83). This technique is more teacher-directed and requires thoughtful planning for successful implementation. With tiered activities, the teacher selects a concept, skill, or generalization and considers the readiness of the students to learn the particular concept, skill, or generalization. A learning activity is then

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created that can be adjusted from the highest readiness level to the lowest. This occurs as the teacher changes the number of steps in the project, varies the complexity of the task, poses different levels of concreteness or abstractness within the materials, and expects different levels of independence for task completion. Teachers generally find that only three to five variations of the activity are needed to successfully meet the readiness levels of students in most classes.

A tiered activity can include both group and independent tasks. Print and reference materials are geared to students' reading levels. Directions should include performance criteria guidelines, tips for successful completion of the activity, what to do when a student needs help, and where to place the finished product. While differentiation does mean the activities may involve different tasks, materials, and products, the essential skills and concepts will be the same for all students.

➢ A third idea for differentiating instruction is to provide students with learning contracts or a negotiated agreement between the student and the teacher. Contracts offer students the chance to work independently on a project or set of tasks. In all cases, learning contracts are designed so that students practice, master, and apply a set of skills. The learning contract generally includes a time frame, number of tasks or activities to complete, an expected level of proficiency, and guidelines for what occurs in school or at home. Many contracts include teacher, student, and parent signatures in an effort to increase communication between home and school.

Learning contracts can vary greatly in nature. Some may encourage students to complete assigned work during a school day or over the course of a week. Other contracts may also be content based and allow students to select from a list of activities or tasks. These contracts generally have different levels of activities and can easily be geared to match a student's

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readiness level. Other contracts may be designed to give students more choices when completing a major project.

➢ O'Meara (2010) stated, "The relationship between the student, the desired outcome, and the learning strategy" provides three additional avenues for differentiated instruction (p. 63). Matching the learner with desired outcomes provides the teacher with an opportunity to differentiate by performance level expectations. When a specific set of facts, skills, or concepts must be learned, the teacher can match the learner with a specific learning strategy (e.g. rote memorization, visualization with pictures, kinesthetic activities). Finally, the teacher can vary the intended outcome with the learner to further remediate or enrich instruction. O'Meara (2010) reminds us "the essence of differentiated instruction is not only found in the what of happenings in the classroom, but also in the why" (p. 62).

➢ Whether teachers develop differentiated lessons or not, the principal will ask them to reflect upon the types of lessons, activities, and tasks assigned to students and encourage them to consider teaching and learning in terms of cause and effect relationships. The following reflective questions can guide their thinking:

- If I do this or if students do this, what effect can I reasonably expect?
- If I know this about my learners, what strategies, materials, grouping, amount of time may result in the greatest learning?
- Are my expectations for students appropriate given the standards I want them to demonstrate?
- What type of learners may be successful using which type of learning practice? (Gregory & Kuzmich, 2004, p. 10).

Step Three: Implement best practice whenever possible.

Over and over again, research supports the idea of improving instruction as the way to positively impact student achievement (Hattie, 2009; Pollock, 2007; Schmoker, 2005).

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Therefore, the principal should consider a few basic tenets that, when applied, make a difference in every classroom.

> ➢ First, teachers should employ what is known about effective teaching. Kame'enui, Simmons, Good, and Chard (2002) stated that teachers should focus on the big ideas or the major concepts, principles, rules, and strategies that "facilitate the most efficient acquisition of knowledge," make "strategies conspicuous," and "scaffold instruction to support new learning" (p. 9). Teachers should "prime students' background knowledge" so students relate new knowledge to that which they already possess. And finally, teachers should provide "adequate, distributed, cumulative, and varied review" of the concepts, principles, rules, or strategies being learned (p. 9).

> ➢ Second, teachers should design instruction so that every lesson and learning activity allows students to demonstrate their knowledge. Students should be encouraged to produce, to experiment, and to reveal their ideas. They should be motivated to participate fully in the lesson, apply the information they have learned, and develop the habits of lifelong learning.

> ➢ Third, teachers should help all students reach their potential by gearing instruction toward the best and the brightest. At the same time, they should look beyond the proficiency levels to determine how to move more students into higher levels of achievement. Teachers should provide rigorous instruction and high expectations so all students experience increased learning.

> ➢ Finally, teachers should deliver lessons that have purpose and relevance in today's world. They should develop authentic experiences so students form a personal connection to the subject. Teachers should encourage students to read, write, think, and discuss. They should touch students' lives, needs, and passions by fueling their desire to know.

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✾ *How do student needs relate to change?*

While many consider the accountability era promoted by the No Child Left Behind Act stifling and argue that current regulations punish learners, encourage "teacher-proof" or scripted instructional practice, and focus learning on the mastery of meaningless facts, assessment literate principals and teachers will recognize the opportunity that the accountability era has given us to transform the classroom. Those principals and teachers who are assessment literate will use data to connect teaching, learning, and assessment in a "seamless web". They will learn the language of data to interpret the results and place them in context. In addition, these principals and teachers will seize opportunities to build assessments "that have the capacity to capture the richness and fullness of meaningful learning and the abilities of those who express their understanding in different ways" (Falk, 2000, p. 159). They will accept the challenge of genuine accountability.

❓ *Reflective questions to consider:*

❑ How will the principal encourage teachers to think beyond basic demographics such as ethnic identification and socio-economic status to focus on how to challenge each student to grow academically?

❑ What data proves to be the most informative and useful for individualizing and differentiating instruction?

❑ As teachers develop differentiated lessons, how can these be shared with others? Will the lessons be developed collaboratively? Can lessons be shared across grade levels and content areas?

Recommended reading:

Gregory, G. & L. Kuzmich. (2004). *Data driven differentiation in the standards-based classroom.* Thousand Oaks, CA: Corwin Press.

O'Meara, J. (2010). *Beyond differentiated instruction.* Thousand Oaks, CA: Corwin Press.

Tomlinson, C. A. (2001). *How to differentiate instruction in mixed-ability classrooms, 2nd ed.* Alexandria, VA: Association for Supervision and Curriculum Development.

Tomlinson, C. A. (2003). *Fulfilling the promise of the differentiated classroom: Strategies and tools for responsive teaching.* Alexandria, VA: Association for Supervision and Curriculum Development
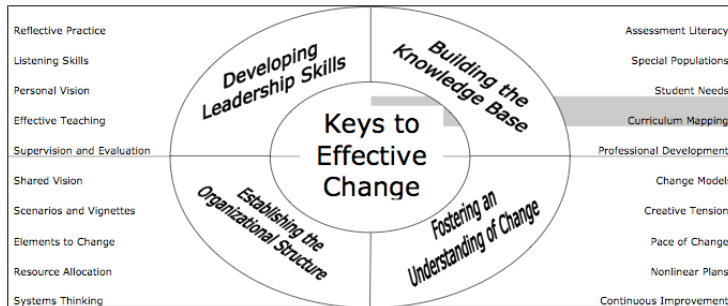
Component Four: Curriculum Mapping

Our students need us to know their experiences over the course of time. They need us to know what's really going on in their daily classes as they move among teachers and subjects. They need us to know and give credence to their work from year to year. With that information, possibilities emerge.

Heidi Hayes Jacob, Consultant

What does the research say about curriculum mapping?

The curriculum is the "defining character of a school's program and should be public and known to all. If the curriculum is organized in chunks, teachers are better able to coordinate and integrate across disciplines" (Danielson, 2002, p. 78). Jacobs (1997) defined curriculum mapping as "a procedure for collecting data about the actual curriculum in a school district using the school calendar as a organizer" (p. 61). Her body of work on curriculum mapping provided schools and districts with a clearly defined procedure for producing an overview of the year's

curriculum at specific grade levels and within content areas. Features included in the map are "a description of the content, a description of the procedures and skill emphasized, and the nature of the assessment the student produces as evidence of growth" (Jacobs, 1997, p. 62). The resulting curriculum map provides both a horizontal and vertical look at the curriculum that allows a school or district to make informed decisions regarding curriculum adoption, standards alignment, assessment practices, staff development, and resource allocation.

Principals who have engaged in the curriculum mapping process with their staff will report greater communication between teachers, increased integration across the curriculum, and more collaboration between classroom or content area teachers and specialty areas such as art and music (Jacobs, 2004). In addition, the resulting maps will help principals pinpoint specific instructional areas to target with staff development and determine where best to focus additional resources.

The key benefit to curriculum mapping is comparing what is actually taught as opposed to what is supposed to be taught (Jacobs, 1997; Kallick & Colosimo, 2009). In addition, a review of what will be taught provides "an outline for the school year, accountability to skills and concepts embedded in the standards, and consistency across grade levels and subject areas" (Glass, 2007, pp. 3-6). Students are the ultimate beneficiaries of this procedure as connections are made across subject areas and concepts. Redundancy is avoided when previously mastered concepts or skills are reviewed rather than retaught. In addition, instruction can be individualized for all students by pre-teaching concepts or skills to those who need extra time to learn and accelerating learning for those who have already mastered upcoming concepts or skills.

What strategies can be used to put curriculum mapping into action?

Step One: Engage teachers in the process of curriculum mapping.

Teachers are the heart of the curriculum mapping process. Only they can accurately record what occurs in their classrooms day in and day out. While many districts have elaborate curriculum handbooks that were created by hard working committees of dedicated individuals, often these documents collect dust in cabinets or sit unused on the shelf. Curriculum mapping may have a negative connotation in a district, because teachers mistakenly believe the process has nothing to do with them and will not have meaning for them as a planning and instructional tool. The principal will set the stage for successful curriculum mapping by asking teachers to participate fully in the process and by explaining how the maps will be used to standardize instruction across the school and within grade levels or content areas.

➢ The principal may consider introducing the idea of curriculum mapping through a book study. An excellent choice for such a study is *Mapping the Big Picture: Integrating Curriculum and Assessment K-12* by Jacobs (1997). This 57-page book is a quick read and contains an extensive appendix of sample curriculum maps and will provide in-depth information about the process and concrete examples for reference.

➢ Prior to beginning the process, staff members will need to be informed of what is expected and how the process will unfold. Therefore, the principal will prepare a short overview that describes the process, explains the time commitment and timeline, and highlights the benefits other teachers have gained from engaging in such a process. This information can be presented to the staff during a regular staff or professional development meeting.

➤ Together, the principal and staff members will determine how information will be gathered. Will large pieces of butcher block or index cards be used to record data? Will staff members compile data in a spreadsheet or database file? What system will work best for the staff? If spreadsheets or databases are used, the principal and staff members will find that changes can be easily made and the documents readily shared.

➤ Templates for recording information may be used and should be edited to fit the needs of the staff and school. See Figure C3: Curriculum Mapping Template for an example of a template that uses the months of the year as column headings and the subjects as row headings. When creating a template, staff members will include the core content areas (e.g., reading, math, writing, science, social studies) as well as technology integration ideas, novels to be read aloud, special projects, and assessments. Assessment will focus on more summative methods of determining how students are achieving and will include district and state tests as well as special projects, products that demonstrate content mastery, and end of unit exams.

➤ The principal should expect to spend time answering questions and alleviating staff members' fears that the process will be overwhelming. The principal may read excerpts from Chapter 7 of Jacobs' book (1997) where practitioners share their experiences with the curriculum mapping process to prepare answers to similar questions that may arise.

Step Two: Begin the curriculum mapping process.

➤ The first step in the process is to collect information about what a teacher is teaching. This activity can be completed alone and will involve teachers using their current or past planning books. Have teachers record what they actually covered, rather than what they should cover or would like to cover.

➢ If the principal decides to have teachers record information on butcher block paper or index cards, the information will need to be transferred to an electronic format so that changes can be made rapidly and everyone within the school can have immediate access to the documents.

➢ The newly created maps will be shared with the staff. Staff members should have time to carefully review their own maps, their grade level or content area colleagues' maps, and specialty area teachers' maps. As maps are reviewed, the principal and staff members will look for discrepancies between their own maps and their grade level and content area colleagues' maps and will search for gaps across the curriculum.

➢ After staff members have reviewed the maps, small committees will be formed to review maps across a content area (for all grades) or for all subject areas vertically throughout the school. The committee will record discrepancies, concerns, surprises, gaps, and suggestions for improvement.

➢ Before the next step, the principal should have a frank conversation with staff members about the controversial nature of reviewing the small committee findings as a larger group. Controversy may be generated if teachers are asked to give up favorite lessons or units to more adequately address units or state standards designed for their particular grade level or content area. Together, the principal and staff members can brainstorm strategies for presenting new ideas, tips for listening to others, and techniques for suspending judgments of others' ideas. The principal can remind staff members that statements beginning with "yes, but" are not helpful and discourage honest, open conversation.

➢ At this point, the smaller committees will come together to review their findings as a large committee. The principal will project the map being discussed onto a screen and make

changes immediately. A copy of the original document will need to be preserved before starting this process to remind staff members of their progress as drafts and revisions are reviewed.

➢ The principal will distribute the curriculum maps so that all staff members have access to them. Staff members will make changes to the map each week and submit updated maps at least once a month. One network-based method for disseminating the maps is to place a folder on a shared drive that all teachers can access. Everyone can be informed when updated maps are placed in the folder and have immediate access without being provided a copy.

➢ At the end of each year, the large committee will review the curriculum maps and make necessary changes. Changes may include adjustments made to district curriculum or state standards, increased technology skills that result in students needing more difficult projects to challenge them, or incorporation of current research that describes new strategies or techniques. The review process should be ongoing and continuous in order for the maps to be current and useful as an instructional and planning tool.

➢ Students and parents will be interested in what is covered at a particular grade level or in a specific course. Sharing the curriculum maps at the beginning of the year, during orientation events, will help set expectations for what students should know and be able to do by the end of the year or when the course has been completed. When teachers share this information with parents, be sure the parents understand the map is not fixed and that adjustments will be made throughout the year based on progress and specific needs of the students within the class.

Step Three: Consider using an online tool or software for completing the mapping process.

➢ Jacobs' website, http://www.curriculumdesigners.com, contains sample maps, lists of relevant books and articles, and links to useful websites. Professional development activities in the form of workshops, videoconferences, and online courses are available. The site also

features an online forum that allows participants to pose questions or express individual questions or concerns.

➢ A variety of curriculum mapping websites and software packages exists to organize information and create useful reports such as *Rubicon*, http://www.rubicon.com, and *The Curriculum Mapper,* http://www.clihome.com. These two sites can be accessed through the resource section of The Curriculum Designers website. The principal may wish to use the software to guide the curriculum mapping process, help teachers understand what type of information is needed and organize the data gathered into useful reports.

➢ Barbara Gray (2000) from Shelby County Schools in Tennessee has written a webquest for educators called *The Big Picture: Mapping the Curriculum*. A webquest provides real world application of a central question, along with web resources and specific assignments. The webquest objectives are to "define curriculum mapping, describe the steps used to create a good map, and list benefits of using curriculum mapping to restructure the curriculum." (Gray, 2000, Task) One of the tasks is for staff members to read the Jacobs' book, *Mapping the Big Picture: Integrating Curriculum and Assessment K-12.* The webquest can be accessed at http://www.scsk12.org/STT2000_wq/6-8/bgray/default.htm.

❦ *How does curriculum mapping relate to change?*

"Collaborative conversations about philosophy, pedagogy, and best practice are crucial, so that teachers can expand their expertise along the way and grow professionally" (Glass, 2007, p. 105). The curriculum mapping process is an effective way to shift a school's focus from teacher centered to student centered learning. Focused conversations about standards and objectives, discussions of what should be taught and when, and how best to reach predetermined

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benchmarks and goals promote a collaborative environment among staff members. In addition, curriculum mapping provides staff with a technique for continually upgrading the curriculum and for maintaining an accurate picture of what occurs in the classroom on a monthly basis.

? *Reflective questions to consider:*

❑   How will the principal share the curriculum maps with students and parents so they understand the flexible nature of the map?

❑   What procedures will the principal put in place to review the curriculum maps on a regular basis to keep them current and viable?

❑   Are there additional tools or software that might enhance the curriculum mapping experience?

Recommended reading:

Glass, K. T. (2007). *Curriculum mapping: A step-by-step guide for creating curriculum year overviews.* Thousand Oaks, CA: Corwin Press.

Jacobs, H.H. (1997). *Mapping the big picture: Integrating curriculum & assessment K-12.* Alexandria, VA: Association for Supervision and Curriculum Development.

Jacobs, H.H., editor (2004). *Getting results with curriculum mapping.* Alexandria, VA: Association for Supervision and Curriculum Development.

Kallick, B., & Colosimo, J. (2009). *Using curriculum mapping & assessment data to improve learning.* Thousand Oaks, CA: Corwin Press.

Recommended websites in this component:

The Big Picture: Mapping the Curriculum webquest
http://www.scsk12.org/STT2000_wq/6-8/bgray/default.htm

Curriculum Designers – Heidi Hayes Jacobs
21st Century Curriculum Design and Curriculum Mapping
http://www.curriculumdesigners.com

The Curriculum Mapper
http://www.clihome.com

Rubicon
http://www.rubicon.com
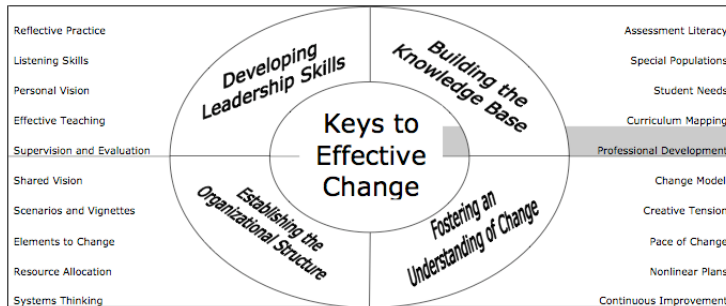
Component Five: Professional Development

A mind stretched to a new idea, never goes back to its original dimensions.
Oliver Wendell Holmes

Developing the knowledge base and skill level of staff members cannot be left to chance. As staff members continue to analyze student achievement data, focus on the instructional needs of individual students, and determine how standards are being addressed across the curriculum, they will need to participate in professional development activities that will raise their skill levels and improve their practice. Quality professional development focused on "what students are expected to know and be able to do" and "what teachers must know and do to ensure student success" must become the norm for the school (NSDC Standards, 2001). The strategies within the professional development component will provide the principal and staff members with:

• Opportunities to learn from one another,

• Ideas for sharing and analyzing student work samples, and

• Techniques for engaging in professional reading.

❦ What does the research say about professional development?

High quality professional development "driven by a compelling vision of student learning and a data-based assessment of current reality is essential, if teachers are to consistently apply in their classrooms the findings of the most recent research on teaching and learning" (Sparks, 2002, p. 1-4). To be effective, staff members from the same grade level, school, or content area must be given time to collaborate on a regular basis. As they learn new skills and deepen their content knowledge, staff members must be able to apply and practice what they have learned. They must also have the time to revisit topics over time to fine tune specific skills and add new layers of complexity to their practice. Finally, professional development must be aligned with what staff members already know, as well as with state or district standards and assessments.

Principals, acting as the instructional leaders of their school, will ensure that professional development becomes an embedded aspect of instructional practice. They understand that "teaching is a complex, intellectually demanding task that requires sustained, intellectually rigorous forms of professional development" (Sparks, 2002, p. 4-6). As a result, opportunities will be created for staff members to continually upgrade their skills, expand their knowledge, and develop new strategies with a focus and determination that all students can and will succeed (Hixon & Tinzmann, 1990).

Principals who believe strongly in the power of quality professional development can demonstrate their commitment to learning in a variety of ways. Staff members can be given time to learn with and from one another. Staff members can be encouraged to practice new skills, share student work samples, and discuss whether current strategies are working or not (DuFour, DuFour, Eaker, & Karhanek, 2010; Hord, Roussin, & Sommers, 2010). In addition,

opportunities for reflection can be created so staff members carefully consider which instructional practices are the most effective and why (York-Barr, Sommers, Ghere, & Montie, 2006). Finally, to reward the staff members' efforts, the principal can show appreciation for the valuable expertise that they possess.

What strategies can be used to put professional development into action?

Step One: Find opportunities to learn from one another.

DuFour and Eaker (1998) remind the principal that "building a school's capacity to learn is a collaborative, rather than an individual task" (p. 27). Regular, focused collaborative efforts can be the catalyst that spurs individuals to dig deeper and try harder. The following ideas can provide staff members with time and support for these efforts.

➢ Rather than holding a typical staff meeting, the principal may consider turning the weekly or bimonthly meeting into a professional development session focused on the improvement of instruction. To facilitate this change, the principal will develop a yearlong calendar that outlines the major topics of study and details the focus areas that will be highlighted at each meeting. Examples of major topics of study might include data analysis, technology integration, reading comprehension strategies, nonfiction writing tips, problem solving strategies, or alternative assessments. Over the course of the year, certain topics may be repeated monthly to provide staff members with time to practice and review instructional strategies they have been asked to implement. Revisiting topics will allow the principal an opportunity to move all staff members in the same direction with repeated, focused information and practical ideas for implementation.

➢ The principal can capitalize on the first five to ten minutes at the beginning of each meeting to either review strategies related to whole school initiatives or lead activities that will build camaraderie among staff members. Examples of whole school initiatives include cooperative learning strategies, classroom management techniques, methods for increasing student engagement, and bully prevention programs. Staff members may be asked to practice specific techniques or share examples from effective lessons related to the initiative. This ongoing review will help hold staff members accountable for the widespread implementation of the initiative. When planning activities to build camaraderie among staff members, the principal may include team building activities, social events, the sharing of anecdotal stories, and celebrations of successes that will allow staff members to build relationships and connections with one another.

➢ Staff members who attend conferences or seminars should be asked to share three to five strategies that can be implemented in the classroom the very next day. When staff members are expected to share their new learning, the tendency to attend a workshop and not implement any of the suggested activities is avoided. In addition, the principal will demonstrate a commitment to sharing and applying what has been learned. An added bonus is that the principal has maximized the conference or seminar expenditure, because everyone benefits from the information that was presented rather than being limited to only the individual who attended the conference or seminar.

➢ The principal should encourage staff members to form study groups focused on particular areas of interest or need. Some groups may choose topics related to school wide efforts, while others may choose to work on narrower problem areas that were recognized through analysis of student achievement data. The study group may elect to read a manageable

book or series of articles on a specific topic and as a result of their reading, select specific strategies or techniques to implement in the classroom. Some meetings may be spent analyzing work samples, receiving feedback on lesson or unit plans, or discussing how students responded to an intervention. The study group may meet for several weeks or the entire year depending on the members' needs.

➤ Time should be provided during the school's professional development meetings for staff members to meet with grade level or subject area peers. The meeting focus should be an analysis of student data for the implementation of strategies and techniques that directly impact student achievement. The principal can ask staff members to complete a feedback sheet (see Figure C4: Feedback Sheet for Grade or Specialty Group Meeting) that includes general information such as group name, meeting date, meeting purpose, and attendees; and a summary of the meeting including topics of discussion, concerns, plans for addressing the concerns, or progress on selected topics. The feedback sheet should also ask for a list of the strategies or techniques that will be implemented over the next few weeks. As staff members meet and complete the feedback sheet, they are reminded that the focus of the meeting is the improvement of instruction. As the principal reviews the feedback sheets and shares observations, staff members can be reminded that the purpose of meeting and learning together is to positively impact student achievement.

➤ Opportunities for collaborative time can be created during the school day. Grade level or content area teams could meet during common planning periods. The principal could hire substitute teachers to cover classes while teachers work collaboratively on a monthly basis for either half of the day or the entire day. In some districts, schools schedule one day a week or

twice a month to either start late or release early. Ultimately, teachers need opportunities to meet when they are fresh and alert rather than always giving up time after school or on the weekends.

Step Two: Regularly share and analyze student work samples.

Sparks (2002) reminds us that "one of the most obvious and direct ways to improve teaching is to have staff members continually work with others to improve the quality of their lessons and examine student work to determine whether those lessons are assisting all students to achieve at high levels" (p. 10-4). The ideas listed below provide a system for analyzing work samples and help guide collaborative sessions.

➢ Staff members should select and focus on a common objective within a content area. Work samples should be similar and allow students to demonstrate their understanding of the objective. Examples include writing samples, reports, open-ended math problems, science experiment data analysis, graphic organizers, story webs, or multimedia presentations.

➢ Each staff member should bring an entire set of papers and select one exemplary, one average, and one poor sample for closer review. Reviewing the entire set of papers may be necessary to gain a general feeling of how the class is faring overall. For example, perhaps the majority of papers fall in the average or poor range. Thus, the focus for improvement will be different than would be the case if the majority of papers fall in the exemplary range.

➢ The work session will begin by giving everyone time to look at the featured samples that include exemplary, average, and poor samples. This should be a time of quiet reflection as each staff member determines the strengths or weaknesses of the work samples. Once everyone has had time to reflect, each staff member should be asked to provide a short, general impression of the quality of the work samples. Now, the papers will be arranged into groups of exemplary,

average, and poor. The principal will use the following questions to guide this discussion of

each group of papers:

Exemplary:
• What are the strengths of the piece?
• How does the piece demonstrate strong understanding?
• What explanations or supports helped the students produce these pieces?
• What challenges should be given to these students?
• Are there any areas that need improvement?

Average:
• What are the strengths of the piece?
• What elements are missing from these pieces, but were included in the
  exemplary pieces?
• What explanations or supports were offered to students to help them during the
  lesson?
• What types of lessons or instruction do the students need to improve
  their work?

Poor:
• Are there common mistakes made by the students producing these work samples?
• Do the work samples indicate any particular deficits in skills, concept
  development, or comprehension?
• What explanations or supports were offered to students to help them during the
  lesson?
• Do the students who produced these samples share common characteristics?

➢   Once staff members understand how students are performing, they should pinpoint

errors, misconceptions, or lack of skills that are common to the students in a particular group.

The next step is to develop a plan for improving the students' work that may include specific

lessons or instruction. As the staff members consider poor and average pieces, they will create

activities or assignments that enable these students to produce work that qualifies as exemplary.

The staff members may also want to consider teaching additional lessons before moving on to a

new concept or skill, especially if the curriculum does not cycle back to this objective or

particular concept. Finally, the staff members should set a future meeting date to share work

samples generated after these interventions are delivered so that they can judge whether the new lessons or activities had an impact on the students' performance.

➢ Additional sessions for examining student work samples might focus on the development of inter-rater reliability among staff members. Inter-rater reliability is the extent to which two or more individuals agree on a score or rating when they are scoring the same student work sample with the same rubric. Often, school districts are expected to score or rate student work samples with a specific rubric and focus on areas such as writing assignments, science projects, service learning project descriptions, and senior research projects. These scores or ratings are usually reported to the state department of education and used as a measure of growth on school improvement plans.

➢ When developing inter-rater reliability, the first step is to teach the rubric's performance categories and criteria to everyone. Work samples that have earned top (5), average (3), and low (1) scores should be shown to the staff. Over repeated sessions, the staff should rate papers or projects by trait or category and then discuss the rationale for assigning a particular score. The goal is for all staff members to rate the project or paper within a minimum deviation from one another. When staff members reach this level of reliability, expectations for quality performance should be similar across the school.

➢ As staff members become more proficient at rating papers or projects, the principal will ask them to share successful lessons or activities for encouraging students to produce quality work. This returns the focus of the activity to the improvement of instruction as a method for ensuring student success. Repeated conversations and experiences that focus on the improvement of instruction remind teachers that they are responsible for and capable of delivering quality instruction that raises the bar for all students.

➢ Work sample analysis and inter-rater reliability training should occur both vertically (i.e., across grade levels) and horizontally (i.e., across the same grade level or content area) as a method for maintaining high expectations for student achievement across all grade levels and content areas. Because staff members will have a greater awareness of what other students are capable of producing, their own expectations for quality work will increase after reviewing work by younger students or work by students of the same grade level in another content area. The principal will remind staff members that high expectations generally produce high student achievement and the goal should be for all students to produce thoughtful, exemplary work (Reeves, 2006).

Step Three: Encourage professional reading.

Educators can stay abreast of cutting edge practices by reading current research and professional literature. The principal can model this practice by reading and reviewing the latest journals, articles and research on a consistent basis. If the principal keeps a record of what is read and notes key points in a reflective journal, the information can be shared with other staff members to elicit enthusiasm for new ideas, encourage adherence to a specific practice, or reinforce the need for continued work on a targeted area.

➢ The principal should take the opportunity to share items read with the staff. The principal may mark articles of interest in a journal that is being circulated or direct specific articles to key individuals. The principal could mark sections of a book, place the book in a staff member's mailbox, and invite the staff member to review the marked sections. Summaries of books or articles that the principal finds intriguing could be included in weekly updates or newsletters. In all cases, the principal should extend an invitation to discuss the ideas that are

being presented. Where and when the discussion occurs is not important. The important thing is that new ideas are being shared.

  ➢ The principal and the school's media specialist should create a professional resource collection in the school's library that would include a variety of education related journals, books, and other teaching resources. To encourage examination of the journals, the media specialist could circulate the latest issue and staff members could be asked to mark sections of the journal they found interesting. When new books are added to the collection, the principal may form a study group to read the book and write a review or summary for the remainder of the staff. The media specialist could also highlight new additions to the library at the beginning of professional development meetings or through e-mail. All staff members could be invited to make suggestions for additional purchases to the collection and encouraged to share articles or books with others.

  ➢ The principal may consider establishing regular book studies throughout the year that are focused on areas in need of improvement or areas that would expand the teachers' knowledge base on a particular subject. The entire staff could read and discuss the same book over the course of a semester. During regular staff meetings, aspects of the book could be discussed within smaller groups and then ideas, points to ponder, or questions could be presented to the larger group for further discussion. Multiple books could be selected and staff members could determine which book study they would like to join. The understanding would be that everyone participates in a book study, meets regularly with the members of their group, and presents a summary of the book to the entire staff when the book study is completed. This method of organizing book studies allows the principal to bring new staff members up to speed on topics that have already been covered with the entire staff, allows staff members to revisit topics with

new materials, and encourages other staff members to expand their knowledge base into areas that have not yet been explored by the entire staff.

✤ *How does professional development relate to change?*

Hixon & Tinzmann, in *What Changes are Generating New Needs for Professional Development?* (1990), reminded us that "meaningful change will occur only when those who work in and with schools have the opportunity to develop the attitudes, beliefs, knowledge, and skills necessary to translate these new ideas and concepts into meaningful and specific plans for change and to incorporate them into their day-to-day routines" (p. 1). The principal, as the instructional leader of the school, has the responsibility to see that meaningful change occurs through quality professional development that focuses the staff's effort on content knowledge, innovation in teaching, and the needs of the learner.

❓ *Reflective questions to consider:*

❑ How are staff members informed of current trends and encouraged to engage in additional professional development activities? What changes can be made to increase their awareness?

❑ How can the staff share their successes with other professionals? Are trainings session held at the district level that might be taught by some staff members? Could individuals submit presentation proposals to state or regional conferences?

❑ What journals or educational books does the staff regularly read? How can this list be expanded to encompass a broader area of the teaching and learning spectrum? What funds can be directed to increase and strengthen this important professional growth opportunity?

Recommended reading:

DuFour, R. & Eaker, R. (1998). *Professional learning communities at work: Best practices for enhancing student achievement.* Alexandria, VA: Association for Supervison and Curriculum Development.

Jennings, M. (2007). *Leading effective meetings, teams, and work groups in districts and schools.* Alexandria, VA: Association for Supervision and Curriculum Development.

Sparks, D. (2002). *Designing powerful professional development for teachers and principals.* Oxford, OH: National Staff Development Council.

Recommended websites in this component:

National Staff Development Council (NSDC) Standards
http://www.nsdc.org

Summary:

This chapter, Building a Knowledge Base, provides effective strategies for helping staff members become assessment literate, cope with the challenges of special populations, and address the specific learning needs of students. Curriculum mapping provides a structural piece that supports the curriculum, standards, and objectives that are vital to the students' academic success. The professional development activities described in this chapter can be used in numerous ways to encourage, strengthen, and fortify staff members' instructional skills. The next chapter, fostering an understanding of change, looks at the challenges brought about by change and the processes that can help the school community overcome them.

Chapter 4
Fostering an Understanding of Change

The key of fostering an understanding of change includes the following components: (1) change models, (2) creative tension, (3) pace of change, (4) nonlinear plans, and (5) continuous improvement. Many of the components in this chapter will provide the principal with additional insight and implementation suggestions to strategies listed in previous chapters and illustrate the interconnectedness of the school community. The theoretical concepts provided here lay a foundation for understanding how and why different aspects of the school community directly impact others.

For example, the first component, change models, will provide the principal with insight about the process in regard to the steps, types, and stages of change and how change impacts individuals and the system in different ways. Next, with the second component, the principal will learn more about the impact creative tension has upon an individual's attitude and motivation for change. As the principal considers environmental conditions and commitment to the process, strategies will be presented that address the needs of the school community and positively affect the pace of the change process, the third component.

Every school community has individual needs and demands that impact and impede the change process. The use of nonlinear planning in component four will give the principal the flexibility to adjust and cope with changing situations so that the change process is not derailed and can be firmly established in the school community. The fifth component, continuous improvement, further illustrates the institutionalization of change

processes as the principal prepares for the challenges ahead and strives to meet new goals that emerge over time.

Component One: Change Models

Without change, there can be no learning.
Gayle Gregory and Lin Kuzmich, Educators

Presenting change models to the staff will help them to recognize steps, challenges, dynamics, and processes that are present in the school community's change process. This information may help them to analytically separate their emotions from the necessities of what needs to occur during the change process. The strategies listed in this component will provide the principal with:

- Steps involved in the change process,

- Concepts of first and second order change, and

- Stages related to accepting change.

What does the research say about change models?

Change in an educational setting is a complex process that requires vision, time, resources, and talent to achieve. Fullan (1993) referred to the "formidable" challenge that faces educators as they "figure out effective approaches for creating and assessing learning under conditions of diversity and constant change" (p. 45). The challenge is also directed to the principal who, as the leader of the school, is expected to establish direction, align people to the

vision, elicit cooperation, and motivate others by appealing to basic needs and values (Kotter, 1996). In addition, principals are encouraged to "consciously challenge the status quo" and "be willing to lead change initiatives with uncertain outcomes" (Marzano, Waters, & McNulty, 2005, p. 45).

Ellsworth's work, *Surviving Change: A Survey of Educational Change Models* (2000), referred to educational change as "a specialized instance of the general communications model" and illustrates how certain aspects of change theory can provide principals with a systematic strategy for addressing the change process as a whole (p. 25). The general communications model involves a sender, a message, and a receiver. The sender's message is intended for the receiver, but may experience interference that delays, distorts, or changes the message. In the educational setting, the principal is the change agent (sender) who is attempting to implement an innovation (message) and experiences resistance (interference) when attempting to change the school community (receiver).

Therefore, learning more about change models can provide the principal with a systematic method for examining different aspects of the school community and the experience of change (Wagner & Kegan, 2006). These models reinforce the notion that everything is connected and nothing functions in isolation. In fact, a change in one aspect can immediately impact other aspects of the school community and has the potential to produce significant, positive results (Fullan, 2010; Schmoker, 2006). Therefore, the congruence of all aspects is an important feature of a successful change process.

What strategies can be used to put change models into action?

Step One: Examine steps involved in the change process.

Kotter, author of *Leading Change* (1996), outlined eight steps that organizations need to proceed sequentially through to create major change: (1) establishing a sense of urgency, (2) creating the guiding coalition, (3) developing a vision and strategy, (4) communicating the change vision, (5) empowering broad-based action, (6) generating short-term wins, (7) consolidating gains and producing more change, and (8) anchoring new approaches in the culture (p. 21). The steps were designed to focus attention on needed changes, to introduce new strategies and practices, and to institutionalize the changes into the organization's culture. This section includes a series of reflective questions that can be used as a reflective tool for the principal and as a guide for leading reflective discussions with the staff about the change process.

➢ What force or event will be the school's catalyst for change? Often, principals and school communities find that real change does not occur until "some external force or event provides an opening for profound change" (Fleming, in Hord (Ed.), 2004, p. 20). Failing test scores, a change in leadership, and a change in student demographics are examples of events that have provided the catalyst for producing a sense of urgency and compelling other school communities to move forward.

➢ Who will the principal ask to join the school's guiding coalition? Every movement needs a guiding coalition of individuals who believe that certain actions will produce positive results and will serve as role models for the rest of the school community. As the principal enlists the help of others, those selected should hold both formal and informal positions of

influence within the school community. The principal should include parents or community members who can enlist broader support for the changes being proposed.

➢ What progress has the principal made in developing a shared vision statement and acting upon the strategies for the vision's implementation? A shared vision provides the school community with a common purpose, language, and method for achieving teaching and learning goals that best fit the needs of the students, staff, parents, and community. In chapters two and three, the process for developing a shared vision and a description of various implementation strategies were discussed extensively. The implementation strategies that are selected depend on the scope of the goals and the skill level of the staff.

➢ What mechanisms will the principal put in place to ensure that communication provides an avenue for maintaining focus and attention on the important aspects of the change process? Communication is vital for ensuring that stakeholders (e.g. students, staff, parents, and community members) understand the current state of affairs, the rationale behind the decisions that have been made, the plan of action, and the steps that will be taken to implement the plan. In addition, stakeholders will be kept informed of progress, success stories, and challenges that arise.

➢ What strategies will the principal use to empower broad-based action during the change process? No one person can single-handedly impact an entire school community and generate a sustainable innovation. A successful change process occurs when all members of the school community are knowledgeable, empowered, and accepting of the challenges that present themselves. The principal will need to consistently encourage, support, and build a collaborative community willing to take action on the goals and steps of the implementation plan.

➢ What plans does the principal have to acknowledge "wins" and recognize progress? Kotter (1996) encourages leaders to look for "short term wins" that are "visible, unambiguous, and clearly related to the change process" (p. 123). School wide "wins" such as a reduction in the achievement gap or an increase in the number of students reaching advanced levels will be visible to all. However, the principal should not forget to recognize individual staff members for their contributions and successes. Occasional pats on the back encourage members of the school community to stay the course and provide evidence that changes are working. While these "wins' may only be visible to the principal and the individual concerned, this personal feedback can be very powerful.

➢ How will the principal remind school community members of the direction that the school is headed, the goals that have yet to be reached, and the length of time needed to truly make an impact? Although "short term wins" are important to celebrate, they can also defuse the school community's sense of urgency. Here, the interdependent nature of organizations comes into play, because changing one aspect of the organization "is extremely difficult because, ultimately, you have to change nearly everything" (Kotter, 1996, p. 136). The result is that successful implementation of an innovation requires more time, effort, and energy than was first imagined. Therefore, even when the school community is celebrating short term wins, the reasons behind the initial sense of urgency and the ultimate goals must remain firmly planted in everyone's mind.

➢ What ideas does the principal have for ensuring that innovations become a permanent part of the school's culture? Innovations that are sustained over time are those that become permanent and non-negotiable and typically force opposing practices and attitudes to cease being a part of the culture. One idea is for the principal to include behaviors and actions specific to the

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innovation in the formal evaluation process and evaluate how well staff members are adhering to the implementation plan. "Culture changes only after you have successfully altered people's actions, after the new behavior produces some group benefit for a period of time, and after people see the connection between the new actions and the performance improvement" (Kotter, 1996, p. 156).

Kotter (1996) warned that failure to pay adequate attention to each of the steps would most likely result in a return to the status quo. The principal should accept this reminder to definitely use the eight steps as either a reflective tool or a guide to leading reflective discussions with the staff or both. If the vision the school community has created is worth pursuing, the principal should give attention and energy to the steps involved in the change process to ensure that the vision becomes reality.

Step Two: Introduce the concepts of first and second order change.

An important aspect of change is accepting the fact that change impacts individuals in different ways and some changes are easier to manage than others. A discussion of first and second order change can help staff members identify why some individuals struggle with changes that others accept in stride. An awareness of first and second order change can also shed light on how easy or difficult certain decisions, policies, or new programs will be for the school community to adopt. Finally, these concepts can be used as a coping and refocusing activity to help staff members over hurdles in the process.

➢ First order change is that which occurs when small adjustments to behavior or practice are made to become more effective (Evans, 1996; Marzano, Waters, & McNulty, 2005). For example, all teachers use wait time after posing a question to elicit a response from their students. However, increasing the length of this wait time can dramatically impact student

learning. When a teacher elects to increase wait time and focuses on this aspect of the lesson by counting or watching the second hand on the clock, a first order change is being experienced. The wait time strategy was already in place and simply needed to be increased by two or three seconds.

➢ Second order change is a fundamental change that completely transforms one's behavior or practice (Evans, 1996; Marzano, Waters, & McNulty, 2005). An example of second order change is a teacher's choice to begin using small group reading instruction rather than whole class reading instruction. This change will require the teacher to dramatically alter the way in which the classroom functions during the reading block. Not only will the change impact the dynamics of what occurs during small group instruction, but the change will also affect the routines, activities, and movement of students not participating in the small group. The teacher's choice to use small group reading instruction is a second order change, because the behavior of the teacher and students was dramatically altered during this instructional period.

➢ First order change can be easily reversed, while second order change cannot (see Figure 10: First and Second Order Change). An example of first order change in the home setting might be whether or not to switch the brand of soap being used in the home. If family members try the new brand and do not like its characteristics, they may easily return to using the previous brand of soap. An example of first order change in the classroom is when a teacher experiments with playing soft music while students are writing. If the music distracts too many students, the teacher may elect to return to a silent environment for this instructional period.

Figure 10: First and Second Order Change
Examples in the Home Environment

First Order Change	Second Order Change
Family has a new car.	Parent is getting married.
Bus arrives 5 minutes earlier each day.	Dad is being deployed.
Living room is rearranged.	New baby arrives.
Family has new phone number.	Family receives first pet.
Family has new places at the dinner table.	Grandmother comes to live with family.

In contrast, second order change transforms the person, the setting, or the situation so much that the individual can no longer go back to the way things were before. An example of second order change in the home is when a new baby arrives. Suddenly, the schedule is altered and the relationships between everyone in the family are affected. In the school setting, an example of second order change is the use of the Internet as a research tool. This technology can significantly impact the way students access information and conduct research. Both examples provide a transformation of the people and the setting in such as way that reversing the change is nearly impossible.

➢ A unique aspect of first and second order change is that some changes will be first order for some individuals, while the same changes may be second order for other individuals. For example, the district may adopt a new mathematics series that uses manipulatives and relies heavily on hands-on activities. A teacher who is already using manipulatives during instruction may simply have to increase the use of the manipulatives or may have to learn to use a new type of manipulative. Another teacher, who has never used manipulatives during instruction, will have to learn new strategies for how and when to make use of the manipulatives. The former experiences a first order change, while the latter experiences a second order change.

Differing experiences among participants experiencing the same change will make change in a school setting more difficult. Those who experience the change as a first order change will easily adapt and be ready for additional changes. Those who experience the change as a second order change may need additional training, guidance, and emotional support to successfully adopt the change. The length of time needed for these individuals to feel comfortable and competent will vary.

➢ The principal can help staff members see that change is occurring all the time by asking them to brainstorm recollections of small changes in either the school environment or the teachers' home environments that have occurred in the past month or year. These recollections can provide the staff with reminders that many changes result in small shifts in behavior and do not require much energy or effort to accommodate. Brainstorming activities can also be useful for discussing second order changes that have or will occur in the school environment. The principal could discuss which supports should be in place to help individuals adjust to forthcoming second order changes. The principal will need to make a concentrated effort to ensure that everyone, including students and families, is informed of a second order change, that individuals have the resources necessary to affect the change, and that proper training has been given so individuals will have the skills to competently make the change.

The brainstorming activity can also be useful for discussing second order changes that are occurring in the lives of students and families. When staff members become aware of current or impending changes, additional resources and emotional supports can be provided for the student and/or family. Some sensitive situations may require the help of qualified personnel and/or outside support services to ensure the safety and security of the student.

➢ There may be community changes that fundamentally impact the entire school community. Examples of such changes may include a natural disaster, the closing of a major factory, a military deployment, an influx of immigrants, or a new housing development. Community changes require a different type of response from the school community and will need a focused concentration of energy to adapt positively to the situation. The situation may require a shift in the school's shared vision, a different type of professional development, or a reallocation of the school's resources.

➢ As decisions in the school community are being made, new policies are being discussed, or programs are being considered for adoption, the principal and staff should discuss whether the nature of the change is first or second order. A realization of the nature of the change will help the staff plan and react accordingly. First order changes may require visual reminders, written notices, or friendly nudges to become routine practice. Second order changes will require additional resources, training, support, and guidance, plus more energy and effort to implement.

Step Three: Discuss stages related to accepting change.

In *Managing Transitions: Making the Most of Change*, Bridges (1991, 2003) said the key to understanding change is to recognize the three stages people experiencing change go through: ending, neutral zone, and new beginning. Endings refer to the losses that a person experiences when a change occurs. The individual may have to alter collegial relationships, forego old habits, and stop familiar actions and behaviors. Once a person has made the ending, they move into a "neutral zone". The neutral zone is the "limbo between the old sense of identity and the new. It is a time when the old way is gone and the new doesn't feel comfortable yet" (Bridges, 2003, p. 5). Finally, when the individual has spent some time in the neutral zone,

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he is ready to make a new beginning whereby new behaviors and actions are accepted and practiced.

The following strategies are recommended in Bridges' book, *Managing transitions, 2nd edition,* (2003) and are placed in the context of a school environment.

➢ Individuals often have difficulty with loss, rather than change. Prior to announcing a change, the principal should identify those staff members who will experience loss and determine exactly what they are going to lose. The proposed change may limit a staff member's contact with another colleague or result in a teacher giving up a favorite unit of the curriculum. The principal should acknowledge the loss openly and remember that some staff members may openly show signs of grief for some period of time. Staff members can learn to deal with loss by specifically identifying which parts of current practice will continue and which parts will not. The principal can refocus staff members' energies by reminding them that the innovation addresses the larger issues of increasing student achievement and improving instructional practice. The principal may choose to hold an ending event where teachers say goodbye to old practices, exchange old materials for new, or are given a token that symbolizes what is being lost.

➢ Most individuals do not realize that a neutral zone exists between an ending and a new beginning. This stage allows individuals to reorient themselves within the organization and helps them to redefine their role or purpose. Staff members can be moved through this stage if the principal protects them from unnecessary, additional changes, helps them share common feelings with others, and establishes short-term goals that can be easily met. The neutral zone is actually a time when creative solutions and alternative methods are more easily adapted and developed. This occurs because the traditional methods have been severed and individuals

within the organization are more open to diverse ideas. The principal can encourage discussion and the sharing of new ideas to capitalize on the new solution or alternative methods. Over time, multiple opportunities for professional development will be provided and staff members will be asked to experiment with the new strategies and techniques that have been learned. At the end of this stage, staff members will be emotionally ready for a new beginning.

➤ In order for a new beginning to occur, individuals need to understand the basic purpose behind the change, have a clear picture of what will be accomplished, understand a detailed plan for implementation, and have a part to play in the change process. The purpose behind the change will be the shared vision, along with the goals and objectives that have been developed within the school community. Curriculum mapping, standards and objectives, learner outcomes, and descriptions of instructional strategies will provide staff members with a clear picture of what is expected and what the change will look like. A school plan that includes professional development activities will provide the school community with a roadmap for navigating the change process. Every individual will have a role to play, as staff members improve their instructional practice, review student achievement data, and determine what adjustments in the plan will be made.

The stages of change take into account the "psychological process people go through to come to terms with the new situation" (Bridges, 2003, p. 3). The principal must consider the emotional aspect of how the change process impacts staff members and organization. Bridge's stages of change remind the principal of the importance of focusing on the emotional aspect of the change process.

❀ *How do change models relate to change?*

Presenting change models as a series of steps, types, and stages builds awareness and helps members of the school community analytically view their own change process. Given the model's framework, staff members are able to place their own attitudes and actions in context. Over time, they can determine their place in the process and are able to gauge what efforts and energies will be needed to begin or continue implementing the innovation.

❓ *Reflective questions to consider:*

❑ How will the principal inform school community members of Kotter's steps related to change, first and second order change, and the Bridge's three stages?

❑ What changes are currently occurring or are on the horizon for the staff?

❑ What strategies will the principal develop to help staff members understand the emotional aspects of the change process?

❀ *Recommended reading:*

Bridges, W. & Associates, Inc. (2003). *Managing transitions: Making the most of change. 2nd edition.* Cambridge, MA: Da Capo Press.

Ellsworth, J. (2000). *Surviving change: A survey of educational change models.* Syracuse, NY: ERIC Clearinghouse on Information & Technology.

Kotter, J. P. (1996). *Leading change.* Boston: Harvard Business School Press.
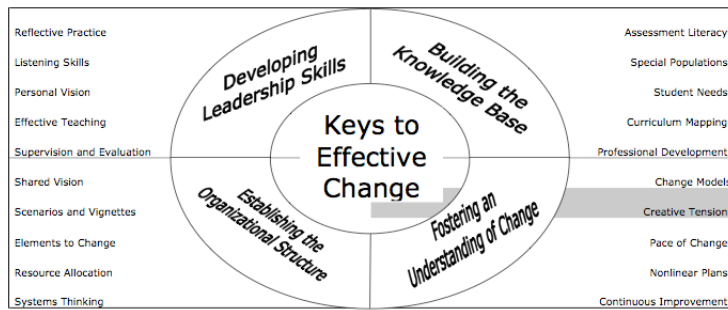
Component Two:
Creative Tension

Ideas won't keep; something must be done about them.
Alfred North Whitehead, Mathematician

Evans, in the *Human Side of Change* (1996), reminds us that "change is a multidimensional process that involves all aspects of the organization: its structure, its politics, and especially its people" (p. 15). The previous component of theories of change focused on change in general and how individuals are affected within that process. This component of creative tension focuses on what can be accomplished at the individual level to change personal behaviors and actions. The strategies in this component include:

• The building of self-efficacy,

• Personal goal setting, and

• The encouragement of positive deviance.

What does the research say about creative tension?

An English study of whole school curriculum in 1992 revealed the commitment educators made to their own learning and the continual improvement of their practice. The researchers found that "teachers who wanted to improve their practice accepted that it was possible to improve, were ready to be self critical, and to recognize better practice than their own within the school or elsewhere and they were willing to learn what had to be learned to be able to do what needed or had to be done" (Nias, Southworth, & Campbell, 1992, p 73).

In essence, Nias, Southworth and Campbell were describing educators who had attained a high level of personal mastery in regard to their instructional practice. The educators were "continually expanding their ability to create the results in life they truly seek" (Senge, 1990, p. 141). They had learned to manage what Senge (1990) referred to as creative tension that exists between what they most want for themselves with what they are currently able to create. Creative tension implies that an individual feels a sense of dissatisfaction with the status quo and is compelled to change current circumstances. The change occurs when the individual assimilates new ideas and new learning into the individual's body of work. In the case of the teacher, the body of work is instructional practice.

Principals who understand creative tension channel the desire to improve one's instructional practice and foster the need to create. By providing support and positive feedback, these principals help teachers recognize their potential and guide them towards continued development of their skills and talents. They find ways to motivate, inspire, and empower others to work collaboratively towards a common purpose.

What strategies can be used to put creative tension into action?

Step One: Build self-efficacy.

Self-efficacy is concerned with "people's belief in their capabilities to exercise control over their own functioning and over events that affect their lives" (Bandura, 1994, p. 81). Self-efficacy affects how an individual thinks, feels, behaves, and is motivated. This in turn affects the amount of effort and persistence an individual will put forth when learning new skills and attempting to reach new levels of performance. Individuals with a strong sense of self-efficacy set challenging goals for themselves and are committed to achieving them. They attribute failure

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to a lack of effort on their part or a deficit in their own skills. They approach difficult tasks as challenges to master rather than as something to be avoided.

Teachers who possess a strong sense of self-efficacy believe in their ability to make a difference in the classroom. (York-Barr, Sommers, Ghere, & Montie, 2006) They accept challenging students and situations with a positive attitude and look for ways to adjust their behavior so that students will experience success. These teachers are often dissatisfied with their current level of performance and continually seek information that will add new insights, strategies, and techniques to their practice.

Self-efficacy is built and supported through collegial relationships where "educators talk with one another about practice, share their craft knowledge, observe one another while they are engaged in practice, and root for one another's success" (Barth, 2006, p. 4). Hoerr (2008) remarked that "when collegiality takes place, not only is the product better but the participants learn with and from one another" (p. 60). Principals can encourage an increase in a teacher's personal self-efficacy and, as a result, reinforce the commitment to improve instructional practice by implementing the following strategies.

➢ One strategy for achieving the goal of raising a teacher's self-efficacy is to help the teacher recognize situations in which mastery is experienced. This can be accomplished by providing the teacher with concrete examples that the principal has observed of specific techniques or activities the teacher has used in the classroom and that have successfully met the needs of the students. The teacher can be asked to describe the specific strategies or techniques that were used to bring about the desired result. The principal will acknowledge the fact that the outcome was achieved due to the teacher's knowledge and skill. When sharing reflections on the observation, the principal can engage the teacher in a focused conversation about a student who

has shown improvement, listen to a success story, or take the opportunity to ask the teacher to reflect upon the situation. These types of focused conversations will help the teacher recognize and build upon successful experiences, thus reinforcing that the teacher is capable and competent in the classroom.

➢ The second strategy for building a teacher's self-efficacy is to encourage collaboration and collegiality between teachers. Chapter 3 included collaborative strategies such as study groups, sharing strategies or techniques learned while attending a recent seminar, meeting with grade level or content area peers, analyzing work samples, and sharing current literature. These activities are effective methods for building self-efficacy and collegiality, because the teachers learn that their colleagues are experiencing success with the same types of students, challenges, and materials. As a result, the teachers are encouraged to overcome their fears and risk using new strategies or techniques.

Collaborative situations are bolstered when teachers look at formative assessment data and realize improvements in student achievement are a result of changes in instruction. Teachers are encouraged to continue refining their practice when everyone in the group agrees to try a strategy presented in an article or book. All members are encouraged to risks and begin to realize they are capable of learning new skills and will be supported, even if the lesson does not go well. General feedback sheets, reflective journals, and conversations focused on instructional practice are methods the principal can use to lend support and acknowledge the effort being expended. Teachers may be reminded that greater effort usually results in greater success.

➢ The collaborative situations of creating study groups, sharing strategies or techniques learned while attending a recent seminar, meeting with grade level or content area peers, analyzing work samples, and sharing current literature provide opportunities to employ the third

strategy for building self-efficacy, persuasion. Sometimes the catalyst for change is a request by the principal or a colleague to try something new. The individual is encouraged and convinced to take small steps toward a bigger change. As each step is attempted, additional encouragement and support is provided. During this experience of taking small steps towards a larger goal, success is viewed in terms of self-improvement.

The establishment of this type of environment gives teachers the latitude to take risks and learn from failures, because their failures are accepted and viewed as learning experiences. As a result, teachers develop the courage to keep trying, even if things do not go well at first. The teachers receive support from their colleagues, learn the importance of perseverance, and develop collegial relationships with one another. Seeking support and perseverance are the habits of an individual with a strong sense of self-efficacy and should be nurtured, if individuals within the school community are to be resilient and accepting of increased challenges.

➢ Rather than holding a formal discussion of the theory of self-efficacy with teachers, the principal can engage them in discussions that link the strategies that have been used with the teachers to similar strategies that can be used with their students. The teachers are encouraged to increase their students' sense of self-efficacy by helping the students recognize situations in which the students have experienced personal mastery of a subject or skill. To encourage collaborative activities, the teachers might provide students with cooperative learning activities, scaffolded instruction, and self-reflection opportunities that will encourage risk taking and develop competence. They will definitely want to tie improvements in achievement to increased effort and perseverance. The principal should continue to remind teachers that students with a strong sense of self-efficacy have increased aspirations and academic accomplishments (Bandura, 1994; York-Barr, et al., 2006).

Step Two: Encourage personal goal setting.

In Chapter 2, the value of having teachers set SMART (**S**pecific, **M**easurable, **A**ttainable, **R**ealistic, **T**imely) goals was discussed (Donohue, 2007). SMART goals focus on either what the teacher hopes to achieve with a class or course load or how the teacher will adopt new strategies and skills. The resulting goals provide the teacher with a framework for action and, if successful, positively impact student achievement.

➢ While SMART goals follow a specific format, there are three different types of goals that can be written. The first is a proximal goal that is time bound. For example, student oriented goals written in this way might include having students write two facts and a question at the end of each class period or practice basic math facts for 10 minutes each day. Increasing wait time whenever a question is asked, holding a class meeting three times a week, and reading professional literature for 30 minutes a day are all examples of teacher behaviors that can be targeted.

➢ Second, teachers may set learning goals that specify which knowledge or skill is to be learned. For example, students may be expected to learn how to search effectively on the Internet or to write a persuasive paper. Teacher goals might include becoming familiar with cooperative learning structures that can be used to increase student participation or practicing a new method for checking long division problems.

➢ Finally, teachers may set a performance goal that describes the expected level of performance. Examples of performance goals for students include solving 100 basic math facts problems in three minutes or less or writing a paragraph that includes a topic sentence, at least four supporting sentences, and a conclusion. Teacher performance expectations examples are

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posing a minimum of three higher-level questions during a class period or providing clear directions with specific behavior and performance expectations at the start of each lesson.

➢ The principal may have teachers produce a portfolio that first describes the goals and then provides evidence that instruction has changed. The portfolio would have three sections: knowledge, application, and impact. In the knowledge section, the teacher includes a list of readings and professional development opportunities that provide new, relevant information. To document the research base for the selected goal, the teacher submits a summary of a key article or an outline of a book. Certificates of participation or agendas from workshops provide evidence of attendance. The application section illustrates the specific behaviors and actions that demonstrate a change in instructional practice. Items include examples of lesson plans or activities, materials used with students, a video of a lesson, or notes from a peer observation. Finally, the impact section includes formative and summative assessment data that demonstrate the impact on student achievement, including student work samples; tables or graphs of scores from assignments; quizzes, and tests; results from summative data; and student reflections.

➢ Documenting a change in instructional practice showcases the teacher's skills and continues to build self-efficacy. Depending on the evaluation model used in the school, the portfolio may or may not be used as a part of that process. Teachers should be allowed to work on the same goals for three to five years, because higher achievement levels are often seen only after sustained work on an innovation. Teachers can be asked to share their successes by encouraging them to write articles, prepare conference proposals, or deliver a professional development session for their colleagues. These professional activities reinforce collaborative practice and demonstrate the principal's belief in the teacher's abilities.

➢ Goals can be highly motivational if they stimulate an individual's desire to know more and create something new. When an individual receives positive feedback from colleagues or from the intrinsic feeling generated from doing a job well, the new behaviors are reinforced and the individual is more likely to continue acting in this manner. The principal's goal is to create teacher learners who feel compelled to improve and continually strive for mastery.

Step Three: Identify and encourage positive deviance.

Positive deviance is "an approach to improvement that is based on the premise that solutions to community problems already exist within the community" (Pascale, Millemann, & Gioja, 2000, p. 176-177). In every community, there are a few select individuals who somehow succeed where others fail. The goal of positive deviance is to identify these individuals, learn what behaviors are contributing to their success, and share this information with others.

➢ Positive deviance can be applied to the school community by identifying teachers and students who are experiencing phenomenal success. The principal will need to learn what those individuals are doing that is causing this success. Then, the principal will share this information with others within the school community, so that others can duplicate the effort and also experience success.

➢ Information provided on the Positive Deviance Initiative website, http://www.positivedeviance.org, included a series of steps for identifying creative solutions that are occurring within the school community. The principal will begin by defining the problem**.** In the school community, the principal and stakeholders will need to define the specific problem that needs to be addressed. Second, the principal will need to define what a successful solution/outcome would look like. Third, the principal will determine whether there are any teachers or students who are already exhibiting the desired behavior or achieving at the desired

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level. Fourth, the principal will need to discover uncommon practices/behaviors that enable these individuals to outperform others. Fifth, the principal will design and implement activities that allow others within the community to learn about and practice the new behaviors. Sixth, the principal will discern the effectiveness of the activities or behaviors through student achievement data. Finally, the principal will share successes with other school communities so that they might learn from this situation and find solutions within their own communities.

➢ The process sounds very simple, but actually has some profound implications. Schools that fail and schools that succeed have school cultures that feed failure or success. If solutions are found within a failing situation, the principal will find that the impossible is indeed possible. This may result in sharing "truths" that others do not want to hear and will require some individuals to discard their mental model of the school community. These staff members will then have to follow a new script that will redefine who they are and what they do. In addition, they will have to muster the courage to try new strategies and learn their way forward.

➢ As the principal begins a search for success, remember that while schools have many common factors, each individual school is unique due to the combination of teachers, students, families, the district, the surrounding community, and all the other factors that make up the school community. In some schools, certain strategies, techniques, and programs will work wonders, while others will not. The challenge is to discover exactly what will work the best for the school community and once this is learned, to "embrace this potential, really grasp what you are capable of achieving" (Sparks, 2001, p. 52).

How does creative tension relate to change?

Quinn (2000) stated, "The most important changes require the creation of a social movement. It is, in fact, more accurate to say that change is a social movement. The first step in creating a social movement is having a single actor who asks questions: What is the right thing to do? What result do I want? How do I behave in a more authentic way?" (pp. 53-54). When individuals build self-efficacy, set personal goals, and embrace positive deviance, these are exactly the questions they ask of themselves and others.

Reflective questions to consider:

❑ What strategies can the principal use to build self-efficacy?

❑ When teachers set personal goals, will these goals be set individually or will the principal allow collaborative teams to work towards the same goals? How will the principal help teachers to monitor progress and refine their goals?

❑ How will the principal introduce the concept of positive deviance and its impact to the school community?

Recommended reading:

Bandura, A. (1994). *Self-efficacy.* In V. S. Ramachaudran (Ed.), *Encyclopedia of human behavior* (Vol. 4, pp. 71-81). New York: Academic Press.

Pascale, R. T., Millemann, M., & Gioja, L. (2000). *Surfing the edge of chaos: The laws of nature and the new laws of business.* New York: Three Rivers Press.

Senge, P. (1990). *The fifth discipline.* New York: Doubleday.
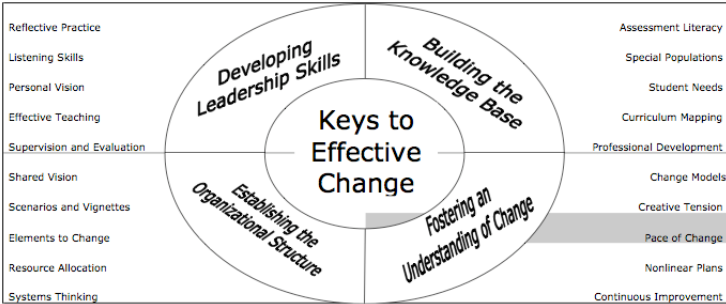
Component Three:
Pace of change

Begin doing what you want to do now. We are not living in eternity. We have only this moment, sparkling like a star in our hand -- and melting like a snowflake. Let us use it before it is too late.

Marie Beynon Ray, Author

The pace of how slowly or quickly an innovation will be adopted is difficult to predict, because there are many factors unique to the school community that affect the change process. Some situations require rapid change, while others warrant slow, steady, incremental change. The strategies within this component will provide the principal with techniques for monitoring the pace of the school community's change process and include:

• An application of Ely's environmental conditions of change,

• Personal commitment to the innovation, and

• Use of the principles of internal control psychology.

What does the research say about the pace of change?

Elmore and McLaughlin told us that "schools do change, but through subtle shifts over time" (in Evans, 1996, p. 292). The pace of change will depend on environmental factors within the school community and the attitudes and commitment level of the people in that community. The principal will find the "intrinsically optimal rate of growth" for the school community (Senge, 1990, p. 62). Leadership will be needed to balance the amount of challenge posed with the support provided to keep the change process on course and progressing.

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Principals who achieve this balance will know how much pressure the system can take. They will know when to challenge and when to support or encourage. As the change process moves forward, principals will "help people to see change and its losses as part of an expectable, inevitable sequence of events" (Evans, 1996, p. 222). In addition, they will provide teachers with professional development opportunities so the teachers will have time "to consider, discuss, argue about, and work through the changes in their assumptions" (Evans, 1996, p. 69). These principals will monitor the pace of change until the innovation becomes the standard mode of operation.

Not only will principals attend to the needs of the individuals within the school community, they will focus on their own learning and incorporate changes into their own practice. As the principals' behavior and actions change, others are encouraged to follow and change as well. The more attuned principals are to the dynamics of the school community, the better able they will be to provide appropriate challenges and supports as the needs within the school community shift.

What strategies can be used to put the pace of change into action?

Step One: Refer to Ely's environmental conditions of change.

Several environmental factors must be taken into account before the school community will be prepared to move forward with an innovation. Ely's Conditions of Change (1990, 1999) provided a list of eight conditions to gauge how prepared the staff is, whether the correct resources have been procured, whether the appropriate supports are in place, and how quickly the school community will be able to proceed with the intended change.

➢ The first condition looks at the school community's satisfaction with the current state of affairs. In order for a school community to voluntarily begin a change process, stakeholders within the community must understand why change is necessary. A sense of urgency due to a compelling event or situation will certainly provide the school community with an impetus to move forward. If this is not the case, stakeholders may need additional information that convinces them of the need for change. A shared visioning process or focused conversations using scenarios or vignettes that describe the current situation will help stakeholders realize why innovation is needed and encourage them to act.

➢ The second condition relates to the knowledge and skill level of the individuals who will be implementing the innovation. Many innovations require specialized skills, knowledge of new strategies, and familiarity with cutting edge practice. Change cannot begin until the staff members possess the requisite knowledge or skills. Therefore, staff members must have already participated in appropriate professional development activities or be ready to engage in such activities prior to beginning implementation of the innovation. The extent of professional development needed will depend on whether the change is of the first or second order. Second order change will require more extensive training and support.

➢ The third condition is whether or not the appropriate resources are in place for implementation to occur. In this case, consider whether or not the proper infrastructure, equipment, teaching materials, and the right people have been secured. Of additional importance is whether resources are adequate and have been equitably distributed across the school community. Many change processes are doomed because individuals are discouraged by a lack of resources and simply revert back to previous practice.

➢ The fourth condition looks at the amount of time individuals are given to learn, adapt, integrate, and reflect on the innovation. To satisfy this condition, collaborative activities can be employed that encourage teachers to gain knowledge, try new skills, discuss successes and failures, analyze work samples, review assessment data, and reflect on what is working and what needs further improvement. These types of activities have been discussed repeatedly throughout Chapter 3 and the first part of this chapter. The principal will use these strategies to design an appropriate, timely professional development plan. The plan must include methods for helping new staff members can the knowledge and skills that others have already learned.

➢ The fifth condition examines the role incentives play in encouraging individuals to adopt and implement the innovation. Incentives may include both intrinsic and extrinsic rewards, but also depend heavily on whether the individual views the innovation as being advantageous or not. Some teachers are quite successful with their present practice and do not see the advantage of implementing a new strategy that will serve the same purpose. Therefore, conversations regarding these advantages and the relative strength of the new practice will be needed before they will be convinced to abandon previous practice and fully implement the new innovation.

➢ The sixth condition is whether or not participation in the change process is expected and encouraged will be determined by the level of the teachers' participation. The more attention given to the innovation in regard to professional development, classroom observations, discussions on how well the innovation is working, and support given those not experiencing success. The greater the principal's expectations for implementation, the more likely teachers are to adopt the innovation. Teachers will also have greater ownership of the process, if they have been involved in the identification of the problem, the discovery of strategies that can

positively impact student achievement, and the development of the implementation plan. Their investment of time and energy ensures greater commitment to the innovation and will increase the pace of change.

> The seventh condition examines ongoing endorsement of an innovation and the overall change process. While the previous condition looked at day-to-day encouragement and support, this condition refers to the commitment needed to support an extensive change process and institutionalize the innovation. Long-term commitment to the process is demonstrated as the principal continues to provide additional resources, deliver ongoing professional development, and monitor progress in terms of student achievement and improvement of practice. The principal's commitment bolsters the school community and encourages individuals to adopt the innovation sooner rather than later.

> The eighth and final condition refers to the emotional support provided to the school community throughout the change process. A principal's presence is noted during professional development activities and throughout the school when observing teachers and students in action. Enthusiasm for the change process will inspire stakeholders as success stories are shared, increases in student achievement are announced, and teachers are congratulated for improvements that have been made to their instructional practice. Passion is shared as the principal communicates the vision and goals that the school community is striving to meet. These leadership actions encourage others to continue the hard work of change.

Step Two: Express a personal commitment to the change.

Fullan (2003) reminds us that individuals must "behave their way into new ideas and skills, not just think their way into them (p. 15). The school community will look to the principal for an endorsement before they will be ready to embrace a proposed change. Commitment to the

innovation and the change process in general can be expressed in a number of ways. However, before taking that step, the principal must be convinced that the change being asked of others is the right thing to do. Ask the following questions: Will the change allow school personnel to do their job more effectively? Will the change provide students with the opportunity for increased academic success? Will the plan put in motion a series of events that will position the school for positive future changes? Is this change the right change for the school community at this time and place? If the principal can answer yes to questions such as these, that conviction is ready to share with others. If the answer to any of these questions is no, perhaps the change is not warranted and should be reconsidered.

➢ The school community should be provided with outward expressions of the principal's commitment to an innovation and the need for change. Devoting resources to the innovation over an extended period of time is an obvious commitment. The principal can communicate financial information to stakeholders by noting resource allocations with budget reports that list current and future expenditures. If projections can be made or timelines created that illustrate how resources will be distributed over a two to three year period, this will help stakeholders realize that the innovation will be supported in future years.

➢ A second way to demonstrate a commitment to the change process is to provide staff with ongoing professional development opportunities. Teachers can be given professional development calendars that list dates, topics, and events for the upcoming year. The calendar will provide teachers with a visual map for determining how knowledge will be acquired, strategies will be learned, practice will occur, and progress will be monitored. In addition, this overview will signal the expectation that everyone will participate in the new learning. Often,

calendars can only be developed one year at a time, as the rate at which teachers are able to adopt new strategies may significantly alter future plans.

Remember that a principal's participation in professional development activities and personal efforts to implement the innovation are especially motivating. When observing in classrooms, plan visits to classrooms where the teacher is implementing the new strategy or technique. If possible, the principal should circulate among the students and personally implement the strategy. The principal may ask the teacher to observe and critique the principal's efforts. This signals a willingness to learn, collaborate, and receive feedback. In addition, the teacher receives the message that the principal values and respects the teacher's expertise and professionalism.

➤ A third way to demonstrate a commitment to the change process is to monitor student achievement data to determine whether the innovation is having an effect or not. A focus on formative assessment data will help teachers link their instructional practice to student achievement. The principal will schedule monthly meetings with grade level or content area teams for this purpose. Teachers should be acknowledged and congratulated on their efforts to implement new techniques and strategies. If the principal finds examples of positive deviance, capitalize on these instances of excellence by encouraging these individuals to share the particulars of what is happening in their classrooms. If improvements are not evident, determine what adjustments can be made to the strategy and reinforce the idea that all teachers are learning more about the innovation. Attention and encouragement reminds teachers that failure is a part of learning and adjustments may occur before growth is realized.

➤ Members of the larger community around the school community may ask for an explanation of the innovation and change that is occurring at the school. If this is the case, the

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principal should provide an explanation of the change and share the benefits the school community hopes to gain. The message should be prepared ahead of time so that the explanation is clear, direct, and jargon-free. When preparing talking points, the principal should be sure to include the research or rationale behind the change, the resources involved, professional development opportunities, and the expected results.

If the principal expects opposition to the ideas presented, rehearsing the message in front of the mirror may prevent the principal from being flustered when delivering the message. The principal may also want to ask a trusted colleague to play the "devil's advocate" and help prepare for these opposing viewpoints. The idea is to be calm, positive, and convincing. These behaviors will assure the audience that the change is well intentioned and that the principal is capable of leading the school community through the change process.

Step Three: Use principles of internal control psychology.

In Quinn's book, *Change the World* (2000)*,* the reader was asked to take "a closer look at the needs of the people we are asking to change" (p. 202). Internal control theory states that individuals are "driven to connect, to be competent, to make choices, to have fun, and to be safe" (Sullo, 2007, p. 156). The principal can use internal control theory to create an environment that satisfies teachers' needs and, therefore, creates an environment more conducive to change.

➢ According to internal control theory, individuals purposefully act to fulfill their collaborative and competitive needs. The collaborative need fulfills an individual's desire to belong and have fun. Teachers cite the need to collaborate and connect as the "strongest predictor of job satisfaction" (Beaudoin & Taylor, 2004, p. 113). The factors that might be put into place to satisfy this need include: (1) establishing as many opportunities as possible for teachers to connect with one another; (2) providing teachers with common planning time,

collaborative work sessions, and opportunities to interact informally throughout the day; (3) planning special events such as informal gatherings, picnics, or celebrations; (4) during staff meetings, encouraging staff members to share humorous stories, personal anecdotes, and family news; and (5) creating bulletin boards that allow staff members to share photographs, success stories, compliments to one another, and celebrations.

➤ Internal control theory also reminds the principal that individuals have a competitive need for freedom and power. Staff members can gain freedom and power within the school community through choice and recognition of their competence. While institutional goals provide focus and direction, teachers can be empowered to discover the most appropriate path for reaching these goals given their own skills, students' abilities, and available resources. A focus on differentiating and meeting the individual needs of the students provides teachers with the freedom to actively create and design lessons that address these needs. Personal goal setting, voluntary study groups, opportunities to select from a variety of professional development activities, and school or district-wide committee membership all provide staff members with an opportunity to control their professional growth.

Recognition is "essential to job satisfaction, motivation, and performance" (Evans, 1996, p. 254). While teacher recognition from the principal in the form of notes, positive comments, compliments, and public kudos is vital, others should be encouraged to recognize staff members' hard work and competence. Staff members should be given the opportunity to thank and compliment their colleagues either publicly or privately. Parents and students should be encouraged to write notes of appreciation and support. Personal recognition is often very meaningful to teachers.

➢ To satisfy an individual's need to be safe, foster an environment that supports risk-taking. The principal will recognize and reward those who experiment with new practices by tying resources to innovative practice. For example, if the goal is to have staff members increase their use of technology as an instructional tool, the principal could provide an additional classroom computer, a digital camera, or a flash drive to those who do so. Another option for encouraging risk taking is for the principal to teach staff members to view failures as learning experiences. If something is not working, the principal can help the staff member reframe the experience by looking at the situation in another context. If the concern is a student who is not achieving, the principal can help the staff member build on the student's strengths. The school community should be a place where individuals feel they can step outside their comfort zone and do so without compromising their integrity or feeling of self-worth.

These actions reflect the theories of internal control psychology. They satisfy an individual's need to create and belong, to have control over daily life, and to do so in a safe, enriching environment. These positive experiences encourage feelings of self-worth, increase the potential for lasting improvement, and position an individual to be more accepting of change. This, in turn, increases the rate at which innovation and change can occur.

How does pace of change relate to change?

Evans (1996) reminded us that, "leadership is envisioning mission, developing strategy, inspiring people, and changing culture" (p. 148). The environmental conditions of the school community, a personal commitment to the change process, and an understanding of principles of internal control psychology help a principal apply pressure and support to various aspects of the school community and thus, change the culture of that school community. In turn, this enables

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the principal to move the change process forward person by person, to occasionally retrench and find additional resources when necessary, and to forge ahead as long as the environment is conducive to the proposed change.

? *Reflective questions to consider:*

❑ Which environmental conditions will be addressed so that the pace of change is pushed to its maximum capacity?

❑ What other ways can the principal outwardly express an appreciation to staff members committed to the intended change process?

❑ How can the principles of internal control psychology be shared with teachers so that they might use the principles with their students?

Recommended reading:

Evans, R. (1996). *The human side of change: Reform, resistance, and the real-life problems of innovation.* San Francisco: John Wiley & Sons, Inc.

Quinn, R. E. (2000). *Change the world: How ordinary people can achieve extraordinary results.* San Francisco: John Wiley & Sons, Inc.

Sullo, B. (2007). *Activating the desire to learn.* Alexandria, VA: Association for Supervision of Curriculum and Development.
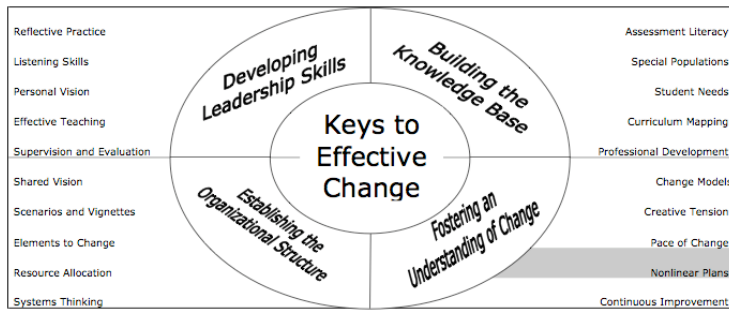
Component Four:
Nonlinear Plans

If anything is certain, it is that change is certain. The world we are planning for today will not exist in this form tomorrow.
Philip Crosby, Businessman and Author

Traditional school improvement plans typically incorporated strict timelines and a list of specific, lock step directions for adopting an innovation and implementing a change process. However, a traditional plan cannot be easily modified if changes occur with students, staff, or families. This component looks at the dynamic environment of a school community and will provide the principal with ideas for developing nonlinear plans that are more responsive to the school community's needs by including:

• A plan of activities and events,

• Decision points that will be used to monitor the process, and

• Tips for identifying and enlisting key individuals into the process.

What does the research say about nonlinear plans?

Sacerdoti (1975), with the Artificial Intelligence Center at the Stanford Research Institute, examined a "new information structure called a procedural net that represents a plan as a partial ordering of actions with respect to time" (p. 1). The nonlinear plan includes a semantic net of nodes or decision points. Each decision point contains both declarative and procedural information that permits parallel actions and gives the organization flexibility in the planning

process. As decision points are reached, the pending goals and current factors are reviewed to determine the best possible plan of action. This social engineering science "emphasizes nimble reactions and has a focus on broadly understanding and coping with the world as it unfolds in real time" (Pascale, Millemann, & Gioja, 2000, p. 105).

In the school environment, the use of a nonlinear plan is advisable. Change is typically connected to teaching and learning. The individual needs of students and teachers, available resources, family dynamics, district initiatives, and community pressures are all factors over which the school has little or no control, and often affect the rate and degree to which change can occur. Therefore, a plan with the flexibility to change directions or backtrack to put new supports in place is a manageable one. "When complex systems change, there are at most two strategic priorities, executing the right move, or getting ready to execute the next move at precisely the right time" (Reeves in Hargreaves and Fullan, 2009, pp. 242-243). Just as teachers adjust lessons and reteach concepts when they discover the students are not as prepared to learn a new concept as they had assumed, the principal will be able to monitor the change process to determine whether the process is moving forward as planned and whether adjustments need to occur.

Principals who operate in this manner will find they are more responsive to the needs of their school community. Being responsive provides the principal with the opportunity to review the steps that have been taken and assess whether these steps have accomplished what they were intended to do. If not, new professional development activities can be put in place, encouragement for those who are floundering can be provided, and additional materials or equipment can be purchased to move the process forward. Some members of the school community may be ready to jump to the next step, while others may need additional support to

reach the same level of comfort and competence. These types of parallel actions move everyone to the next level and ensure that the innovation is being adopted across the school community, rather than in isolated pockets. A nonlinear plan will more accurately reflect the needs of and progress within the school community.

� *What strategies can be used to put nonlinear plans into action?*

Step One: Create a plan of activities and events.

The process of creating a plan of activities and events will involve determining the teaching and learning goals, forming a writing committee, selecting strategies that address the goals, writing the plan, designing decision points, and revising the plan as needed. The writing committee will be a group of individuals within the school community who have expertise in the targeted areas or who may have novel ideas that should be considered. The committee can be a combination of appointees and volunteers. The plan of activities and events should include resources or materials that are needed, a timeline, responsibility for delivering professional development activities, benchmarks, formative assessment activities, and achievement results. The timeline should be used as a guide that allows adjustments in the plan.

➢ The school community will be ready to create a plan of activities and events after a shared vision has been developed and elements within the school program that need to be changed have been identified. If the school community has not completed these tasks, Chapter 2 describes a process for leading stakeholders through a shared visioning process and provides suggestions for identifying elements to change. The suggestions provided in this component assume that both tasks have been accomplished.

➢ The principal can start the process of creating an action plan by listing the elements within the school community that need to be changed. For each element listed, a corresponding teaching or learning goal will be written. For example, if the school community has determined that students have trouble with the concept of linear measurement, a goal could be written to present a common vocabulary across the school, have the students practice measuring with rulers and yardsticks, and provide periodic review. The responsibility of writing the teaching and learning goals can be delegated to another member of the school community. A writing committee is not necessary at this point, because the corresponding teaching or learning goals should be fairly straightforward.

➢ When the writing committee meets for the first time, review and edit the teaching and learning goals so that the goals are clear and concise. The rest of the meeting should be spent discussing how strategies will be selected to address the goals. Some committee members may be aware of, and even using, highly effective strategies that can be used across the school community. Alternatively, the committee may decide they do not have enough expertise in the targeted area and elect to research appropriate strategies. Selected strategies should address instructional strategies that will be used with students and professional development strategies that will teach the instructional strategies to the teachers.

For example, if the school community has decided the improvement of students' writing skills across the curriculum is an appropriate plan of action, the first step might be to research available curriculum for purchase or the development of an appropriate scope and sequence of lessons. The second step would be to focus on the teachers' skills sets in regard to holding the same level of expectations for students' quality of work, techniques for helping improve specific aspects of their writing (e.g. sentence fluency, word choice), and deciding the frequency at which

students will be expected to write. This step may require that staff attend workshops or conferences and participate in staff development sessions over a longer period of time. As teachers become comfortable with aspects of the new writing curriculum, they will need additional training sessions to expand their instructional practice and learn new strategies for improving students' writing. The nonlinear aspects of this example might arise from new state directives at specific grade levels, a larger than expected turnover in staff or students, or learning that students do not have the prerequisite skills necessary to follow the planned scope and sequence.

Another example could be to increase the math computational abilities of students. Instructional strategies may include practicing math facts daily with specific materials and allowing students to drill math facts on the computer. However, the committee may realize that even with these strategies in place, some students will need direct instruction to learn the math facts. The committee then researches and finds TouchMath, a multi-sensory approach to learning math facts, which is then included as another strategy for addressing math computation. Professional development activities are subsequently planned for teachers to learn about TouchMath, the techniques involved, and how to use its materials and visuals.

➤ The final teaching and learning goals and the corresponding strategies should be shared with the entire staff. The principal should encourage as much participation in the development of the goals and strategies as possible and allow staff members to provide input and make suggestions that will be incorporated into the plan. When staff members are asked to invest time and energy into the change process, interest in the innovation is built and encourages the staff members to take ownership of the process. This is an important aspect of meeting staff members' internal control needs for collaboration and freedom of choice.

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➢ When the teaching and learning goals are in place, the writing committee is ready to write the plan. Figure 11: Template for Plan can be used to list the teaching and learning goals and the corresponding strategies, along with the materials and resources needed to effectively deliver these strategies. The list should indicate which materials will need to be purchased and which are already in the teachers' possession. On the template, the column for the people responsible will include those delivering professional development or monitoring progress on that specific strategy. Formative assessment activities listed on the template might include writing activities, fluency probes, running records, projects, unit exams, or quizzes. While all staff members should use the same overall activities, activities may be adjusted to better meet specific grade level or content area needs.

Figure 11: Template for Plan

Teaching & Learning Goals and Strategies	Resources & Materials	Person(s) Responsible	Formative Assessment Activities	Benchmarks & Results

Timeline information should be included in the appropriate areas in order to establish guidelines.

The last section of the plan will be adjusted over a period of time. In this section, benchmarks and achievement results indicate the students' expected proficiency levels. Student

achievement data can be used to determine how much growth is feasible within a specific amount of time. While staff members and students might be discouraged if benchmarks are not made, the targets should be at challenging levels to create a sense of urgency for moving forward. The proposed timeline should include when professional development activities will occur, when teachers should begin implementing certain instructional strategies, when formative assessments will be delivered, and when benchmarks and results will be assessed.

The resulting plan may seem very linear at this point. However, the next step, designing decision points, provides the school community with a mechanism for creating a plan that fluctuates and deviates from the original. Revisions occur based on this information and result in a plan that ebbs and flows with the needs of the school community.

Step Two: Build in decision points to monitor the process.

Decision points provide the school community with a mechanism for evaluating the plan to determine if adequate progress is being made. The decision points occur at points after which implementation is to have occurred or benchmarks were to have been met. These decision points provide individual teachers with the flexibility to move forward as quickly as their comfort and competence with the innovation allows. In addition, the principal can use the decision points as indicators of whether or not individual teachers need extra support and training to become more competent and comfortable. These parallel actions move everyone to the next decision point, just at different speeds.

➢ Two tools, Levels of Use and Innovation Configuration, developed out of the Concerns-Based Adoption Model (CBAM) research (Hall & Hord, 1987; Hord, Rutherford, Huling-Austin, & Hall, 1987; Loucks-Horsley & Stiegelbauer, 1991) allow a school community to examine an individual's behavior to determine how extensively an innovation is being put into

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practice, which component parts of the innovation are being used, and to what degree the

components are being used. These tools provide data for when decision points are reached and

indicate the amount of support and training needed by individual teachers.

> The Levels of Use (LoU) tool refers to the "behaviors and actions of the users of an

innovation through various stages" (Hord, Rutherford, Huling-Austin, & Hall, 1987, p. 54). The

levels include:

- Level 0   Non-use: The individual has little or no knowledge of innovation.
- Level I   Orientation: The individual is learning about the innovation.
- Level II   Preparation: The individual is preparing to use the innovation.
- Level III   Mechanical Use: The individual is focusing on the day-to-day use
                of the innovation with little reflection.
- Level IVA   Routine: Individual uses the innovation in a routine manner with
                few changes.
- Level IVB   Refinement: The individual varies the use of the innovation to meet the
                needs of students.
- Level V   Integration: The individual works with colleagues and adds related
                activities to the innovation.
- Level VI   Renewal: The individual makes major modifications to the innovation and
                explores new goals.
                (Hord, Rutherford, Huling-Austin, & Hall, 1987, p. 55)

To use this tool, the principal, will lead focused interviews with individual teachers using

an informal interview chart. Each teacher will be asked a series of questions that range from

"Are you using the innovation?" to "Are you planning on making major modifications to the

innovation?". Informal interview charts are available in Hord, Rutherford, Huling-Austin, and

Hall's *Taking Charge of Change* (1987) book on page 63, on the internet at

http://www.iittl.unt.edu/surveys/demos/CBAM.htm, or in Hall, Dirksen, and George's manual,

Measuring Implementation in Schools: Levels of Use (2006).

> The Innovation Configuration (IC) tool is used to determine whether a teacher is

using the components of the innovation and the degree to which this use is occurring. Either the

principal or a designee can design a chart or a rubric that includes the critical and recommended components of the innovation the teachers are implementing. Each component is described with concrete, observable behaviors that range from the ideal, acceptable, and unacceptable use of the innovation. Teachers read the chart and rate themselves according to the descriptions provided. Once all the teachers have completed the rubric, the data is charted by component and ideal use level in terms of a total number or percentage of the staff. This allows the principal to determine which components of the innovation are being used and how well or poorly that particular component is being implemented. Example charts may be found by conducting an internet search of innovation configuration charts or in Hord, Stiegelbauer, Hall, and George's manual, *Measuring Implementation in Schools: Innovation Configurations* (2006).

➢ As the teachers answer questions during the informal interview or complete the IC rubric, their level of use of the innovation and its component parts is revealed. This data indicates who will need additional information, training, support, or collaborative help to achieve the established teaching goals. Modifications can then be made to the plan that will help the school community ensure that the selected innovation and all of its component parts are actually being used. This evaluation is important for determining whether or not the correct innovation was selected and whether the innovation is having a positive effect on student achievement or not.

➢ An examination of student achievement data is necessary when benchmark and results decision points are reached. If the innovation has been implemented to its fullest, this information will help the school community determine if the strategies are effective with the students and whether or not the students are achieving. Students' formative and summative assessment data should be compared to the established benchmarks. If students' scores indicate

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they are not achieving, the principal will hold conversations with the students' teachers to discover why. Perhaps the students did not have the appropriate skills to master the concept or perhaps the assessment did not match what was taught. Whether students have not reached or have exceeded the set benchmark, a parallel path must be created that will provide remedial support for those not achieving and enrichment or acceleration for those who are. This flexibility allows the school community to provide the students with the appropriate skills, resources, and support to meet the learning goals.

Step Three: Identify and enlist the help of key individuals.

Principals should realize that often "change spreads throughout the system on a distinctly nonlinear communication path of nodes, hubs, and superhubs" (Reeves, 2006, p. 34). In a school community, a node is one staff member, a hub is a group of staff members assigned to a grade level or content area, and a superhub is an individual who is regularly contacted by other staff members for information and advice. In every school, superhubs exist and greatly influence the culture and climate of the building.

➢ The principal can locate superhubs by asking staff members to write down the name of the one individual on the staff they regularly go to for work-related help (Reeves, 2006). Alternative lists can be created for those individuals who are approached for emotional support or those with whom staff members share their success stories. Once this information has been submitted and analyzed, the names of the superhubs within the building will emerge.

➢ The next task is for the principal to enlist the superhub's help and leadership to guide and shape the culture of the school and other teachers' instructional practice. Depending on the individual, this help may or may not be formalized by offering the individual a leadership position as a department head, content area leader, grade level chair, or committee chair. For

those superhubs who are strong instructional leaders, the principal will invite them to present ideas, lesson plans, and classroom management tips with others. Some individuals may be comfortable sharing these ideas during professional development, grade level, or content area meetings. Others would prefer to share this information informally with individual teachers who need the support. The principal will simply ask the teacher to determine which method the individual prefers.

➢ Some superhubs may prefer to serve as a peer coach to their colleagues. The principal can provide time within the school day for the two teachers to observe one another by hiring substitute to cover each classroom. First, the struggling teacher can spend time in the superhub's classroom to observe the superhub in action. Next, the superhub can observe the struggling teacher and offer suggestions for improvement. If possible, the principal could send the two individuals to a workshop or seminar together. Both teachers will benefit from the new information and the superhub will be able to share how the ideas fit into the current instructional program. Proximity in the two teachers' rooms and common planning times will increase the likelihood that the peer coaching will be sustained and effective.

➢ There are superhubs who have an intuitive feel for the emotional pulse of the school community. The principal can enlist this superhub's help in determining whether the teachers are experiencing success, frustration, or despair when implementing the innovation. The superhubs can help the school community celebrate success by recognizing teachers' efforts, noticing students who have increased achievement, and identifying positive happenings across the school. They can also help relieve pressure by reassuring those who are stressed, providing additional support for those who are struggling, and relaying information about what is worrying staff members. For example, if a staff member is experiencing despair over an unruly class or

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student, or is struggling to meet expectations, support and encouragement will definitely be needed to rebuild the staff member's confidence and sense of self-efficacy. Superhubs help the school community immensely by offering emotional support to other staff members.

➤ Other superhubs enjoy planning celebrations and recognizing others. The principal can enlist the help of these individuals to plan parties, potluck suppers, birthday celebrations, and showers. These superhubs may also enjoy maintaining bulletin boards of success stories, staff accomplishments, and student success stories. Fun information about the staff might be posted as well and could include photographs of vacations, holiday celebrations, children, weddings, baby pictures, and more. Some individuals enjoy posting a question of the week such as "What's your favorite TV show and why?" or "What is your biggest pet peeve?" to help the staff learn more about one another.

The principal will establish as many opportunities as possible for superhubs to share their talents with others by demonstrating best practice, coaching others, providing emotional support, celebrating successes and planning fun events. These efforts keep staff morale high and help ensure that the principal is able to focus attention on the direction of the change process and implementation of innovations across the school community. In order for an innovation to become routine, the staff must be invested and connected to the process and superhubs provide the additional support that allows this to happen.

❧ *How do nonlinear plans relate to change?*

Nonlinear plans are designed to be responsive to the needs of the school community. As decision points are reached, opportunities for adjustments and modifications to the change process occur. This constant refinement of the plan results in an accurate picture of what has

taken place, what accomplishments have been realized, and where the school community is headed in the future. The decision points also allow the school community to "celebrate short term wins" and "anchor the change in the culture" (Kotter, 1996, pp. 122, 134). Both are important aspects of a successful change process.

? *Reflective questions to consider:*

❑ What time frame will be given to the writing committee? Will this work occur in the spring and be implemented the next fall or will the plan be implemented while being written?

❑ If the district has already established benchmarks, will those benchmarks be used or adjusted to meet the needs of the students in the school community?

❑ Leadership capacity is the broad-based skillful participation in the work of leadership (Lambert, 2003, p. 4). Once key individuals in the school community have been identified, how will the leadership capacity of these individuals be increased?

Recommended reading:

Hall, G. E., Dirksen, D. J., & George, A. A. (2006). *Measuring implementation in schools: Levels of use.* Austin, TX: SEDL.

Hord, S. M., Rutherford, W. L., Huling-Austin, L., & Hall, G. E. (1987). *Taking charge of change.* Alexandria, VA: Association for Supervision and Curriculum Development.

Hord, S. M., Stiegelbauer, S. M., Hall, G. E., & George, A. A. (2006). *Measuring implementation in schools: Innovation configurations.* Austin, TX: SEDL.

Reeves, D. B. (2006). Of hubs, bridges, and networks. *Educational Leadership, 63*(8), 32-37.

Concerns- Based Adoption Model (CBAM): Levels of Use of an Innovation
http://www.iittl.unt.edu/surveys/demos/CBAM.htm

Positive Deviance Initiative
http://www.positivedeviance.org
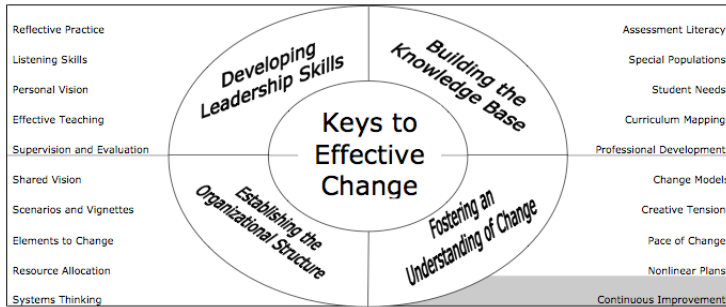
Component Five: Continuous Improvement

In complex organizations the goal is not merely to win, because in complex organizations there is no finish line, no ultimate battle, or no final destination. Instead, there is a continuous series of challenges that call forth the intellect and ingenuity of leaders and every element of the system.

Douglas B. Reeves, Author

Change is a constant in the school environment as new staff members join the school community in the fall and new students arrive throughout the school year. Other changes occur as emerging initiatives capture the principal's attention and achievement targets increase every year. In the wake of these continual waves of change, the school community must maintain the energy and focus necessary to sustain an environment of continuous improvement. The strategies in the component of continuous improvement will provide:

• A focus on personal and school goals,

• Ideas for locating cutting edge research and technology, and

• Tips for learning your way forward.

What does the research say about continuous improvement?

Continuous improvement refers to the process of making small adjustments to the system in an effort to make work and products better. Organizations who work towards continuous improvement have "the expectation that every status quo is a temporary expedient until a better way to do things has been discovered" (Bridges, 2003, p. 76). The individuals within the organization discover avenues for simplifying, enhancing, and focusing work in an effort to improve outcomes. They use the language of the organization's vision to clarify goals and maintain high expectations for themselves and others. In their efforts to achieve, these individuals "perform beyond the norms", disrupting the existing control systems that attempt to keep the organization in line (Quinn, 1996, p. 176).

Principals who engage others in the process of continuous improvement will foster the belief that instructional practice can always be improved and student achievement can always be increased. These principals will align their actions and behaviors to their personal vision statement and to the school's shared vision statement. They will serve as an advocate for students by focusing unwavering attention on what must be accomplished to help all students experience academic success.

To achieve this environment of continuous improvement, staff members will be asked to review student achievement on a regular basis and reflect on how instructional practices are impacting achievement. When necessary, staff members will be asked to make adjustments to their actions and behaviors to meet the school's established goals and objectives. The students, the teachers, and the principal will all focus attention on the important task of teaching and learning.

✲ *What strategies can be used to put continuous improvement into action?*

Step One: Focus on personal and school wide goals.

A personal vision statement and the school's shared vision statement will provide focus for the school's continuous improvement process as the vision "clarifies the general direction for change" and "motivates people to take action in the right direction" (Kotter, 1996, p. 68). While these well-intentioned efforts move the school community toward the established goals, there are often unexpected events that can pull the movement off course.

➢ To bring the change process and implementation of an innovation back on course requires that correct appraisals of the current reality are made when reaching a decision point in the school plan. If expected benchmarks are not met, alternate plans for reaching the next benchmark are necessary. These alternate plans may appear to slow or cause the change process to regress. However, if the alternate plan is thoughtfully developed in regard to providing additional training or support for teachers and additional instruction for students, then the effort is worth the time spent. The principal will help the staff understand that there is no set time frame for change. The time frame is totally dependent on the individual school's needs and progress.

➢ To keep a change process on track requires that decisions, budget expenditures, professional development efforts, curriculum maps, and students' needs are reviewed periodically to determine whether all of these areas are in line with the principal's personal vision statement and the school's shared vision statement. If they are not, adjustments will need to occur in regard to which key people should guide the process and what fortifications need to

be made. The principals' focus and leadership in this area will determine how closely the school's efforts align and realign with the vision.

➤ As new staff members join the school community, the principal will want to determine if professional development is needed to bring individual staff members up to speed with recent initiatives. If needs exist, the staff member may be asked to participate in a book study, work collaboratively with grade level or content area peers who are already implementing the initiative, or meet individually with the principal to learn more about the initiative. The principal may also wish to send the staff member to a workshop or conference focused on the initiative.

➤ The principal is the spokesperson for the school and should not be afraid to speak up in defense of its vision and efforts. Words of wisdom, songs of praise, and encouragement inspire and fortify the stakeholders within a school community. These phrases emerge from deep within the principal's core set of values and are the tenets of the principal's personal vision and the school's shared vision. The principal should remember the faces of the students and speak from the heart when sharing core values with students, teachers, families, community members, and others.

➤ At the end of each day, the principal should ask these questions: "What did I learn today? Whom did I nurture today? What difficult issue did I confront today? What is my most important challenge right now? What did I do today to make progress on this challenge?" (Reeves, 2006, p. 50).

➤ The principal should remember "it is the mission, not the objectives, that is the heartbeat of the organization" (Bridges, 2003, p. 77). Therefore, the principal should match personal actions to the school's mission, focus on student achievement, expect quality

instruction, and encourage all members of the school community to learn. These are the actions of a principal who will make the mission come alive.

Step Two: Explore cutting edge research and technology.

There are points in a continuous improvement process where new goals and objectives and perhaps even a new vision must be established. The principal will stay abreast of current practice and technology advancements to ensure that cutting edge research and learning influence the school community. The following websites, tools, and suggestions provide tips for staying current.

➤ The Partnership for 21st Century Skills is an organization whose mission is "to serve as a catalyst to position 21st century readiness at the center of US K-12 education by building collaborative partnerships among education, business, community and government leaders" (Partnership for 21st Century Skills, 2009). The Partnership recognizes the gap that exists between the knowledge and skills students currently learn in school and those that will be needed in 21st Century classrooms and workplaces. The skills, standards, assessments, and professional development resources are all products of the Partnership and are designed for schools.

➤ The Partnership for 21st Century Skills developed a framework to illustrate their vision of how to "bring together 21st century student outcomes and 21st century education support systems" (Kay, 2010, p. xv). The framework is presented as a rainbow of support systems (e.g. core subjects and 21st century themes, life and career skills, learning and innovation skills, and information, media and technology skills) and with underlying student outcomes (e.g. standards and assessments, curriculum and instruction, professional development, and learning environments). This illustration was designed to promote the Partnership for 21st Century Skills' belief that "schools must move beyond a focus on basic competency in core

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subjects to promoting understanding of academic content at much higher levels by weaving 21st

century interdisciplinary themes into core subjects" (Partnership for 21st Century Skills, 2009, p.

1).

> The *MILE Guide for 21st Century Skills* (2009) looks at six categories for determining

how well a school community is addressing the 21st century skills: Student knowledge and

skills, education support systems, education leadership, policymaking, partnering, and

continuous improvement strategic planning. An online assessment entitled MILE Guide Self-

Assessment Survey is available at http://www.p21.org/mileguide/ and provides ratings for the

school on several components within the six categories. After completing the assessment online,

a chart is provided that lists the ratings and related suggestions for moving the school community

forward.

> Assessment of 21st Century skills is an area that is currently under development.

While no widespread assessments currently exist, there are promising programs emerging in

school districts across the country. The Partnership for 21st Century Skills stated, "Our education

systems should pursue measurement of student outcomes that are performance-based, embedded

in curriculum, and based on a common evidentiary model of cognition and learning" (2009, p.3).

Recommended actions for building assessments that test 21st century skills:

1) Build measurement of 21st century skills into large-scale summative assessments.
2) Globally benchmark summative assessments.
3) Build 21st century skills into formative assessment strategies.
4) Create an aligned accountability system; all assessment strategies should align with 21st century skills standards, professional development, and curriculum and instruction.
5) Consider Information and Communication Technology (ICT) literacy assessment as a starting point.
6) Encourage and fund research and development around 21st century skills assessment.
7) Create open repositories for assessment items and rubrics that measure 21st century skills (2009. pp. 4-6).

These assessments will ask students to demonstrate skills in the areas of problem solving, critical thinking, and written communication and to share their knowledge of content and technology. Additional work in this area is expected.

➢ The 21st Century Skills movement is becoming more familiar to educators across the country. The framework and scope of the skills have common threads from the tenets of project learning, portfolio assessment, real-world application, service learning, and thematic integration research. The Partnership has taken the tenets from these critical thinking and problem solving based philosophies and incorporated them into a framework that provides an expanded, global overview of all educational endeavors. If this is truly the wave of education in the future, principals should stay abreast of the developments that arise and be knowledgeable enough to lead a staff when the time comes to explore and adopt these principles.

➢ The principal should stay abreast of current technological advancements by reading articles and reports that highlight new equipment, uses, and ideas for integrating across the curriculum. The principal may stay attuned to news media programs and print media articles that regularly feature science and technology. Often, the latest advancements and equipment capture the attention of the news media and are discussed at length.

➢ The principal may view the latest gadgets by visiting local electronic stores. Many of these devices find their way into the classroom with students and teachers within a short period of time. The principal can ask the sales representative to provide a quick overview of the gadget to become familiar with its workings and potential. Gadgets may also be viewed from the home or office by accessing electronic and computer vendor websites. Many of these sites have links to the manufacturer and sales video clips that provide detailed information about the product.

➢ Bookstores and book websites have science and technology sections that highlight the

latest books, DVDs, and software. The principal may browse the bookstore's shelves or the websites to find helpful manuals and magazines, learn which technological areas are receiving the most attention, and become familiar with the latest trends. Resources are available for helping individuals make better use of new gadgets, navigate computer applications, and explore Internet resources. In addition, a technology magazine subscription can provide ideas for educational applications and integration across the curriculum.

➢ The websites included at the end of this component are extremely helpful for finding quality resources, research, and professional development opportunities.

Step Three: Learn your way forward.

Quinn (1996) repeated the phrase, "learn your way forward" and stated that leadership potential depends on the individual's willingness to learn new information, gain new skills, and expand his thinking (p. 84). Principals who adhere to this statement will become lifelong learners who make inquiry a way of being, dialogue with others about teaching and learning, and adjust their thinking as educational innovations emerge. In addition, these principals will understand the importance of modeling the behavior they wish students and teacher to adopt.

➢ Principals must be as well versed in current research and practice as are the teachers. Principals cannot afford to neglect their own professional development. When a principal joins professional organizations, attends conference and seminars, and subscribes to the profession's leading journals, this demonstrates that the principal values and practices lifelong learning. These opportunities allow the principal to learn from others, discuss similar situations or challenges, and explore new ideas that provide the principal with the resources to keep a school on the path of continuous improvement.

➢ Principals who are lifelong learners will make inquiry a way of being. They do this by turning troubling situations into opportunities to learn. When a troubling situation emerges, the principal will ask the individuals involved a series of questions such as: Why is this happening? If we don't know, how can we find out? What can we do to change the situation? How should we go about making that change? What information, skills, or resources do we need to make that change? Is there anything we need to create? What steps will we take to address the situation and put our ideas to work? Did the steps work? Why or why not? This proactive stance will help the principal and staff members explore a series of options.

Problem solving attitudes empower the individuals involved and encourage them to think creatively about the challenges that arise. Inquiry then becomes a routine technique for improving the learning of students. In addition, when decision points are reached within the school plan, a familiar mechanism is in place for discussing challenges that may emerge. Alternate paths and bridges will then be easier to create and implement.

➢ Principals who expand their thinking will engage in dialogue with members of the school community and learn from others. They will share the practices, activities, and procedures that are being used in the hallways and classrooms of the school. They will encourage others to share what is working and which students are achieving as a result. They will learn what others are concerned about and why. Open discussion and dialogue is used by the principal as a technique for monitoring the current reality of the school. In addition, dialogue builds trust and that is necessary in an organization that must continually renew its efforts to improve teaching and learning.

❁ *How does continuous improvement relate to change?*

Danielson (2002) views continuous improvement as "a way of thinking about the work of education and assumes educators to be flexible, goal-driven, and focused uncompromisingly on the mission of student learning and success" (p. 32). Viewed in this way, continuous improvement provides a context and rationale for accepting and promoting innovation, change, and lifelong learning. Individuals then expect movement and shifts as a normal way of operating within the school community. This never-ending process becomes the catalyst and mechanism for adopting and addressing change.

❓ *Reflective questions to consider:*

❑ What mechanisms have been put into place to keep the principal's personal and the school's shared vision alive and viable? How is the vision being used as an active guide for continuous improvement?

❑ How will information about 21st Century Skills be shared with the school community? Which resources from the Partnership for 21st Century Skills will be the most useful?

❑ What strategies and techniques will the principal use to encourage the other adults in the school community to continue learning?

❁ *Recommended reading:*

Partnership for 21st Century Skills. (2009). *Framework for 21st century learning.* Tucson, AZ: Partnership for 21st Century Skills. Access pdf file from website at http://www.p21.org/ under Tools and Resources.

Partnership for 21st Century Skills. (2009). *The MILE guide: Milestones for improving learning and education.* Tucson, AZ: Partnership for 21st Century Skills.Access pdf file from website at http://www.p21.org under Tools and Resources.

Partnership for 21st Century Skills. (2009). *Assessment: A 21st century skills implementation guide.* Tucson, AZ: Partnership for 21st Century Skills. Access pdf file from website at http://www.p21.org under Tools and Resources.

Partnership for 21st Century Skills. (2009). *Standards: A 21st century skills implementation guide.* Tucson, AZ: Partnership for 21st Century Skills. Access pdf file from website at http://www.p21.org under Tools and Resources.

Quinn, R. E. (1996). *Deep change: Discovering the leader within*. San Francisco: John Wiley & Sons, Inc.

Recommended websites listed in this component:

eSchool News online
http://www.eschoolnews.com

from now on
http://fno.org

International Society for Technology in Education
http://www.iste.org

National Educational Technology Standards
http://www.iste.org/AM/Template.cfm?Section=NETS

Summary:

This chapter, Fostering an Understanding of Change, provides principals with theoretical frameworks for helping the school community understand and work through the change process. The strategies describe important components for change: creative tension that promotes personal mastery, environmental conditions that maximize the potential for change to occur, and decision points that keep the change process moving forward.

Afterword

Pulling the Keys Together

The framework included in this handbook, *Keys to Effective Change,* provides strategies, tips, and suggestions for (1) developing leadership skills, (2) establishing the organizational structure within the school community, (3) building teachers' knowledge base, and (4) fostering an understanding of the change process. Throughout the handbook, an emphasis is placed on the improvement of instruction to achieve high academic success for all students.

The keys described in this handbook correspond with Leithwood and Jantzi's (2005) review that suggested the most critical areas for leadership development included: 1) setting direction, by developing a consensus around vision, goals, and direction; 2) helping individual teachers, through support, modeling, and supervision; 3) redesigning the organization to foster collaboration and engage families and community; and 4) managing the organization by strategically allocating resources and support. Just as Leithwood and Jantzi found each of these areas to be equally important to a principal's development as a leader, each of the *Keys to Effective Change* are necessary for creating an environment within the school community where individuals accept change and flourish as a result of improved teaching and learning.

When a school community transforms itself by placing quality instructional practice and high academic success at its core, the interrelated components and structures within the school community lend support to one another. Therefore, the principal must orchestrate a myriad of interactions between the various components while managing a systemic approach to change that keeps all of the *Keys to Effective Change* in mind. For example, the principal should simultaneously develop personal leadership skills and raise the skill levels of staff members. As organizational structures such as which elements will be targeted for change and how resources

will be allocated to support those elements are determined, the principal will lead a process to develop a nonlinear plan that put these changes in place. The principal will encourage and support quality teaching across the building while using techniques to build the self-efficacy of teachers whose skills are not yet solid, while affirming and fine tuning the well-honed skills of highly effective teachers. By providing teachers with a wealth of professional development activities and opportunities, the principal will encourage teachers to focus on the continuous improvement of their skills over time. Again and again the components within the *Keys to Effective Change* systemically impact the other components and as a result, change the behaviors, norms, and beliefs of the school community.

Leaders who have the "ability to stay consistently focused on learning the core technology of schooling: learning, teaching, curriculum, and assessment" create successful, effective school environments (Leithwood and Jantzi, 2005, p. 4). The *Keys to Effective Change* promotes this ability by developing a principal's leadership skills, building staff members' knowledge base, defining and adjusting the organizational structures to support new innovations, and understanding the complexity of the change process. Leaders should not be discouraged by the amount of time and energy needed to develop the necessary skills required to implement the strategies included in *Keys to Effective Change*. Self-improvement is never simple, nor easy. A leader who wishes to be the type of instructional leader described in this handbook must possess an unrelenting desire to turn a vision into reality through sustained effort and focused attention. The reward for such dedication can be the creation of a "strong savvy leader who can create a school that provides expert teaching for all students in settings where [students] can succeed" (Darling-Hammond, Lapointe, Meyerson, Orr, & Cohen, 2007, p. 159). The choice is yours.

Figure A1: Reflective Log

Date/Time	People Involved	Event details	Outcome/Action Required	Questions/Comments

A written journal, log, or chart can help principals clarify thoughts and discover patterns embedded in routine events.

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Figure A2: MOREAR ® Listening Self-Assessment

The MOREAR ® Listening Self-Assessment can be used to rate listening behaviors and consists of twenty-eight questions related to best listening practices and can be accessed at http://www.highgain.com/SELF/index.php3. When an individual completes the survey, ratings are given in the areas of Memory, Open-mindedness Respect, Empathy, Attention, and Response.

I, the listener
1. Seem hurried or impatient during conversations and meetings.
2. Respect other's ideas and words regardless of our business, social, or economic status.
3. Give full attention and am not preoccupied with other concerns.
4. Show appropriate nonverbal responses, such as nodding and facial expressions.
5. Talk more than listen.
6. Ask relevant questions for clarification of points that are technical or misunderstood.
7. Prepare or become informed when such preparation or knowledge is necessary.
8. Keep a confidence.
9. Take notes when notes are appropriate.
10. Change the topic before proper closure or agreement.
11. Accurately recall comments or positions at a later date.
12. Follow up with prompt actions.
13. Encourage others to give their views on subjects under discussion.
14. Appear to listen with an open mind free from personal biases.
15. Become defensive or emotional when encountering a difficult situation.
16. Sincerely listen without going-through-the-motions.
17. Smile or otherwise acknowledge humorous remarks.
18. Correctly anticipate where the conversation is going.
19. Accurately relate messages to a third party.
20. Maintain comfortable eye contact with speaker.
21. Allow others to finish without interrupting.
22. Hold outside calls and distractions to a minimum during meetings and conversations.
23. Repeat, paraphrase, or summarize comments to ensure understanding.
24. Think about the subject under discussion before responding.
25. Place myself in other's position and understand their concerns and feelings.
26. Avoid emotion-packed (trigger) words, phrases, or clichés.
27. Consider content and logic and am not critical of others' delivery, appearance, grammar, vocabulary, etc.
28. Produce results consistent with agreed upon instructions or guidelines.

(Brandt and Brandt, 1999)

Figure A3: Summary of Leadership Standards, Roles, and Responsibilities

Educational Leadership Policy Standards: ISLLC 2008 by Council of Chief State School Officers (2008)	*Leading learning communities: Standards for what principals should know and be able to do* by NAESP (2001)	*What we know about successful school leadership* by Leithwood & Riehl in conjuction with the American Educational Research Association (2003)	*Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement* by Waters, Marzano & McNulty (2003)
Standard One: An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.	**Standard One: Balance management and leadership roles** Effective principals lead schools in a way that places student and adult learning at the center.	**Leadership has significant effects on student learning, second only to the effects of the quality of the curriculum and teachers' instruction.**	**Responsibilities** - The extent to which the principal … **Culture** – fosters shared beliefs & a sense of community & cooperation **Order** – establishes a set of standard operating procedures & routines **Discipline** – protects teachers from issues & influences that would detract from their teaching
Standard Two: An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.	**Standard Two: Set high expectations and standards** Effective principals set high expectations and standards for the academic and social development of all students and the performance of all adults.	**Currently, administrators and teacher leaders provide most of the leadership in schools, but other potential sources of leadership exist.**	**Resources** – provides teachers with material & professional development necessary for the successful execution of their jobs **Curriculum, instruction, and assessment** – is directly involved in the design & implementation of curriculum, instruction, & assessment practices **Focus** – establishes clear goals & keeps those goals in the forefront of the school's attention

Standard Three: An education leader promotes the success of every student by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.	**Standard Three: Demand content and instruction that ensure student achievement** Effective principals demand content and instruction that ensure student achievement of agreed upon academic standards.	**A core set of leadership practices form the "basics" of successful leadership and are valuable in almost all educational contexts.** *Setting directions* • Identifying and articulating a vision • Creating shared meanings • Creating high performance expectations • Fostering the acceptance of group goals • Monitoring organizational performance • Communicating *Developing People* • Offering intellectual stimulation	**Knowledge of curriculum, instruction assessment** – fosters shared beliefs & a sense of community & cooperation **Visibility** – has quality contact & interactions with teachers & students **Contingent rewards** – recognizes & rewards individual accomplishments **Communication** – establishes strong lines of communication with teachers & among students **Outreach** – is an advocate & spokesperson for the school to all stakeholders **Input** – involves teachers in the design & implementation of important decisions & policies
Standard Four: An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.	**Standard Four: Create a culture of adult learning** Effective principals create a culture of continuous learning for adults tied to student learning and other school goals.	• Providing individualized support • Providing an appropriate model *Developing the Organization* • Strengthening school culture • Modifying organizational structure • Building collaborative processes • Managing the environment	**Affirmation** – recognizes & celebrates school accomplishments & acknowledges failures **Relationship** – demonstrates an awareness of the personal aspects of teachers & staff **Change agent** – is willing to & actively challenges the status quo **Optimizer** – inspires & leads new & challenging innovations

Standard Five: An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.	Standard Five: Use multiple sources of data as diagnostic tools Effective principals use multiple sources of data as diagnostic tools to assess, identify, and apply instructional improvement.	Successful school leaders respond productively to challenges and opportunities created by the accountability-oriented policy context in which they work. • Creating and sustaining a competitive school. • Empowering others to make significant decisions. • Providing instructional guidance. • Strategic planning	Ideals/beliefs – communicates & operates from strong ideals & beliefs about schooling Monitors/evaluates – monitors the effectiveness of school practices & their impact on student learning Flexibility – adapts his or her leadership behavior to the needs of the current situation & is comfortable with dissent Situational awareness – is aware of the details & undercurrents in the running of the school & uses this information to address current & potential problems
Standard Six: An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.	Standard Six: Actively engage the community Effective principals actively engage the community to create shared responsibility for student and school success.	Successful school leaders respond productively to the opportunities and challenges of educating diverse groups of students. • Building powerful forms of teaching and learning. • Creating strong communities in school. • Expanding the portion of students' social capital valued by the schools. • Nurturing the development of families' educational cultures.	Intellectual stimulation – ensures that faculty & staff are aware of the most current theories & practices & makes the discussion of these a regular aspect of the school's culture

Figure A4: Vision Audit

Record your vision statement in terms of leadership style, teaching and learning goals and how to achieve the vision.

<u>Personal Vision Statement</u>

_____
_____
_____

Use this statement to formulate specific messages you wish to send to students, staff, and parents.

<u>Was your message delivered?</u>	**<u>Yes/No</u>**	**<u>Reaction to message</u>**
Staff meeting announcement/discussions	_____	_____
E-mail messages	_____	_____
Newsletters	_____	_____
Signs in the hallway	_____	_____
Homework hotline	_____	_____
Website or Blog	_____	_____
Newspaper articles	_____	_____
Speech(es) or presentation(s)	_____	_____

Use this statement to guide the message you send with your actions.

<u>Did these actions occur?</u>	**<u>Yes/No</u>**	**<u>Reaction to message</u>**
Open door policy	_____	_____
Classroom visits	_____	_____
"Roaming" the hallways and building	_____	_____
Formal or informal meeting with students	_____	_____
Formal or informal meetings with staff	_____	_____
Formal or informal meetings with parents	_____	_____
PTO meeting	_____	_____
Site Council meeting	_____	_____
Community events		

Use this statement when you interact with the school's stakeholders.

<u>Were these groups included?</u>	**<u>Yes/No</u>**	**<u>Reaction to message</u>**
Students	_____	_____
Parents/Families	_____	_____
Volunteers	_____	_____
PTO members	_____	_____
Site Council members	_____	_____
Support staff	_____	_____
Central office staff	_____	_____
Community members	_____	_____

Use this statement when you make decsions that affect teaching and learning.

<u>Were decisions made in these areas?</u>	**<u>Yes/No</u>**	**<u>Reaction to message</u>**
Student policies	_____	_____
Staff policies	_____	_____
Instructional practice	_____	_____
Curriculum adjustments	_____	_____
Purchases	_____	_____
Staff development activities	_____	_____
Hiring new staff	_____	_____

Figure A5: Goal Setting Form

Teachers may use this form at the beginning of the year to inform the principal of their selected goals, develop professional development activities that will support their learning, and target funds for necessary resources and materials.

Name: _____	Date: _____

Goal: _____

Activities and Strategies:

Resources and materials needed:

Documentation:

Goal: _____

Activities and Strategies:

Resources and materials needed:

Documentation:

Goal: _____

Activities and Strategies:

Resources and materials needed:

Documentation:

Figure B1: Discussion Guide
Recording sheet to use when sharing a scenario or vignette during a staff meeting or staff development session

What situation was presented in the scenario or vignette?	What aspects of this situation are currently present in our school?	What differences exist between the two?
Who might be involved in the solution?	What resources could be tapped?	What issue or concerns might develop over time?

What visible signs show that progress is being made?

Plan of Action:

Steps to follow:	Resources:	Who will be responsible?

Adapted from ideas presented by James Rieley, 1997.   © Aistrup, 2008

Figure B2: School Resource Worksheet

An analysis of the school's fiscal information for the past three years will help the principal calculate what percentage of resources are spent in each category, historically and currently, to determine whether or not funds support set goals.

<u>Demographic Information to include:</u>

Student Enrollment	Length of instructional day	
Percent Low Income	Length of class periods	Regular class size
Percent Special Education	Length of reading class	Reading class size
Percent ESL/LEP	Length of math class	Math class size

<u>Staffing Information:</u>
• Core Academic Teachers to include elementary grade level teachers or secondary math, science, history, and language arts teachers.
• Specialists to include art, music, physical education, foreign language, media specialists, and others with an academic focus.
• Extra certified help to include special education, English as a Second Language, and Title 1 teachers.
• Support personnel to include tutors, aides, and paraprofessionals.
• Additional support services to include counselors, nurses, psychologists, social workers, and athletics.
• Administration to include principals, assistant principals, and other administrative staff.

<u>Budget Information</u>

	School Year $	School Year $	Current Year $
Instructional Materials and Equipment			
Supplies, materials, and textbooks			
Technology software and subscriptions			
Professional Development			
Teacher Time (substitutes and stipends)			
Consultants or Coaches			
Materials or Supplies			
Travel			
Tuition and Conference Fees			
Capital Outlay			
Furniture			
Technology Equipment			
Grants/Donations			
List each separately			
Total Funds			

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Figure C1: Student Project Rubric

Name: _____   Date: _____

Project Rubric

Title of Project _____

	5	3	1
Content	My information was focused, detailed, and accurate. I added information to the requirements to make my project more interesting. I am right on target.	My information was focused and accurate, but I need more details. I included all of the required information. I have more to say!	My information has some inaccuracies. My project is missing important points. I need to work on this to finish my research.
Organization and Format _____	It is clear to my audience how to access my information. The parts of my project fit together. I used the appropriate features for this format.	Most of the time my audience will know where to find my information. Some of the parts are in the wrong place. I used some things that don't fit my format.	My audience will feel lost when they look for my information. I didn't plan where to put the different parts of the project. I didn't pay attention to the format features.
Explanation	I explained my project in detail. I projected well, made eye contact, and used appropriate language. I used my project to emphasize what I was saying.	I explained most of my project. I could have projected more, but I made eye contact! I referred to my project most of the time.	I didn't explain my project very well. I mumbled and forgot to look at my audience. It was hard to see what my project was about.
Presentation	My project is polished and pleasing to the eye. Everything is in the right spot. I used fonts, sizes, tables, margins, and illustrations in an appropriate manner.	My project needs some work to make it look polished. Some things need to be moved to a new spot. I didn't always use the same fonts and spacing.	My project is not complete - I didn't finish all of it. I'm not sure where to put things. This is still a rough copy.

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Figure C2: SIOP Model for English Language Learners

Preparation

| Clear Content | Clear Language Objectives | Content Concepts Appropriate | Supplementary Materials | Adapting Content and Texts | Meaningful Activities |

Building Background Knowledge

| Link to Student Background/Experience | Link to Past Learning/Concepts | Key Vocabulary |

Comprehensible Input

| Speech | Explicit Description of Academic Tasks | Instructional Strategies/Techniques |

Learning Strategies

| Metacognitive/Cognitive Learning Strategies | Scaffolding Techniques | Variety of Questions Used for Higher Level Thinking |

Interaction

| Provide Multiple Opportunities | Group Configurations | Allow for Wait Time | Give Opportunities to Clarify Key Concepts in First Language |

Practice/Application

| Hands On Opportunities | Apply Content and Learning Objectives | Integrate Language Skills |

Lesson Delivery

| Content Objectives Supported By Lesson Delivery | Language Objectives Supported by Lesson Delivery | Students Engaged 90% of Time | Pacing Appropriate to Ability Level |

Review/Assessment

| Review Key Vocabulary | Review Key Concepts | Give Feedback to Students | Assessments |

Adapted from Short & Echevarria at the Center For Research on Education, Diversity & Excellence, 1999.

Figure C3: Curriculum Mapping Template

Curriculum map will include the core content areas as well as technology integration ideas, novels to be read aloud, and special projects. Assessment will focus on summative exams and will include district and state tests as well as special projects/products that demonstrate content mastery, and end of unit exams.

Grade Level	Aug/Sept	Oct	Nov	Dec	Jan	Feb	March	April	May
Reading/Literature									
Writing									
Language Arts									
Math									
Social Studies									
Science/Health									
Technology									
Music									
Art									
PE									
Foreign Language									
Title 1									
Assessments									

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Figure C4: Feedback Sheet for Grade or Specialty Group Meeting

Team or Grade Group: _____ Date: _____

Team goal(s): _____

_____

Team members present:

_____ _____ _____ _____

Summary of meeting (include topics of discussion, concerns, plans to address the concerns)

Strategies/Techniques that will be implemented over the next few weeks:

Top 20 Books a Principal Might Want to Own

Danielson, C. (2007). *Enhancing professional practice: A framework for teaching* (2nd ed.). Alexandria, VA: Association for Supervision and Curriculum Development.

Deal, T. E., & Peterson, K. D. (2009). *Shaping school culture: Pitfalls, paradoxes, & promises* (2nd ed.). San Francisco, CA: John Wiley & Sons, Inc.

Downey, C. J., Steffy, B. E., Poston, J., William K., & English, F. W. (2010). *Advancing the three-minute walk-through: Mastering reflective practice*. Thousand Oaks, CA: Corwin Press.

DuFour, R., DuFour, R., Eaker, R., & Karhanek, G. (2010). *Raising the bar and closing the gap: Whatever it takes*. Bloomington, IN: Solution Tree.

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Pollock, J. E. (2007). *Improving student learning one teacher at a time*. Alexandria, VA: Association for Supervision and Curriculum Development.

Reeves, D. B. (2009). *Leading change in your school: How to conquer myths, build commitment, and get results*. Alexandria, VA: Association for Supervision and Curriculum Development.

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Schlechty, P. C. (2009). *Leading for learning: How to transform schools into learning organizations* (1st ed.). San Francisco, CA: Jossey-Bass.

Schmoker, M. (2006). *Results now: How we can achieve unprecedented improvements in teaching and learning*. Alexandria, VA: Association for Supervision and Curriculum Development.

Sparks, D. (2005). *Leading for results: Transforming teaching, learning, and relationships in schools*. Thousand Oaks, CA: Corwin Press, NASSP.

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Zmuda, A., Kuklis, R., & Kline, E. (2004). *Transforming schools: Creating a culture of continuous improvement*. Alexandria, VA: Association for Supervision and Curriculum Development.

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CHAPTER 5 – Conclusion

Introduction

Chapter 5 summarizes the research and development activities used to create
Implementation strategies for effective change: A handbook for instructional leaders. This
chapter also presents the conclusion, implications, and recommendations for future studies from
the study.

Summary of Activities

The purpose of this study was to research, develop, test, and validate a handbook of
effective strategies that a building principal, serving as an instructional leader, can implement
that are more likely to bring about and sustain a successful change process focused on the
improvement of instruction to raise student achievement. The research and development (R &
D) methodology recommended by Gall, Borg, and Gall (1996) was used to complete this study
(see Figure 1, p. 35 and Table 4, p. 36).

The research analysis and proof of concept for *Implementation strategies for effective
change: A Handbook for instructional leaders* was conducted in June of 2004. The researcher
identified a concept and need at that time. An extensive review of the literature took place from
October, 2004 through July, 2010. During this same time period, a prototype for the handbook
was developed. The Preliminary Field Test was conducted in August, 2010, with five nationally
recognized experts who were (a) a published author in the fields of leadership, change theory,
and school reform, (b) a school improvement consultant who works with schools or school
districts in the areas of leadership, change theory, and school reform, or (c) an individual who
works in the area of principal development and training. Based on comments and suggestions
from the Preliminary Field Test experts, revisions to the handbook were made in September,

2010. The Main Field Test was conducted from September, 2010 through October, 2010 with

nine experts who were (a) published authors in the areas of leadership, change theory, or school

reform, (b) school improvement consultants who works with schools or school districts in the

areas of leadership, change theory, and/or school reform at the state or national level, (c) an

individual who works in the area of principal development and training or who is a former or

practicing administrator, or (d) an individual who was nominated by one of the experts from the

Proof of Concept phase and/or the Preliminary Field Test phase. Based on comments and

suggestions from the Main Field Test experts, revisions to the handbook were made from

September, 2010 through October, 2010.

Research Questions and Results

The purpose of this study was to research, develop, test, and validate a handbook of

effective strategies that a building principal, serving as an instructional leader, can implement

that are more likely to bring about and sustain a successful change process focused on the

improvement of instruction to raise student achievement. The following research questions were

established and answered.

What are the most effective strategies an instructional leader can implement to facilitate a

successful change process?

Four main clusters of strategies or components emerged as the most effective for an

instructional leader to use when facilitating a successful change process. These included

developing leadership skills, establishing an organizational structure, building the knowledge

base, and fostering an understanding of change. Instructional leaders who develop their own

leadership skills engage in reflective practice, use effective listening skills, create a personal

vision of teaching and learning related to the principal's roles and responsibilities, recognize

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effective teaching, and conduct focused supervision and evaluation of teachers (Danielson, 1996, 2007; Gilbert, 2004; Leithwood & Riehl, 2003; Odden, 2005; York-Barr, et al., 2006). In order to establish the organizational structure, instructional leaders create a shared vision with school stakeholders, use scenarios and vignettes to appropriately discuss problems or concerns, identify elements to change within the school community, allocate resources to support school reform, and use system thinking to organize thinking about school change (Fullan, 2008, 2010; Kegan & Lahey, 2009; Senge, 1990; Waters, Marzano, & McNulty, 2003).

In addition, instructional leaders who build the teachers' knowledge base develop assessment literacy, focus on special populations within the school community, assess student needs, conduct a mapping of the curriculum, and provide quality professional development (Bracey, 2000; Jacobs, 2004; Smiley & Salsberry, 2007; Sparks, 2005). Finally, instructional leaders who foster an understanding of the change process share models of the change process, utilize creative tension between current practice and desired outcomes, monitor the pace of change, create nonlinear plans of improvement, and focus on continuous improvement (Fullan, 2003; Evans, 1996; Quinn, 2000). The focus within each of these clusters of strategies or components help the principal serve as an instructional leader focused on the improvement of instruction in order to raise student achievement.

<u>What are the essential areas to consider when developing a school culture that accepts change?</u>

The essential areas to consider when developing a school culture that accepts change is to focus conversations with teachers around the improvement of instructional practice, create a shared vision with members of the school community, and hire the right people when vacancies occur (Downey, et al., 2004, 2010; DuFour, DuFour, Eaker, & Karhanek, 2010; Fullan, 2008).

Strategies for principals to encourage teachers to grow and improve their practice include: visiting classrooms on a regular basis, using a formative system of evaluation, engaging teachers in reflective questions focused on choices and decisions related to curriculum and instruction, and encouraging teachers to set personal improvement goals (Danielson, 1996, 2007; Downey, et al., 2004, 2010). In addition, collegial conversations with teachers help prepare the way for professional activities such as creating a shared vision, identifying elements of the curriculum or instruction to change, and fostering the regular use of reflective thinking (Marzano, Waters, & McNulty, 2005; Quinn, 2000).

A shared vision provides the school's stakeholders with a common purpose, language, and method for achieving teaching and learning goals that best fit the needs of the students, staff, parents, and community. Principals who develop and use a shared vision with their stakeholders can see many positive effects in their school. The shared vision encourages staff members to move beyond established, comfortable routines and to experiment with new techniques and strategies. Camaraderie increases as the staff supports one another's efforts and celebrates progressive improvements (Deal & Peterson, 2009). In turn, students take ownership for their learning through goal setting and accept the challenge of increasing their knowledge and skills (Marzano, Pickering, & Pollock, 2001). By providing parents and community members with information and encouraging their participation in school events and activities, these stakeholders understand and support the efforts being made to effect change (Deal & Peterson, 2009). Finally, current research and proven, reliable strategies lend credibility to the shared vision, thus encouraging stakeholders to remain committed to the continuous improvement of teaching and learning (Sparks, 2005).

The goal when filling vacancies on the staff is to hire the most effective teachers who will move student achievement forward and help others improve their instructional practice. These are the passionate, dedicated, knowledgeable, and committed teachers who will make a difference in the school (Fullan, 2008). In addition, new staff members can help move the staff in a new direction, bringing a different perspective to the school community.

<u>What are the critical elements of a successful change process?</u>

When a school community transforms itself by placing quality instructional practice and high academic success at its core, the interrelated components and structures within the school community lend support to one another. Therefore, the principal must orchestrate a myriad of interactions between the various components while managing a systemic approach to change that keeps all of the strategies within the handbook in mind. For example, the principal should simultaneously develop personal leadership skills and raise the skill levels of staff members. As organizational structures such as which elements will be targeted for change and how resources will be allocated to support those elements are determined, the principal will lead a process to develop a nonlinear plan that put these changes in place. The principal will encourage and support quality teaching across the building while using techniques to build the self-efficacy of teachers whose skills are not yet solid, while affirming and fine tuning the well-honed skills of highly effective teachers. By providing teachers with a wealth of professional development activities and opportunities, the principal will encourage teachers to focus on the continuous improvement of their skills over time. Again and again, the components within the handbook systemically impact the other components and as a result, change the behaviors, norms, and beliefs of the school community.

<u>What are the most essential factors needed to implement successful change?</u>

The essential factors needed to implement successful change are the four keys to effective change that are outlined in the handbook: developing leadership skills, establishing the organizational structure, building the knowledge base, and fostering an understanding of change.

Reflection

When work on this dissertation began, the researcher felt that her work as a teacher, national presenter, and graduate student had provided her with the experiences and background knowledge necessary for completing this project. However, when the literature review was completed and the four keys to effective change emerged, the researcher found that she did not have a "principal's voice" in which to write confidently. Fortunately, that same year, the researcher became a principal of a school in need of a change focused on improving instruction and raising student achievement.

Over a period of five years, the researcher implemented the strategies and ideas recommended in the handbook. From that experience, the researcher learned that change can be accomplished when one has the drive and desire to make the change happen. The researcher also learned that a principal must attend to all the components of the school environment at the same time and that the job is incredibly challenging. While finishing the dissertation over the summer and fall of 2010, the researcher realized she had found her "voice" and was grateful for having both the book knowledge and practical experience to produce a credible product.

Conclusions

The purpose of the study was to develop a handbook for instructional leaders entitled, *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders*. The following research objectives were achieved:

1. The literature review indicated that the role of the principal has changed from that of a manager to an instructional leader who possesses a broad base of pedagogical and content knowledge and who understands how to lead a staff through a complicated change process. These expectations present a formidable challenge for administrators who are unprepared to assume these roles.

2. The experts in leadership, change theory, and/or school reform who participated in the proof of concept indicated a handbook that provides guidance and support for principals leading a change process focused on the improvement of instruction to raise student achievement would be a useful resource.

3. The literature review and field tests indicated that the development of a comprehensive handbook or guide that blends theory, research, and practice for instructional leaders would be useful.

4. This study produced a comprehensive guide to assist instructional leaders who are leading a change process focused on the improvement of instruction to raise student achievement.

5. The strategies included in the handbook allow principals to adjust and adapt according to their own personal skill levels and their schools' unique situation and needs.

Dissemination

An important part of the research and development methodology is the dissemination of the product after field-testing has been completed. The information developed for the handbook can be disseminated in several ways:

1. Current and aspiring principals can use the handbook as a resource for leading a change process focused on the improvement of instruction to raise student achievement.

The comprehensive nature of the handbook can provide principals with a resource that can be used over and over again as new challenges arise.

2. The handbook has been recommended for publication and general distribution. A book prospectus is being developed and will be sent to prospective publishers upon successful completion of the degree program. Targeted publishers include: Corwin Press, Association of Supervision and Curriculum, Jossey-Bass, and Eye on Education. One recommendation has been to split the book into a four part series. Each part would include additional examples, templates, and space for the principal to take notes.

3. The handbook can be used as a text for graduate students in the area of educational leadership and school administration. The information contained in the handbook can help these aspiring leaders understand the roles and responsibilities of the principalship that are focused on becoming an instructional leader, improving instruction, and raising student achievement. The text could be supplemented with a CD that contains digital templates and worksheets.

4. Sections from individual chapters of the handbook should be revised and submitted for publication in peer-reviewed journals in educational leadership and school administration. For example, the sections on nonlinear planning, use of scenario and vignettes, and recognition of positive deviance could be revised into articles for publication.

5. The handbook could be developed into a website. The website would then allow the principal to access specific topics or strategies that are pertinent to the principal's needs at that particular time. Templates and worksheets would be available for download.

Recommended books and websites could be directly linked to the website. Additional

strategies could be included over time as the need presents itself.

<center>**Recommendations for Future Studies**</center>

The following are recommendations for future studies:

The duties and responsibilities of the principalship are overwhelming and seem to imply

that leaders must have an exhaustive range of skills in order to be successful. Additional

research that more clearly examines the role of the principal is needed to clarify how one person

can accomplish all that is expected. Case studies could analyze how principals spend their time

to determine how much of a day or week should be devoted to improving instruction in order to

have the greatest impact on student achievement. Studies could examine exactly which tasks or

responsibilities might be delegated to someone else in the school setting and whether or not this

delegation enhances or degrades the effectiveness of the principal. Other studies could

determine what will happen to the school environment if specific duties or responsibilities are

neglected.

A recent study in Texas showed that 70 percent of principals in Texas schools leave the

position within five years and approximately one half leave within three years (Fuller, 2010). A

Wallace Foundation study (2010) indicated that the average tenure of a school principal is 3.6

years.   This high rate of turnover is a cause for concern. Additional studies could examine the

specific factors linked to this turnover rate. Research questions could include: Do principals get

burned out and decide to take less stressful jobs? Are principals fired for failing to meet the

demands of the position or because the school fails to meet NCLB's Annual Yearly Progress

(AYP) goals? What is the impact on student achievement when the principal turnover rate at the

school is high? If the demands of the position are so great, what supports could be put into place

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to ensure that principals remain in their positions long enough to have a positive impact on the school environment?

Another area for future studies could be to link the actions of successful principals with specific guidelines for replicating their success. The first step might be to combine case studies and empirical evidence of proven strategies that examine what successful principals do in challenging situations. The second step would be to provide, in the same study, the step-by-step directions for putting the strategies into place. The Ferguson, Hackman, Hanna, and Ballantine report (2010) of sixteen high schools who achieved signification improvements in student achievement is a good example of the first step, but could be expanded to provide the step-by-step directions for exactly how to put the strategies into place.

A final area for future studies is to examine whether or not aspiring principals are being trained appropriately. New programs are emerging across the country in response to the Leithwood and Riehl study (2003) that questioned the effectiveness of current educational leadership and administration programs. As individuals graduate from these programs and assume leadership positions, studies could track their effectiveness to determine which skills the principals felt were the most beneficial to learn or whether they were lacking in specific skills. Studies might examine whether additional courses or training in specific skills is needed. The study might also monitor whether principals trained in new programs remain in their positions longer than those who were trained in traditional programs.

Summary

The role of the principal has changed from that of a building manager to a skilled instructional leader. As a result, principals are now expected to impart a set of ideals and beliefs for improving instruction and raising student achievement that fit their personal leadership styles,

meet student and staff needs, and adjust to the unique context of the school environment and surrounding community. Stringent state and federal accountability measures have increased the demands placed on principals as they work to strengthen teachers' instructional practice, implement new curriculum and assessments, and monitor the school's program to ensure that all students are reaching high levels of achievement. Unfortunately, the majority of principals are ill prepared to assume these demanding responsibilities.

Many current research studies have captured an impressive list of skills, duties, and responsibilities for today's principal. However, few resources exist that provide the current, new, or aspiring principal with adequate guidance and direction for meeting these challenging expectations. The handbook, *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders*, created through the R & D methodology meets this need. This valuable resource will provide the principal with specific strategies for (1) developing leadership skills, (2) establishing the organizational structure within the school community, (3) building the teachers' knowledge base, and (4) fostering an understanding of the change process. The strength of the handbook is its rich compendium of practical ideas and easily accessible resources that the current, new, or aspiring principal can use again and again to address current challenges and those that arise over time.

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APPENDICES

APPENDIX A – Informed Consent Form

IMPLEMENTATION STRATEGIES FOR EFFECTIVE CHANGE:
A HANDBOOK FOR INSTRUCTIONAL LEADERS

You have been asked to take part in a research study that focuses on the research, development, and validation of a handbook for instructional leaders. This study was approved on June 25, 2004 and will be completed by December of 2010. This study is being conducted Shelley Aistrup, a Kansas State University graduate student (3916 Snowy Reach, Manhattan, KS 66503, 785.565.2519, saistrup@ksu.edu). Your input has been requested due to your expertise in leadership, change theories, and/or school reform. Participants can expect to review a handbook, respond to a questionnaire, and answer follow-up questions via e-mail or telephone.

For organizational purpose, the questionnaire asks for your name and signature, but all data reported in the study will be confidential and the subject's name will not be linked with the results. Permission is requested to list your name as a participant in the methodology chapter of the handbook. If a particular response or reaction to the handbook is to be quoted, additional permission will be requested.

If you have any questions regarding this project, please contact the principal investigator (Dr. Teresa Miller, 303 Bluemont Hall, Kansas State University, Manhattan, KS, 66506, 785.532.5609, tmiller@ksu.edu). For questions regarding the use of human subjects, call the Office of Research and Sponsored Programs (Rick Scheidt, Chair, Committee on Research Involving Human Subjects, 1 Fairchild Hall, Kansas State University, Manhattan, KS 66506 785.532.3224)

I understand that my participation is completely voluntary, and that if I decide to participate in this study, I may withdraw my consent at any time, and stop participating at any time without explanation, penalty, or loss of benefits, or academic standing to which I may otherwise be entitled.

I also understand that my signature below indicates that I have read this consent form and willingly agree to participate in this study under the terms described, and that my signature acknowledges that I have received a signed and dated copy of this consent form.

Participant Name: (please print) _____

Participant Signature: _____   Date: _____

Appendix B – Outline for Handbook

Preface:
A brief history
School community and principal's role
How will this book help?

Introduction:
What is the principal's role?
Change and systems thinking
Overview of the contents
- Developing leadership skills
- Establishing the Organizational Structure
- Building the Knowledge Base
- Fostering an Understanding of Change

Where to begin?

Chapter 1: Developing Leadership Skills
Reflective practice
Listening skills
Personal vision
Effective teaching
Supervision and Evaluation

Chapter 2: Establishing the Organizational Structure
Shared vision
Scenarios and vignettes
Elements to change
Resource allocation
Systems thinking

Chapter 3: Building the Knowledge Base
Assessment literacy
Special populations
Student needs
Curriculum mapping
Professional development

Chapter 4: Fostering an Understanding of Change
Change models
Creative tension
Pace of change
Nonlinear plans
Continuous improvement

Conclusion: Putting the keys together
Afterword

Appendix C – Letter of Instruction for Preliminary Field Test

TO: Preliminary Field Test Expert Reviewers
FROM: Shelley Aistrup
DATE:
RE: Preliminary Field Test Evaluation

Thank you for agreeing to participate in the preliminary field test of *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders,* a handbook being developed as part of a dissertation for a doctorate degree in educational leadership at Kansas State University, Manhattan, Kansas.

As previously explained, the purpose of this dissertation project is to research, design, and create a handbook to support principals who wish to lead effective change focused on the improvement of instruction and increased student achievement. The research methodology used in this dissertation is Research & Development (R & D), a process in which a product is developed, field tested, and revised on the basis of information received from the field test. Your evaluation will provide me with information for revising and improving the handbook.

Enclosed are a draft of the handbook, an informed consent permission form, and the Preliminary Field Test Evaluation form. An electronic version of the evaluation form has been emailed to you. Please return the permission form and Preliminary Field Test Evaluation (either by mail or electronically) no later than August 24, 2010. A self-addressed stamped envelope has been enclosed for your convenience.

Should you have any questions or concerns regarding the process or need further information, please contact my major professor, Dr. Teresa Miller, or me. Our contact information is enclosed for your convenience. Thank you for your assistance in this endeavor.

Shelley A. Aistrup
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Appendix D – Preliminary Field Test Questionnaire

Preliminary Field Test Evaluation form for *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders*

Name _____

This evaluation has three parts:
Part 1: Evaluation of the format of the handbook (organization, readability, and usability)
Part 2: Evaluation of the content of the handbook (quality and relevance)
Part 3: Additional Comments/Suggestions

Based on your review of the handbook, please use the following rating scale to respond to each of the following questions by circling the response that most closely matches your views.

> **1 = Strongly Disagree**
> **2 = Disagree**
> **3 = Neutral**
> **4 = Agree**
> **5 = Strongly Agree**

Part 1: Format of the Handbook
Please rate the following characteristics of the handbook on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD	D	N	A	SA
1. Content is presented in logical sequence.	1	2	3	4	5

Comments/Suggestions:

	SD	D	N	A	SA
2. Organizational components facilitate reader use.	1	2	3	4	5

Comments/Suggestions:

	SD	D	N	A	SA
3. Text is clear, concise, and easy to read.	1	2	3	4	5

Comments/Suggestions:

	SD	D	N	A	SA
4. Handbook is presented in an attractive format.	1	2	3	4	5

Comments/Suggestions:

Part 2: Content of the Handbook
Please rate the following characteristics of the handbook on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD				SA
5. Content is based on current practices. Comments/Suggestions:	1	2	3	4	5
6. The appropriate strategies have been included. Comments/Suggestions:	1	2	3	4	5
7. Handbook provides accurate information. Comments/Suggestions:	1	2	3	4	5
8. Overall, the handbook will be a useful tool. Comments/Suggestions:	1	2	3	4	5

Part 3: Additional Comments/Suggestions
Please answer the following questions in as much detail as you feel necessary.
9. What is the greatest strength of the handbook?

10. What is the greatest weakness of the handbook?

11. What content would you add or delete?

12. What suggestions do you have for making the content more clear or understandable?

Appendix E – Letter of Instruction for Main Field Test

TO: Main Field Test Expert Reviewers
FROM: Shelley Aistrup
DATE:
RE: Main Field Test Evaluation

Thank you for agreeing to participate in the main field test of *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders,* a book being developed as part of a dissertation for a doctorate degree in educational leadership at Kansas State University, Manhattan, Kansas.

As previously explained, the purpose of this dissertation project is to research, design, and create a book to support principals who wish to lead effective change focused on the improvement of instruction and increased student achievement. The research methodology used in this dissertation is Research & Development (R & D), a process in which a product is developed, field tested, and revised on the basis of information received from the field test. Your evaluation will provide me with information for revising and improving the book.

Enclosed are a draft of the book, an informed consent permission form, and the Main Field Test Evaluation form. An electronic version of the evaluation form has been emailed to you. Please return the permission form and Main Field Test Evaluation (either by mail or electronically) no later than September 23, 2010. A self-addressed stamped envelope has been enclosed for your convenience.

Should you have any questions or concerns regarding the process or need further information, please contact my major professor, Dr. Teresa Miller, or me. Our contact information is enclosed for your convenience. Thank you for your assistance in this endeavor.

Shelley A. Aistrup   Teresa Northern Miller, Ed.D.
Graduate Student   Associate Professor
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Appendix F – Main Field Test Questionnaire

Main Field Test Evaluation form for *Implementation Strategies for Effective Change: A Handbook for Instructional Leaders*

Name _____

This evaluation form has three parts:
Part 1: Evaluation of the usability of the book (practicality and understandability)
Part 2: Comments on the content of the book
Part 3: Additional Comments/Suggestions

Based on your review of the book, please use the following rating scale to respond to each of the following questions by circling the response that most closely matches your views.
> **1 = Strongly Disagree**
> **2 = Disagree**
> **3 = Neutral**
> **4 = Agree**
> **5 = Strongly Agree**

Part 1: Usability of the Book
Please rate the following characteristics of the book on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD	D	N	A	SA
1. The book is organized in a logical sequence. Comments/Suggestions:	1	2	3	4	5
2. The writing is clear, concise, and easy to read. Comments/Suggestions:	1	2	3	4	5
3. The book is presented in an attractive format. Comments/Suggestions:	1	2	3	4	5
4. Overall, the book provides useful information. Comments/Suggestions:	1	2	3	4	5

Part 2: Content of the Book
Please rate the following characteristics of the book on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD				SA
5. Content is relevant and timely. Comments/Suggestions:	1	2	3	4	5
6. Content provides appropriate guidance, strategies, and resources on how to lead effective change focused on improving teaching and learning in a school setting. Comments/Suggestions:	1	2	3	4	5
7. Content blends theory, research, and practice into a practical resource for an instructional leader. Comments/Suggestions:	1	2	3	4	5

Part 3: Additional Comments/Suggestions
Please answer the following questions in as much detail as you feel necessary.

8. What revisions should be made in the writing and format of the book?

9. What suggestions do you have for making the content more clear or understandable?

10. What areas need more clarification?

11. Additional Comments