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Increasing Organization Capacity: A Systems Approach Utilizing Transformational and Distributed Leadership Practices

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INCREASING ORGANIZATION CAPACITY: A SYSTEMS APPROACH UTILIZING TRANSFORMATIONAL AND DISTRIBUTED LEADERSHIP PRACTICES

By

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INCREASING ORGANIZATION CAPACITY: A SYSTEMS APPROACH UTILIZING TRANSFORMATIONAL AND DISTRIBUTED LEADERSHIP PRACTICES

Patricia L. Reeves, Ed.D.

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The purpose of this study was to test a transformational, systemic change framework designed by the researcher to assist school leaders who are attempting to incorporate the major elements of transformational leadership theory, systems theory, and organizational development theory into their school or school district operations. The study involved both the distillation and organization of the major theoretical elements from the literature into an operational framework for planning, conducting, and monitoring the systemic change process in K-12 school systems. This framework was, then, tested by the researcher for its descriptive power in a case study analysis of an actual school district change process over a number of years.

The study used ethnographic approaches to analyze the district document and artifact record against the operational framework. Two types of analysis were used to examine the utility of the framework in describing and tracking an eighteen-year change process in the case study subject K-12 school district. The first was an ethnographic content analysis which was used to extract both qualitative and quantitative data from documents derived from the subject district's archival record generated by change activity. The second was an event structure analysis, which provided for tracking the

change related events chronologically and grouping the catalogued events by time periods.

The results from the archival record analysis were triangulated by collecting data from participating professional staff in the case study subject school district. For this purpose, the researcher developed a survey of descriptors aligning with each of the operational elements of the framework and administered it to professional staff (teachers and administrators) currently working in the case study district. The researcher analyzed the data collected from the survey responses and the document/artifact analysis to assess the power of the operational framework and descriptors to track the actual change process in the case study school district and describe its current status with regard to the incorporation of transformational, systemic change elements into operational norms.

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To end with the beginning, I must acknowledge and thank my family – Dave, Shannon, and David. Their faith, encouragement, and sacrifices were offered enthusiastically and unfailingly. Now, they will share the joy of accomplishing this important milestone.

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CHAPTER 1 – INTRODUCTION TO STUDY

INTRODUCTION

This dissertation study was undertaken from the perspective of a practicing school superintendent. As such, the study is about the challenges facing today's school leaders. Most K-12 school district superintendents, in the United States, are cognizant of the political and social realities that impact our school systems. Most also know that our role as public education's leaders and ambassadors is complicated by the fact that we do it in a time like none that has come before (Lewis, 2003). Certainly, public education has always been under pressure to make changes in response to new priorities or new political, social, or economic agendas. What makes the current situation unique is the concept that K-12 public education may be fundamentally broken and in need of replacement with alternatives that function more like private vendors and less like public institutions (Friedman, 2000). Along with this market driven view is the notion that economic forces combined with expansion of choices, each targeting a special market niche, will guarantee quality and effectiveness in schooling for our children (Ohanian, 2003).

Also new are legislated systems of accountability which label schools as successes or failures based on a discreet set of narrowly defined performance indicators and even narrower interpretation of results (Bracey, 2003). This attempt to take a surgical slice of each school's reality, put it under the microscope of public scrutiny, and declare the subject either near death or thriving belies the dynamic and complex nature of school

organizations and treats them as if they were a lower form of simple organism. The result is a tendency to reduce the public discourse regarding K-12 education to the simplest of terms (Rose, L. & Gallup, A., 2003). This poses additional challenges to school leaders who, conversely, are dealing with highly evolved, structurally complex, and culturally tight systems (Weick, 1976).

Today's public school institutions embody the aggregate evolution of the American social, economic, and political ecosystem. Their processes, their norms, and their precepts are all byproducts of America's rich experience as a maturing democratic, capitalistic, and pluralistic society (Kotter, 1995). It is no wonder, in this time of fundamental shifts in our nation's demographics, population distribution, economic base, and social dynamic, that those highly developed and firmly entrenched organizational norms that once served our system of K-12 public education so well are now being challenged. Just as America, itself, is struggling to grow into its new skin, so are all of its institutions (public and private), including those that provide the fundamental service of educating our children. Our public school institutions are not alone in grappling with questions of size, organizational structure, and operating norms (Kouzes & Posner, 1995). Moreover, we are not alone in rethinking the basic elements of our work: purposes, processes, principles, and practices.

This investigation assumes that the retooling of America's educational institutions is not as simple as weeding out the weak, abandoning the faltering, and castigating those that carry the heaviest burden. This study is also based on the premise that forcing the extinction of our existing K-12 public education system, to make way for a new pseudo-public or private species, is both unnecessary and a wastefully cataclysmic response to a

challenging but stimulating set of ecological shifts. This study further rejects the assumption that America's public school institutions have reached the limit of their ability to adapt and evolve. Since learning is the basis for selective adaptation (as opposed to random), and adaptation the precursor to evolution, what institutions should be better suited to the challenges of purposeful evolution than those devoted to the business of learning?

This, however, is the crux of the problem. The question is not, can our public school organizations change; rather, can they change fast enough and deeply enough to remain highly successful in a time when fundamental shifts and alterations of the domestic and world landscape are coming fast and furious (Kotter, 1995)? Can public school leaders find workable approaches to increasing both rate and degree of organizational learning that fit the public school context, and can they alter school operations in ways that sustain adaptation as a way of life? As institutions steeped in tradition and bound by cultural norms shaped in another economic and social era, can today's public schools dislodge the tethers firmly holding their place in the protective cove of America's past success? Can they quickly retool with new technologies to journey beyond the barrier reef that has so insulated them against the winds of change? Finally, can they find their way in uncharted waters, and sustain a long and protracted quest?

School superintendents and other school leaders have no choice but to look for practical responses to the loss of public education's safe harbor. They must find approaches to the operation of their schools that promote sufficient learning and adaptation. School leaders must find ways to cut the knotty lines of tradition holding

them in place, since to stay in place, would be to sink before the rising gales of changing expectations. Just as risky, however, is to set forth without the means to safely navigate through uncharted waters. School leaders must find the means to set and hold a course of purposeful (not random) organizational change that will lead to renewal and reinstatement of our K-12 education system in the public trust.

With expectations expanding at a rate far exceeding the growth of financial resources, superintendents and other school leaders must reinvent their schools and school systems for greater effectiveness and efficiency. They must significantly increase productivity, greatly refine operating processes, and vastly expand capacity in order to meet the new standards of high performance for all students. With demographic trends of vastly increased diversity and an alarming and growing percentage of America's school-age children living in poverty conditions, achieving high levels of proficiency for all children will require nothing less than deep systemic change. To effect such change, school leaders will need to launch a major overhaul of school policies, practices, and processes while facing ever stiffer competition for the resources to do so.

There will be no short cuts or simple answers. To produce both the quality and equity results Americans are demanding of the K-12 educational system today, school leaders will, also, need to make the most of proven management and leadership theories, research-based educational practice, fine-tuned technologies, and prevailing wisdom. To do less would be to put at risk countless school-age children who, as our students, must ride through this period of transforming America's public schools.

With real children at stake, school leaders can not venture forth blindly, only to take the chance of drifting on the tides or following the wrong stars. They need clarity of

purpose and a reliable means of charting and adapting their course as the journey unfolds before them. They need a framework for making decisions and for monitoring progress. In short, school leaders need leadership and management approaches that work together with synergy and cohesion. They cannot espouse generative leadership principles and operate with outdated top-down policies. They need a systems approach which aligns purpose with process, principle with practice, vision with direction, and decisions with results. Nothing less will get them and their schools safely through the rough passages that lay ahead for America's public schools.

For school superintendents this passage will have the added challenge of charting the course for, anywhere from a small flotilla, to a whole fleet of schools, each with its unique student population, community dynamic, and staff operating norms. Each of these schools must go the journey on its own power. Each will respond differently to changing conditions in the environment. Some will struggle for the entire journey, while others will make good headway, only to run aground on an unseen shoal. The superintendent's job is to isolate those elements that bind each to a common mission and a shared destination and, then, ease the journey through leveraged effort, and synchronized action.

Accomplishing this will require district level school leaders (superintendents and boards of education) to replace traditional bureaucratic structures that serve so well in the safe harbor of status quo, with new dynamic systems that have the power and flexibility to make steady headway toward a very distant shore where human capacity is the currency of the realm. To help their schools make the journey to this new realm, school leaders will need to generate conditions that motivate and release untapped potential in

those who must make the passage (principals, teachers, support staff, students, and parents) and focus that potential on reaching the desired destination.

Faced with this challenge, many district superintendents and building leaders are looking for a cohesive approach that will give shape to the generative process of reinventing our public schools for new levels of seaworthiness. We must build new vessels of K-12 public education that deliver all children in all of America's schools safely and successfully into the new millennium. To do less is to jeopardize our nation's standing as world leaders for democracy and human rights, and that is not acceptable.

STATEMENT OF THE PROBLEM

This study focuses on the need and the commitment of school leaders to find more cohesive and integrated approaches to school leadership and management for systemic change and improvement. The researcher for this study is a district level school leader with nineteen years experience in a middle sized K-12 Michigan school district. Throughout her nine years as an assistant superintendent and ten as superintendent, the researcher has attempted to apply elements of transformational leadership, systemic change, and organizational development theories to various processes and practices within her district. The process has been like piecing together a patch-work quilt without a pattern guide. This, then, is the motivation for this study - to explore the possibilities for a more coherent and coordinated approach for superintendents and other school leaders to use in taking on the challenge of reforming and retooling their schools for quantitatively and qualitatively stronger results.

PURPOSE OF THIS STUDY

The researcher has organized this study to achieve three objectives. The first objective is to cross-tabulate the major elements of transformational leadership theory, systems theory, and organizational development theory with the extant school improvement and school governance models. The researcher, then, distilled these major elements into an analysis grid that offers a framework for school leaders to use in planning, conducting, and monitoring a systemic change process in K-12 schools and school systems.

The second objective is to test the power of the analysis grid to examine and describe a long-term change process in a case study district. The researcher looked for evidence that the analysis grid is comprehensive enough to account for actual changes that occur in the case study district's eighteen-year evolutionary process. The researcher also looked for any aspects of the change process in the case study district that run contrary to the premises of the analysis grid or cannot be accounted for through one or more elements of the grid.

The third objective is to develop and test a set of descriptors for each element of the analysis grid. To create the descriptors, the researcher drew from both the experience of the case study district and from literature describing systemic transformational change processes in other schools. The descriptors were organized into a survey instrument and field tested with the current professional staff of the case study district.

In the field test, the researcher looked for variance in responses within and across survey items to determine the power of the descriptors to elicit consistent responses from professional staff members in the case study school district as they reflect upon the

current conditions for their district. The researcher also looked for consistency of responses with analysis of the case study district document record.

By generating and field testing both an analysis grid and a set of descriptors for an integrated approach to managing systemic school change, the researcher hopes to offer school leaders a potential tool for coordinating their leadership efforts. This study would be a first step in the development and testing of this tool. As such, there will be strict limitations to conclusions regarding the utility of the tool without subsequent further study.

Currently, the field of educational research offers a number of tested frameworks and tools for various facets of educational practice and school management, but work is still needed to distill the critical elements of systemic change and transformational leadership into a single framework that school leaders can apply in coordinating all their efforts around systemic reform and generative leadership. The process of systemic change in schools may encompass too many processes and elements to be distilled into a single operational framework, but the potential for a comprehensive school leadership and management framework to expedite school leaders' efforts and increase both rate and degree of organizational learning and change, makes the attempt worthwhile.

RESEARCH QUESTIONS

This study is based on the premise that the theoretical literature and research on systemic change, transformational leadership, and organizational development (processes) can yield the elements of a comprehensive framework to guide school leaders in planning and carrying out systemic change and reform initiatives in their schools and

school districts. This study also assumes that a number of the important elements of systemic, generative change are already imbedded in various school improvement and governance models; yet, no one model incorporates them all. With these premises and assumptions, this study seeks to answer the following questions:

1. Given a framework of elements drawn from the literature on systemic change, transformational leadership, and organizational development, to what extent can that framework describe and explain a multi-year change process in a case study school district?
2. After isolating specific elements of systemic change for increasing organizational capacity, can a useful set of descriptors that match each element help school leaders discriminate the degree to which those elements are present in their school or school system?

STUDY APPROACH AND METHODOLOGY

This is a case study that begins with an attempt to draw practical operational elements from relevant theoretical literature and combine them into a viable framework for strategic and purposeful organizational transformation in our K-12 public school institutions. The researcher uses a qualitative approach to examine the relationship between identified operational elements of transformational systemic change and documented change activity in a case study school district. The researcher also applies both a quantitative and qualitative analysis of survey responses from professional staff of the case study school district.

As a naturalistic study, the primary methodology is anthropological. The researcher is a public school district superintendent who has enjoyed an eighteen-year tenure as the leader of a middle sized district's change and development process. There exists a rich and unbroken series of artifacts from this eighteen year change process in the subject district. The researcher has utilized the artifacts that document the subject district's evolutionary process to form the basis of a real case against which she can test the efficacy of a transformational change framework and analysis grid she developed based on the theoretical literature.

The framework/grid attempts to operationalize the key concepts of transformational leadership and change theory. It categorizes those elements into four quadrants of leadership focus and delineates the principal operational elements for each. In addition to looking for the points where the elements of the operational framework/grid match the actual artifact record, the researcher has collected responses from professional staff on a survey of descriptors matching the specific elements that comprise the operational analysis framework/grid. In looking for points where there is a match between the subject district's document record and the survey responses of professional staff, the researcher has tested her proposed operational model as a means of explaining the actual process of change in a real school district.

If the transformational systemic change framework/analysis grid offers real power in tracking and describing a case study district's change efforts, after the fact, it may be worth testing as a strategic means for shaping and monitoring prospective or in-progress change initiatives in other school organizations. If the survey instrument yields parallel results from a strong sample of the case study district professional staff, it may have

utility as a set of operational descriptors that can help school leaders discriminate the degree to which they are utilizing elements of transformational theory and systemic change processes in their schools.

This study concludes with a discussion regarding the potential utility of the four quadrant operational framework and analysis grid as a tool for school leaders who want an integrated approach to leading and managing their school organizations that focuses on learning and adaptation. The researcher also offers suggested modifications to the model based on its descriptive power in the case study analysis. This discussion utilizes the evidence of the model's descriptive power to explore the potential for predictive power, i.e., evidence that the model may have utility for school leaders as a set of operational functions employed to achieve purposeful change and evolution in their school organizations. Finally, based on her findings, the researcher poses questions for further study and research focused on testing practical operational models, like the one developed for this study, for evidence of actual increases in rate and degree of organizational learning in K-12 public school institutions.

STUDY LIMITATIONS

The researcher's objective in this study is to explore the possibilities for creating a comprehensive transformational, systemic change framework and analysis grid that will aid and guide school leaders (in particular, school superintendents) in planning, conducting, and monitoring systemic change efforts in their schools/school district. This study will attempt to create a potential prototype for such a framework/analysis grid and test its viability for descriptive power relating to actual systemic change efforts in real

school district settings. Since the case study district is also the district where the researcher has spent the last eighteen years as assistant superintendent and superintendent, the researcher has the advantage of access to a rich document and artifact record that traces the efforts to effect systemic change in the case study district. The limitation here is that the researcher could be inclined to interpret the document and artifact record based on her personal experience with the change process.

To offset this limitation to some extent, the researcher has created a set of descriptors that align with each element of the framework/grid. These descriptors were tested in two ways: first, they were administered in a survey format to all professional staff (teachers and administrators) currently working in the case study school district. Respondents were asked to assess the degree to which each descriptor is currently present in their school. Since full anonymity for respondents is protected, their responses should be a reasonable cross-check of the inferences the researcher draws from the document and artifact record. Second, the descriptors were cross referenced to the evidence in the case study district artifact and document record to assess their degree of alignment with actual events and actions that can be inferred from the archival records.

It must be noted that the researcher is only looking for evidence of potential (not conclusive) viability for the transformational/systemic change framework/analysis grid and accompanying survey of descriptors. This study is limited to assessing whether the model has enough potential descriptive power to warrant further study for the purpose of validation as a leadership and management tool for school leaders looking for a comprehensive systemic change framework for planning, implementing, and monitoring the progress of organizational learning, evolution, and improvement.

DEFINITION OF TERMS

Systemic Change: Systemic change refers to the reshaping of basic operational and cultural elements that determine how the organization shapes meaning, values, purpose, work and behavioral norms (Kotter, 1995).

Transformational Leadership: Describes a leadership approach where leaders engage followers around issues of values, beliefs, purpose, and vision. Through dialogue and strong levels of interaction, there is an ongoing shaping and reshaping of mutual focus and direction. Through generative processes that tap into personal beliefs and motives, both leadership and responsibility for achieving the organization's purpose and goals is expanded and distributed throughout the organization and across all levels/segments of the school population (Burns, 1978).

Learning Centered Leadership: Learning centered leadership is a variation on transformational leadership that integrates transformational processes, systems thinking, principles of learning, values-driven decision making and moral leadership (Burns, 1978, p. 42; Senge, 1990, pp. 6-10; Sergiovanni, 1998, p. 24). The trend toward framing the transformational leadership and transformational change processes as focused on learning evolved naturally from the reality that organizations cannot grow, develop, and change in fundamental ways without a pervasive culture for learning and without leaders who attend to their own learning needs along with those of the organization's members (Sergiovanni, 1998, p. 51).

Systemic, Transformational Change Framework/Analysis Grid: This term represents the researcher's synthesis of the major elements of transformational and systemic change theories organized into a four quadrant framework. Each quadrant in the framework represents a primary focus area for school leaders who want to effect transformational, systemic change and deep organizational learning and adaptation in their schools/school districts. For each of the four focus areas, the researcher identifies the major operational elements addressed in the theoretical and research literature (see Chapter 2, Literature Review). The researcher is proposing and testing the viability of this framework to guide school leaders in the planning, implementation, and monitoring (thus the term analysis grid) of the transformational, systemic change process in their own schools.

Other Definitions: The researcher has isolated four major operational areas of focus for school leaders within the above comprehensive framework for leadership. The four areas are: Meaning, Culture, Systems Alignment, and Decisions. For each of these four quadrants, there are six to seven critical elements of leadership attention. The definitions and theoretical and research derivations for each quadrant and each of the critical elements aligned with that quadrant are explicated in the Chapter 2 literature review.

ORGANIZATION OF THE DISSERTATION

This dissertation study includes five chapters, a selected reference list, and appendices. Chapter 1 offers an introductory prologue identifying the researcher's underlying motivations and premises for this study and a rationale for the significance of

this study. This is followed by a statement of the study's purpose, problem, research questions, methodology and procedures, limitations, and, finally, an overview of the organization for the study.

Chapter 2 of this study contains a review of the literature providing rationale for transformational and systemic approaches organizational development, improvement, and change. From there, the literature review extends to identify the major constructs of transformational and systemic change theory along with critical operational elements for their application to K-12 school organizations. Finally, Chapter 2 ends with a synthesis of the theoretical constructs and elements into a proposition for a leadership framework for planning, conducting, monitoring, and evaluating transformational, systemic change processes in school organizations.

Chapter 3 of this study presents the methodology, rationale for methodology, procedures, and data analysis approaches for addressing the study purposes and questions. Chapter 4 describes the application of the study methodology, the data collected, and an analysis of the data. Chapter 5 contains an interpretation of the study findings, conclusions, implications, and recommendations for further investigation. Chapter 5 is followed by appendices which include the survey instrument, sample documents from the case study district archival record, and other relevant supporting documents. Finally, the dissertation concludes with a selected reference list for this study.

CHAPTER 2 – LITERATURE REVIEW

OVERVIEW OF THIS LITERATURE REVIEW

This chapter is organized into four sections. Section 1 presents the context, background, and rationale for this study of transformational, systemic organizational change and development in K-12 public schools and school systems. Section 2 establishes the rationale for school leaders to adopt both a systemic and transformational/distributed operational framework in order to reshape operational norms in ways that will increase both rate and degree of organizational learning. The third section looks at specific focus areas that must be addressed in an integrated transformational model or framework, i.e., meaning or purpose, culture, systems, and decisions. This section traces the critical operational functions associated with each focus area and sets up the relationships between the focus areas as part of an integrated system for leadership and management of school organizations. Finally, Section 4 suggests practical applications of the model or framework and sets up possibilities for testing the efficacy of the model as a tool for school leaders and leadership teams to plan, conduct, monitor, and assess their systemic, transformational change efforts at school reformation.

SECTION 1 - CONTEXT AND BACKGROUND FOR THIS STUDY

The American system of K-12 education is experiencing what may be the apex of an extended period of social pressure for adapting to significant and fundamental social, political, and economic change. This period began on the heels of rapid territorial and

economic expansion throughout the nineteenth and early decades of the twentieth centuries. It continued with massive immigration and fundamental reshaping of both the domestic landscape and the world order (social, political, and economic) throughout most of the twentieth century (Carlson, 1996). It left us out of breath and searching for solid bedrock as the clock turned over a new millennium and established firmly our prominence in the information age along with the awesome challenge of retaining that prominence.

America emerged from the twentieth century, economically competitive, socially diverse, firmly rooted in democratic/free enterprise principles, and heavily burdened with international interests and peace keeping responsibilities. Naturally, the U.S. has become a target for both economic and political competition. As a result, the U.S. is alternately emulated or envied, respected or despised. As a nation and as a society, the American mystique is similar to that of a long-standing sports dynasty: others want to play in the same league, and most want to challenge the standings. The ability to retain a position of prominence depends upon how well and how consistently the game is played. The game, itself, continues to evolve and pose new challenges. Advantage derives from wisely and appropriately applying the lessons of past successes and failures and using them to inform future action. In short, the game comes down to the ability to continually learn and adapt.

While change, throughout this nation's history has been a constant, both the impetus and the context for change have undergone several shifts (national security, social equality, economic superiority, etc. (Tyak & Cuban, 1995). With each of those shifts, came pressure for our public education system to adapt to new priorities, often

piled on top of old ones. The cumulative effects of change presented more and more complex problems, opportunities, and challenges. In response, larger and/or more complex organizations were developed in both the public and private sector to maximize opportunity and leverage potential. Public education followed suit during a twenty year (roughly, 1950-1970) period of school consolidation which reduced the number of school districts by over seventy-five percent (Carlson, 1996) and vested significant management authority and responsibility with specialized and, often centralized, school management personnel. School district leaders became CEOs, and Principals became middle managers, with teachers filling loosely defined staff or pseudo-administrative roles (department chairs, teacher-leaders, etc.) (Lipsky, 1980).

By the end of the school consolidation period, public school organizations, like their private sector counterparts had become bureaucratic hierarchies in their officially adopted management policy and decision making processes. In reality, school organizations remained "loosely coupled" oligarchies with operational norms derived more from negotiated arrangements and internal alliances than top-down decree (Weick, 1976). The tight rational controls so prevalent in the corporate and manufacturing world never took hold at the operational (classroom) level because, unlike their counterparts in the private sector, teachers continued to function primarily as independent contractors, each operating in a self contained setting (the classroom) and paying mostly lip service to imposed bureaucratic requirements. Where organizational norms were prescribed by contract (calendar, testing programs, conferencing and reporting, etc.), state law (certification, tenure, treatment of students, etc.), or school culture (work ethic, school-community relations, relationships with colleagues, etc.), a higher degree of uniformity

could be expected. Where management decisions challenged professional autonomy without alignment of incentives and rewards (curriculum, instruction, teacher-student interactions, etc.), uniformity and conformity were less likely (Weatherly and Lipsky, 1977).

While the organization took center stage on the domestic and world scene as the critical unit for economic competition, a new body of theoretical work emerged in the social sciences. This work examined organizational structures, management principles and practices, and the change process itself. It spun off theories of leadership and, eventually, systems theory (Senge, 1990), learning theory (Argyris, 1978), and the total quality (Deming, 1990) approaches embraced by much of corporate America today. Much of the early theoretical work was developed within the private sector where worldwide competition heightened the sense of urgency for evolving organizations to higher and higher levels of adaptability and productivity. After world-wide recession and inflation in the 1980's, the new frontier became the ability to utilize increasingly limited resources for increasingly better results. Human potential became the single most important raw material because the ability to learn and apply new learning to better products and services had became the key competencies in the emerging information based world economy.

When President Reagan formed the National Commission on Excellence in Education in the early 1980's, education reform became central to the policy platforms of both major American political parties. The leaders of corporate America pushed for school reform to embrace the urgency of global economic competition. Conservatives joined their more liberal counterparts in supporting increased state and federal

investments in education as long as it was targeted toward the excellence reform movement. Some education reform, management, and leadership theorists responded by examining the applications of leadership and management theories developed for the private sector to the organization and operation of public schools (Fullan, 1991 & 1993). Others continued on the quest for equity, arguing that merely applying private sector responses (i.e., choice, competition, and site based or total quality management) ignore the fundamental differences in both the mission/function of public education and its contextual reality (Berliner, 1993).

The Challenge For School Leaders

By the time the U.S. turned the corner on a new millennium, we had arrived at a political and social juncture where competing school reform agendas threaten to sap the life and energy out of the education excellence movement at the local school or school district level. Pressure for rational systems of accountability (state and national curriculum standards and testing) and evaluation (state "school report cards", accreditation, and, newly arrived on the scene, Standard and Poors School Evaluation Service and "No Child Left Behind") focus local school board and administration attention on "measuring up". Meanwhile, state level school finance and tax reform initiatives struggle to stabilize and more equitably distribute school aid which cannot keep pace with expanding requirements for programs and services. Thus, local schools are challenged to "retool" for improved results with tightening resources and systems designed for another era.

The aging and turnover of the educator work force (both teachers and administrators) has placed a premium on hiring, developing, and retaining quality employees. Privatization initiatives (charters, vouchers, and third party vendors) compete for funding, staff, and students. Outdated school facilities and retooling for technology applications place additional demands on school funding resources. Finally, schools remain fishbowls in the local context, stubbornly steeped in tradition, and rigid in their cultural norms, while precariously juggling the opposing forces of excellence and equity. This creates the proverbial plate full.

The Need For Coherent School Leadership Approaches

The literature is replete with treatises on the recurring waves of school reform and their failure to produce reliable or broad-based results (Cuban, 1990 & 1993). There are a number of theories as to why this is so, but a common thread includes the following points:

1. Much of school reform initiative derives from false assumptions (Joyce, 1986; Carlson, 1996; Eisner, 2003).
2. School reform is often muddled by competing agendas, both internal and external, and constrained by negotiated exchanges (Cuban, 1990).
3. Many initiatives ignore a growing body of research supported best practice (Joyce, 1986).
4. Most reform efforts neither build on established strengths nor respond strategically to documented weaknesses (Friedman, 2000).

5. Much of the school reform decision making is still top-down or externally imposed (Bracey, 2003).
6. Most reform initiatives are add-ons or "graftings" (Deal & Peterson, 1999), rather than alterations or realignments of, the school organization's culture, systems, policies, and procedures.
7. Most of the extant school reform agendas ignore the highly contextual nature of school organizations and their local uniqueness (Wagner, 2003).

With so much known about the inhibitors of education reform and excellence, it is discouraging, but not surprising, that local school leaders are still expending so much energy on what amounts to chasing their tails while moving faster and faster. If we wait for the dust to settle on all the political agendas, we will never truly emerge from the trap of "repetition, fade-outs, and revisits to old solutions" (Carlson, 1996, p. 202). While there is some prudence in "rendering unto the Caesar" of state and federal mandates and accountability measures, local school organizations must find ways to do so without sacrificing their ability to engage local stakeholders in defining and adapting to the distinct character of the demographic, cultural, political, and economic context in which they operate. This will be key to the continued viability of locally governed and managed public school organizations. Without this sensitivity to the local context, public schools will lose their locally vested constituency and become even more vulnerable to replacement by private vendors or decimation through vouchers and other forms of revenue diversion.

The Limitations Of Current School Reform Policy

Already there are competing models to locally "owned" and governed neighborhood or community schools, usually, in the form of chartered schools. Often these schools are owned by distant corporate management companies which replace local ownership and governance. Many of their affiliate schools operate in ways that are more consistent with private schools (e.g., admission practices, curriculum control, fiscal management, etc.) and most replace local/parental involvement and governance with a consumer mentality: "If you do not fit the consumer profile for this school, you can enroll your child (shop) elsewhere." This privatized, pseudo-public school model encourages the for-profit management companies to open schools that serve a narrower niche or market (Bracey, 2003). The profit motive, underlying this model, almost guarantees that less expensive and/or challenging niches (markets) will be favored over others.

While this is a viable and sensible approach to succeeding in a newly opened market where early profitability is of prime concern, it offers little promise for innovative quality initiatives designed to serve the full range of student needs. A case in point, is the fact that most of the schools opened under charter laws by for-profit management companies serve elementary students only and do not provide ancillary services like transportation, school lunch, athletics, or the more expensive curricular, co-curricular, and extra curricular components that go along with secondary (especially high school) programs (Western Michigan University Charter Study, 2002). In addition, many discourage enrollments by special and high needs students.

While chartered or privatized public schools (a contradiction in terms) are, clearly, not the panacea for reshaping America's public education system into one that adapts well to a continuously changing economic, social, and political landscape, this limited response will continue to garner growing political support unless and until the voting public develops greater conviction that the publicly owned, tax supported, and locally governed model that has served American interests since it took firm root in state law by the end of the Civil War (Rippa, 1992 in Carlson, 1986) is not only still viable, but still a vital part of a democratic republic. This model was the dream of the founding fathers (Washington, Jefferson, Franklin) and later made integral to the American social consciousness through the writings of Horace Mann and John Dewey. "More than any other single factor, this idea of a public school open to all is the most distinctive feature of American education. It was a nineteenth century ideal that has endured to the present time" (Rippa, p. 104). Reassuringly for public school advocates and leaders, the most recent (2003) Phi Delta Kappa/Gallup poll of public attitude toward the public schools (Rose & Gallup, 2003) shows that seventy-three percent of the American public believes we should reform the existing public school system, while only twenty-five percent believes we should find a new alternative (p. 53).

If this ideal is to retain its place as part of the bedrock of American society well into and through this new millennium, public education must find the secret to self-renewal. State and federal policy vacillations and panaceas aside, the work of self-renewal and adaptation will fall to the local school organizations themselves. This is where the richness of the local context and the power of local stakeholders can meld. This is where the uniquely interactive endeavor called teaching and learning takes on

personal significance and meaning. External accountability standards and measurements can help define the territory, but the journey through that territory must be mapped out in ways that fit the characteristics, concerns, and priorities of local stakeholders.

Broad-brush policy agendas and cookie cutter responses will always be grounded in purposes other than evolution and regeneration of the local school organization; thus, they are more likely to divert attention away from the internal work that must be done to foster renewal and growth, i.e., organizational learning and adaptation (Sergiovanni & Starratt, 1998). Yet, it is the internal work of self-renewal that holds promise for meaningful and lasting results (Kotter, 1995). Our system of public education is a constellation of individual school organizations, each with special characteristics derived from its constituents (students, teachers, parents, community). Like the stars, no two are alike; yet, each adheres to certain laws of the same universe. In the universe of American public school systems, the "laws" are the standards and purposes of the U.S. public education system, the states form constellations, and the local context shapes the individual star clusters. This, then, is where local school leaders are looking for the theorists to lend plausible and workable frameworks for action.

Toward A More Coherent Strategy

American organizations and institutions should be uniquely adapted to the combined need to maximize individual potential while increasing group efficiency and effectiveness. The American ethos is characterized by a dichotomous patronage of both the individual and the group. When it comes to applying management and leadership theories, America's public school institutions must look for the nexus where potentially

competing interests converge: the good of the organization and the good of the individuals who comprise it (Bass & Avolio, 1994).

In today's economy, competition is stiff in almost every sector of goods, services, and raw materials. Market share can be won and lost in a blink of an eye or obliterated altogether by overnight obsolescence. Cookie cutter management and service structures, once the hallmark of franchised business models, are no longer sufficiently adaptive and are losing favor to dynamic systems and client, or customer centered, processes. Most private sector organizations planning on being around to see the next decade are opting for operating principles and practices which combine the ability to maximize individual potential while achieving relevant organizational goals. Theorists are finding that situational management approaches offer greater adaptability and flexibility and are more consistent with learning theory (Hershey, Blanchard, & Johnson, 1996). Managers are finding that systems approaches offer more maneuverability for mid-course corrections and better internal alignment of operational practices and processes (Senge, 2000). Employees find more satisfaction in normative/reeducative approaches, and stakeholders, obviously, are interested in approaches that improve the bottom line.

Approaching Systemic Renewal Through Transformational Processes

Public education policy in the U.S. is in a state of flux. In 1983, *A Nation at Risk* set off a series of shotgun bursts of education reform initiatives focused on the full range of education levels and components; "curriculum and assessment, teacher preparation and their professional lives, school organization and management, technology, and parental and community involvement" (Goertz, Floden, & O'Day, 1996, p.6). By the

early nineties, researchers like O'Day and Smith (1991 & 1993) were concluding that, whether top-down or bottom-up, fragmented policy decisions and reform initiatives were never going to be sufficient to counter the layered complexity of school processes, structure, and culture. At the same time, Peter Senge was making a significant impact in the private sector with his theories of systems thinking (1990) and the disciplines that support the conversion of static organizations into ones that operationalize learning and adaptive capacity. School reform theorists, like Richard Elmore were looking at policy strategies and approaches which could support structural or systemic change in schools in despite of resistant organizational & political disjuncture and disharmony (1990).

Other researchers have analyzed change as a process in school organizations (Fullan, 1991 and1993; Owens, 1995) and devised leadership approaches to support change, transformation, renewal, and organizational effectiveness (Bass & Avolio, 1994; Bolman & Deal, 1991; Kotter, 1996; Sergiovanni & Starratt, 1998). Many of the theoretical principles that led researchers and theorists to make explicit the distinction between leadership approaches which favor the status quo and those that transform and sustain organizational growth and adaptation derive from the seminal work of James M. Burns in 1978, titled simply: *Leadership*. In this work, Burns contrasts "Naked Power Wielding" at one of a leadership spectrum and "Moral Leadership", at the other, with the contention that only the later has the power to engage the organizations members at the level of motives, beliefs, and values. He, then, goes on to distinguish between transactional and transformational interactions between leaders and followers and postulate that transactional exchanges may serve to maintain organization stability or enact short term, incremental changes; but, transformational engagement of followers is

necessary in order to realize sustained commitment to long term fundamental change and achievement of qualitatively different results.

Beyond Public Policy Limitations

The preponderance of evidence suggests that the American public education system has been a huge success story, supporting unparalleled growth, development, and prosperity throughout most of this nation's young history. Yet, much of the current public education policy, touted by political leaders who ride the school reform bandwagon, derives from a premise of failure (Friedman, 2000). This premise ignores a critical body of school reform research which points to a significantly different conclusion: America's public education system is not fundamentally broken; it is simply not adapting fast enough to keep pace with the demographic, economic, and social changes sweeping this nation (Kouzes & Posner, 1995).

While vocally pondering what to do about public education, political opportunists, carpetbaggers, social cynics, and separatists chant, "Burn baby, burn!" (Is that Nero we hear fiddling in the background?) Back home, in our local schools, school leaders, educators, and even parents are scrambling to light back fires to contain the blaze and building fire walls to fend off casualty. Defenders of public education are expending massive effort warding off the siege of criticism (Kouzes & Posner, 1995), but much of that effort is reactive and, where it is not, insufficiently focused to quell the onslaught. As a result, precious reserves of initiative are being expended without commensurate gain. Critical relationships between schools and communities are breaking down. Competing factions have become entrenched. Amidst the white noise of school reform

rhetoric and against a backdrop of uncertainty and conflict, public school leaders and their constituents must find their way through the smoke and flames to a safe haven where they can regroup and take hold of their own destiny.

To illustrate the challenge facing public education leaders in affecting a more coherent and productive school reform public policy, take the case of the initiative undertaken by the 2001 Michigan Senate. As a precursor to defining and legislating the new State Public School Accreditation System, the Senate convened public hearings on "failing schools". Their stated purpose was to generate public input to define what constitutes school failure: how should it be measured, and, moreover, what should a State sponsored legislative policy initiative do to address it? The response was predictable both in terms of who showed up for the hearings and what they had to say.

All of the usual suspects made appearances. The charter school advocates, the voucher/choice contingent, the single issue banner carriers, the K-12 school organizations (school boards, school administrators, teacher's unions, etc.) all had their say. The way in which the topic was addressed, however, differed greatly depending on whether those testifying were looking more to indict or to defend the record of public schools and the degree to which they are currently failing or succeeding. While the title of these hearings assumed the failure premise and elicited much testimony (mostly anecdotal, out of context, and/or derived from incomplete or inaccurate data) to prove the point, public school defenders offered two alternative themes:

1. Why focus on the supposed failure of public schools when the preponderance of evidence in the public record up to this point suggests the opposite?

2. Why not acknowledge that the past failure or success (or any combination thereof) of public education is a moot point? The reality is that the United States and the state of Michigan both have a significant investment in public education and sufficient societal interest, deriving from our core democratic values, to suggest that this investment should be maintained, protected, and enhanced.

This perspective suggests that we turn the spy glass around and view school reform from the perspective of shaping public policy to define success for the future of our public education system and incorporate what we have learned about systemic change that supports adaptive evolution (Sergiovanni & Starratt, 1998). To move off the issue of failure and shape public policy around what will be required to successfully evolve our American system of public education, public policy makers and legislators will need to acknowledge the difference between the requirements for the next phase of school change and adaptation and those that have preceded it in previous periods of our growth as a nation and as a society.

America's place in the contemporary world order is much different than it was during most of this nation's short history. We have transitioned from a young, raw, and largely experimental democracy, to a mature and complex republic with interests and relationships on every continent and in every culture. Moreover, we have been replaced as a developing nation in the world economic and social order by what we described in the twentieth century as "the third world". No longer the world's largest supplier of raw materials, manufactured goods, and low-skilled labor, the United States has become, instead, the world headquarters for expertise, information, and sophisticated institutions

(U.S. and World Report, October 2002). Yet, we have retained our fierce commitment to personal freedoms, egalitarian values, and rights of all our citizens to pursue full realization of their potential. Moreover, the success of our public and private institutions, today, rely almost in total on their leaders' ability to unleash, mobilize, and focus that potential for higher levels of productivity and performance than ever before (Bennis & Townsend, 1995).

This has enormous implications for how we invest in and define the success of our public education system (Lewis, 2003). Today's American schools are charged with the responsibility of educating our citizenry to levels never before expected from the masses in the history of any nation (Lewis, 2003). A basic K-12 education has been redefined in significantly broader terms. Standards of achievement for all students are those once reserved for only the highly educated elite. Accordingly, our public investment in K-12 public education has risen dramatically to the point were it now represents not only the single largest budget category in most state budgets, but also a significant source of line item entries in the federal budget under programs such as I.D.E.A., Title I, and the aggregate legislation of "No Child Left Behind".

In a knowledge and sophisticated skill-based economy, such as we are now engaged, it is only natural that education will continue to play an increasingly larger role in national interests. It is quickly becoming our nation's most significant commodity. As such, education has also become a potentially lucrative for-profit market. Anyone wanting to break into a market where there is a firmly established (and, admittedly entrenched) monopoly (i.e. the K-12 public education system) knows that the first strategy for breaking the monopoly stronghold is to create a public perception of a

problem, and thus, a need to disassemble and replace the current system. When people are confused or uninformed about the issues or facts, but have been convinced of the need for concern, they are more vulnerable to embracing panaceas and quick fixes. Proponents of opportunistic agendas can accrue strong public appeal for broad brush, simplistic solutions through disinformation and an appeal to emotion.

These appeals are often wrapped in rational arguments, but ignore the inherent inadequacy of simplistic responses to address complex challenges such as those which currently face us in retooling K-12 education for the fundamental changes accrued in the past century and still ahead as we get the twenty-first century and new millennium well under way (Wagner, 2003). While the question of past failures or shortcomings within our public education system may distract public discourse, the fact remains that the ship has left the dock, and it is time to chart a new course using all that we have learned in the past waves of education reform and acknowledging the need to build learning and change capacity within our K-12 school institutions. This will not be accomplished through fragmented or agenda driven public policy. A few states that acknowledge this have already engaged in nonpartisan, research based policy discourse. Their discourse has not only led to the establishment of clear standards for student outcomes, these standards are also complemented by strong support for change at the core of teaching and learning (Elmore, 1996). Education leaders and legislators who subscribe to systemic change principles tend to support both public and school based policy which acknowledges:

- Raising academic standards and developing standardized ways of assessing them will not produce quantitatively or qualitatively better or different results,

if fundamental changes do not occur in teaching and learning processes (Elmore, 1992, 1996).

- Focusing on structural changes without realigning student and teacher roles and interactions, along with cultural norms and incentives (Elmore, 1996) can dissipate critical effort and resources without yielding any significant results.

Both the fundamental changes in teaching/learning and the realignment of culture, roles, norms, and incentives take time; both are the products of systemic change; and both should be supported by public and local school policy and processes which are improvement and change (not failure) driven.

If it were true that our K-12 public education system is fundamentally broken and ineffective, marking failure would be a legitimate cathartic precursor to a complete dismantling and replacement of the system. Since, however, the preponderance of social and economic evidence in American society suggests that, up to this point, public education has served and adapted reasonably well, it would be fiscally, socially, and ethically irresponsible to launch major public policy initiatives targeted toward dismantling our public education base or eroding it further by creating parallel systems which compete for the needed resources and collective will necessary to retool and reshape operational norms, culture, and processes in ways that support a continuation of American productivity and excellence.

Our public investment in K-12 education is huge and will need to increase as we establish significantly higher expectations upon it. Education reform policy must maximize that investment by preserving relevant strengths, supporting fundamental changes at the core of teaching and learning processes, and celebrating growth and

improvement. Exemplars of success (not failure) are a better focus for public policy discourse and attention, and indicators of success are a more powerful way of tracking change in local school process and practice.

Taking The Challenge To A School Or System Level

Michael Fullan (1994) describes the conclusions of several studies that examine the interaction between building based and district or system driven change in an effort to illustrate the need for both centralized and decentralized change processes. From these studies, he identifies four sets of conclusions that are useful for developing an organizational change process and approach:

1. Centralized focus needs to be centered on instruction, accountability, change, caring, commitment, and community.
2. Decentralized curriculum development does not produce classroom implementation.
3. When a high degree of engagement and communication are systematically incorporated into the relationship between the district organization and its individual schools, bureaucratization is minimized and a positive organizational context is created for systemic change.
4. District (organizational) policies that establish broad-based missions, strategic directions, team development, planning and decision making processes, professional development, leadership training, capacity building, and personnel selection/promotion/and performance review systems, must correlate to systemic change results.

Elmore (1996) cautions against the tendency schools have to: "legitimize themselves with their various conflicting publics by constantly changing external structures and processes, but shield their workers from any fundamental impact of these changes by leaving the core intact" (p. 11).

Elmore defines the "core" as:

- The way knowledge is constructed or defined.
- The division of responsibility between teacher and student.
- The way teachers and students interact around knowledge
- How teachers relate to each other and their work.
- The role of classroom and school level structures in enabling student learning

To address effect at the core, Elmore (1992) suggests that district/school processes be designed systematically to examine:

- How students are grouped for instruction
- How teacher's work is divided
- How content is allocated to time
- How student progress is assessed

Elmore goes on to suggest that, typically the closer any change initiative gets to the core of teaching and learning norms, the less likely it is that the initiatives will reach adoption on a large scale (1996). This is where district or organizational policy and processes become critical elements. To realize broad implementation of changes at the core of teaching and learning practice, Elmore recommends:

- A strong set of professional and social norms and models for good teaching practice. These can come from either external sources (National Board Teacher Certification, Frameworks for Teaching [Danielson, 1996], National Council of Teachers of Mathematics (N.C.T.M.) Teaching Standards, etc.) or internal examples (model units, video-taped teaching sequences, peer coaching, etc.). Whatever the combination, there are plenty of well documented "best Practice" sources to form the basis for local district or school policy.
- An organizational structure that intensifies focus so that colleagues and administrators, alike, interact routinely around common problems of practice; focus on student work, and "scale down" to increase commitment around a compacted set of priorities.
- An intentional and systematic process for reproducing success, training, coaching, monitoring, evaluating, and reporting results.
- Structures that promote learning of new practices and incentive systems that reward them. This requires, also, a system for continuous feedback.

In a case study of a New York school district, Elmore and Burney (1997) examined the results of putting these recommendations to work through a comprehensive district change policy system. This system operates from a set of core commitments which drive processes and procedures. They include: a) a central focus on instruction; b) an approach to improvement as a long-term, multi-stage process; c) shared expertise as the primary resource; d) system wide improvement targets; e) talent and capacity building; f) clear (centralized) expectations; and g) open and collegial building processes.

The elements described in the New York case study point up the importance of building both organizational and individual capacity (Elmore & Fuhrman, 1994): "The problem is how to get the right knowledge in the heads and hands of the right people and how to get them to use it imaginatively." (p. 9)

If there were only one measure allowed to evaluate the potential effectiveness of a prospective district/organizational change policy, it would have to be the degree to which the policy connects the people who do the work of teaching and learning to increased knowledge, competency, and capacity for creatively applying best practice (Marzano, 2002 & Lambert, 2003). This measure directly aligns with the ability to increase tolerance for fundamental changes at the core of teaching and learning (Fullan, 1993) to accommodate fundamental changes in desired educational outcomes. It is knowledge (best practice) driven, responsive to the need for personal motivation (Deal & Peterson, 1999), and sensitive to the desire for personal mastery (Senge, 1990). Moreover, it is the essential feature for adaptability and continuous growth.

Such policy would, by necessity, also contain strong elements of collaboration. The old axiom that, "none of us is as smart as all of us" (Blanchard, 1996) applies perfectly to the notion of capacity building. Change policies and processes, which increase collegial interactions, build trust and communication, and achieve the "primacy of personal contact" (p.258), are considered essential by William Boyd (1993) for fostering leadership for collaboration. He suggests that these elements, in turn, reduce disabling risk factors (both in students and staff) and increase resilience (student's ability to rise above potentially disabling factors) by strengthening the learning community and establishing the means for authentic engagement in solving real problems.

Public school leaders will continue to face public and local policy conundrums like the recent Michigan Senate hearings on "failing schools". The challenge before us is to adapt local district policies to best support the kind of change our students need and our communities will, ultimately, find necessary for the continued promulgation of a strong social and economic profile. Public opinion surveys repeatedly illustrate the gap between the public's confidence in their local schools and their view of the broader system of public education (Rose & Gallup, 2003). Perhaps this gap somehow aligns with the difference between the emphasis on failure in much of the political rhetoric and the growing acknowledgement, on the local school or district level, that this latest wave of education reform is not about failure – it is about adaptation and change at a deeper and fundamental level than ever before experienced in the history of American society.

Chasing the failure parade will, most certainly, be counter-productive to school and district based efforts to preserve what is working well for students while fostering and jump starting continuous growth and improvement. Pursuing, instead, systemic reformation and realignment around core elements of teaching and learning offers greater promise and avoids sacrificing the welfare of children in a flood of discarded bath water. When the question becomes, "What can we do to adapt and improve?" instead of, "What have we done to fail?" a systems approach makes sense.

As Elmore and Fullan illustrate, the district or school organization plays a key role in setting policies to foster and manage systemic change and improvement. The school leadership challenge is to operationalize systemic change policies into manageable processes which yield results. Because schools are essentially seeking to institutionalize learning, adaptation, and change, the operational processes and practices they use must be

observable, trackable, replicable, and capable of providing continuous feedback. While there is a significant amount of theoretical literature on change oriented or transformational leadership and a considerable array of theoretical and empirical work on change, there is little in the way of tested or testable operational models for applying transformational leadership in a systems approach for increasing organizational capacity.

Various aspects of systemic change in schools have been described, as have the theories which seek to explain why school organizations are so resistant to fundamental or core changes (i.e. political, organizational, rational, etc.). Out of the theoretical and descriptive work have emerged certain recurring themes and elements, many of which have been developed into refined theories for systemic school reform and/or tested as discreet elements within reform models. It remains, however, up to the school leaders and local policy makers to translate the most promising elements and theoretical premises into a working set of school operation policies, practices, and processes. To do so, they need a decision-making framework which will help align day-to-day practice with the critical elements of systems, leadership, and change theory.

Shaping An Operational Framework For School Leaders

Through an analysis of the literature on systems thinking, transformational leadership theory, total quality processes, distributed leadership, change, and school reform, this researcher will distill a set of operational principles that can be developed into a strategic framework for generating and managing systemic change for strengthening organizational capacity and managing change within local schools and school systems. The operating principles and strategic framework will be integrated and

compacted into a lens for observing and tracing a systemic change process over time. Through the investigative portion of this study, the lens or framework will be tested for power and clarity utilizing the artifacts, historical record, personal reflections and products of an eighteen year school reform and change process carried out between 1984 and 2003 in a mid-size suburban/rural school district in Michigan. In constructing and applying this operational lens for implementing and managing systemic change, the researcher will:

1. Distill and compact relevant theories and isolated elements of tested practice into a manageable systemic operational policy framework for building organizational capacity (for growth, change, and learning) through transformational and distributed leadership.
2. Once the distillation and compacting process is translated into an operational framework, examine its power to serve as a lens for describing an actual extended process of organizational change and evolution.

SECTION 2 – THE CASE FOR SYSTEMIC, TRANSFORMATIONAL APPROACHES

Learning centered leadership is a variation on transformational leadership that integrates transformational processes, systems thinking, principles of learning, values-driven decision making, and moral leadership (Burns, 1978, p. 42, Senge; 1990, pp. 6-10; Sergiovanni, 1998, p. 24). The trend toward framing the transformational leader and transformational change processes as focused on learning evolved naturally from the reality that organizations cannot grow, develop, and change in fundamental ways without

a pervasive culture for learning and without leaders who attend to their own learning needs along with those of the organization's members (Sergiovanni, 1998, p. 51).

The argument for learning centered leadership is compelling in the context of postmodern complexity, global competition, and information expansion. The information age has heralded in rates of change known to no previous era. Instant global communications create new and continuously evolving interrelationships and systems (Senge, 1990, p. 14). Both at home and at work, people are doing progressively less routine and physical labor and more technical manipulation and problem solving. These conditions place new demands on workers for adaptability and learning. Old routines and patterns must continuously give way to new ones as people incorporate the latest in technology and the newest information sources into their work. New products and services become part of the economy daily, drastically altering or replacing others. People no longer expect to enter the work force in a job or profession that will remain static and give them extended longevity with one company. In fact, today's workers do not so much seek job security as diversity of opportunity. They know that real security lies in their own ability to adapt and bring value to a wide range of work settings through diverse skills and continuous learning.

Nowhere is this reality of the contemporary leadership challenge more relevant than in organizations whose primary function and "product" is learning, i.e., schools. Like their counterparts in the private sector, schools and school systems are experiencing the same intense pressure to adapt their output to more closely align with the demands of a dynamic economic and social order (Valle, 1999, p. 245). In the United States, this has led to a national debate on school reform. Parents, employers, and politicians are

insisting that public education provide more choice, more quality, and more attention to the individual needs of students. Schools have responded by creating strategic plans, school improvement initiatives, and marketing strategies; legislators have imposed standards of quality, statewide testing systems, and public accountability requirements (Sergiovanni, 2000, pp. 6-12); and parents are beginning to "shop around" for schools or less conventional educational options (home schools, charters, and on-line learning services, etc.). The traditional paradigms of "doing school" are being challenged in much the same way and for the same reasons as the old management structures in business and industry.

With all of these signals telling schools they need to adapt or be outmaneuvered by a competitive environment they have yet to fully acknowledge, school leaders are becoming increasingly aware that they need to jump start the adaptive process. At the same time, however, these leaders are constrained by management structures and systems that limit or stifle learning and usually fail to provide the environmental prerequisites for adaptation or transformation: inquiry, risk-taking, communication, and high levels of engagement or participation (Sergiovanni & Starratt, 1998, pp. 4-5). Thus constrained, school leaders may tinker at the surface of change, but rarely transcend the established boundaries or generate deliberate evolution, despite impressive vision statements and elaborate strategic goals.

Most U.S. public schools are organized into K-12 districts with well-established hierarchies, long-standing patterns of behavior, and firmly entrenched policies and procedures. Together, these components, among others, make up the school "system". For the most part, these systems are the product of a compromise between the agrarian

and industrial priorities of a free democratic society that placed a high premium on educational opportunity, but accepted stratified (bell-curve) achievement (Felner et al. 1997, p. 521). While many of the assumptions underlying our educational system are being challenged or have already changed, for the most part, the system itself behaves as if these assumptions are still valid. Educators tell themselves and their public that they stand for higher levels of student learning for all students and acknowledge students' unique learning needs; yet, they cling to patterns of instruction that stratify learning attainment and deliver learning content as if it were static.

Until recently, most reform or change efforts attempted within these K-12 district arrangements have focused on rearranging or altering the traditional systems and structures (site-based management, block-time arrangements, interdisciplinary teaching, standards based curriculum and assessment, cross-age grouping . . . the list goes on). Though most of these change and improvement initiatives draw sound support from education research, many have produced less than impressive results in real school settings. Often, the attempts look transformational; that is, they start out with vision and purpose. There is plenty of collegial process. Leaders refrain from overtly handing down edicts. Energy runs high in the planning stages, and there is a fair amount of optimistic expectancy. Despite all of this apparent transforming activity, however, these reform efforts rarely yield significant evidence of improvement in the overall achievement level of students. In many cases, implementation breaks down and the change effort is abandoned or only partly or superficially completed (Armenakis & Bederian, 1999).

Recent literature on transformation or systemic change illuminates some of the common points where such attempts for generative transformations break down and fail

to produce desired or desirable results. First, transformational processes must surmount the intransigencies of cultural norms, assumptions, and personal mind-sets that characterize organizations (Zeffane, 1996, p. 36). Second, organizations operate on the basis of established patterns and processes. These create the routines that are the "life blood" (Zeffane, 1996, p. 37) of day-to-day operations; however, this life blood can also succumb to "hardening of the arteries" when set policies, procedures, and processes cannot appropriately respond to new situations and stubbornly resist needed changes. This entrapment in fixed organizational patterns impairs the ability for people to learn and make important changes in behavior (Senge, 1990, pp. 42-43). Third, many of today's businesses and public institutions are in the throes of uncertainty and stress as a result of increasing complexity and dynamism required constant change to survive (Zeffane, 1996, p. 37). Uncertainty and stress lead to loss of equilibrium and stimulate reactive and defensive behavior (Woodall, 1996, p. 27; Armenakis & Bederian, 1999, p. 297).

Finally, there are moral and ethical concerns accompanying any would-be transformational process which attempts change at a deep cultural level and challenges fundamental values, beliefs, and principles (Woodall, 1996, p. 26). Even the best-intentioned transformational leaders can revert to manipulation and coercion to achieve "buy-in", only to achieve, instead, resentful and superficial compliance or stubborn resistance and even mutiny. Very quickly, these leaders can find themselves without a base of support, and at great risk of losing their job. They may act for all the right reasons, but in failing to acknowledge that people need to learn and grow into change - that significant changes in behavior require equally significant changes in beliefs,

assumptions (Zeffane, 1996, p. 36) and patterns of interaction (Woodall, 1996, p. 31) - they set everyone up for a rough ride. Leadership theorist and author of numerous leadership training resources, Ken Blanchard, captures this moral and ethical challenge of transforming leadership in his succinct homily, "You can't expect an empty bag to stand up straight" (Blanchard & Peale, 1988, p. 96).

In recent years, a growing number of business and school leaders have seriously examined the principles of learning centered leadership as a framework for addressing many of the fundamental challenges and pitfalls inherent to transformational change processes. Learning centered leadership offers subtle, but powerful differences in orientation that address potential roadblocks to transformational and systemic change. The first difference is that the locus of control for the learning-centered leader shifts from controlling or changing others, to controlling the leader's own orientation for change and learning and, thus, his/her own learning behaviors. This shift starts by "taking a stand" (Senge, 1990, p. 341) for becoming a learning organization. It requires the leader to present a model for learning leadership and to adopt assumptions that others are capable of adding to and, thus, strengthening the organization's vision, values, purpose, and processes by virtue of their own vision, beliefs, experiences, and skills (Neuman & Simmons, 2000, p. 10; Senge, 1999, p. 351).

Learning centered leaders must also give up the notion that vision is solely the purview and possession of formal leadership. Most transformational theorists stress the importance of shared leadership, but describe this as occurring through a normative process. Sergiovanni and Starratt conclude that research affirms the need to "re-culture the institution; i.e. change(ing) assumptions, beliefs, and values" (1998, p. 24). They

describe the re-culturing process as driven by "super vision" (p. 4). Senge describes it as "the story – the overarching explanation of why they do what they do, how the organization needs to evolve, and how that evolution is part of something bigger" (1990, p. 341). Often, the notion of leaders creating vision and transferring that vision to followers is the basis for arguing the importance of leader charisma and other aspects of personality models (Valle, 1999, p. 230; Cohen & Tichy, 1997, p. 58). The assumption that the central challenge of shared vision is one of articulation and transfer ignores the reality that for vision and purpose to be truly shared, they must be part of the public domain and not proprietary.

The learning centered leader is prepared to address this reality. He/she knows that the "leader's purpose story is both personal and universal . . . (it) provides a single integrating set of ideas that gives meaning to all aspects of the leader's work" (Senge, 1990, p. 346). While the learning leader's story begins with very personal exploration of fundamental values and purposes, it does not end there. The learning leader understands that commitment to building a learning organization requires that others get the same opportunity to make their own sense of "the story", therefore he/she leaves room for the story to evolve as it is told and retold. The learning leader listens carefully to the nuances added by others as "the story" is retold and uses those nuances to broaden the vision, make it more relevant, and build shared ownership. In this way, the learning leader becomes the steward (Senge, p. 346), but not the sole proprietor of the vision. At the same time, others begin to subscribe to the vision because they see something of themselves in it. They have not so much been re-cultured or re-normed as allowed to integrate their own vision and purpose with those of the organization. They have not

been passively manipulated, they have been involved. When this happens, there is ultimately, "only one boss – the (organization's) values and purpose" (Blanchard & O'Connor, 1997, p. 55).

By functioning as a steward of the organization's vision, values and purpose, the learning centered leader begins to address some of the cultural, moral, and ethical issues of transformational change. There is still, however, the issue of dissonance within the systems that drive the organization. The dissonance comes from a mismatch between the structural and behavioral patterns and the vision, values, and purpose. Such dissonance creates frustration and stress in the organizations' members, dissipates energy, and sabotages change efforts (Zeffane, 1996, p. 39).

Learning leaders, again, must adopt a new orientation to leadership in order to reduce and eliminate this dissonance within the organization. Leaders are typically seen in the role of steering the ship (Valle, 1999, p. 250). According to Senge (1990, pp. 341-342) the learning organization is one where the "helmsman, the navigator, the engineer, and the social director" are all legitimate leadership roles; but, by far, not as significant as the role of designer. Within frameworks that stress distributed leadership (Neuman & Simmons, 2000, p. 11) and leaders developing leaders (Cohen & Tichy, 1997, p. 38), the role of designer becomes even more critical. The role of designer focuses the leader on developing policies, strategies, and systems that integrate all the disciplines of the learning organization: shared personal mastery, systems thinking, mental models, and team learning (Senge, pp. 6-10). The role of designer is less visible, more supportive and, generally more empowering. Done well, it creates consonance within the organization, which reduces barriers to sustainable change and satisfying results. Like all

design work, it involves careful alignment and integration of components, and strategic utilization of resources (Moffett, 2000, pp. 35-36). Senge describes the primary goal for the learning leader as "the design of learning processes that help people deal with the critical issues and develop mastery in the disciplines" (1990, p. 344).

In Senge's model, the leader, as designer is the second critical strut for the three-legged stool supporting the learning organization. As such, the leader as designer function aligns with the premise of Total Quality Management (TQM) and other systems based management processes: "TQM requires consistent effort by the entire team, working together toward common objectives based upon an accepted vision and mission, and using quantitative and qualitative data to measure how well the system is meeting the needs of all stakeholders inside and outside the organization" (Bonstingl, 1992, p. 31). To create conditions for self-directed teams, leaders must develop other leaders with the skills and orientation to utilize inquiry and data as a means of identifying where the organization's systems and processes need to be adjusted in order to support the organization's ultimate purpose well. Building distributed leadership is an important part of design work, because it "cultivates collective ownership of successes and problems, as well as responsibility for results" (Neuman & Simmons, 2000, p. 9).

The school leader, as chief designer for the learning organization, realizes that teachers must play a central role in any effort to improve the systems and processes that support teaching and learning. Teachers hold the closest proximity to the work of learning and, thus, have the greatest potential for altering learning processes in ways that impact student success. To this end, school leaders are beginning to create staff development processes that engage teachers in action research. Working in teams,

teachers or teacher leaders (Clarke, et al, 1998) are taught how to identify learning problems, explore solutions, test those solutions, and generate conclusions that could alter teaching practice.

Though change implemented in this manner appears slow and painstaking, it can avoid the dissipation of energy and commitment that accompanies grand school improvement schemes that fizzle out or go awry (Conyers, 2000, pp. 22-23; Zuckerman, 2000, p. 12). When school leaders focus their efforts on "developing and maintaining processes to ensure all parts of the organization work together in ways that maximize effectiveness and efficiency" (Hammond, 2000, p. 17), they are behaving as designers. By empowering others to share the leadership role, leaders create the condition for "on the line" rather than "end of the line" quality control (Bonstingl, 1992, p. 19). These leaders do not "lose (their) job from empowering people, (they) just get a new one . . . rather than directing controlling, and supervising . . . (they) serve as a linking pin" (Blanchard, et al, 1996, p. 23) between people and the processes and systems that shape their work. By inculcating behaviors of reflection, analysis, and action research, the link becomes a direct line for quality assurance and alignment with the mission of the organization (Patterson, 1993, p. 353).

The final stool leg of Senge's learning centered leadership model (Senge, 1990, p. 353) is the most natural role for a leader of a learning organization – the role of teacher. The leader as teacher focuses attention, not on events and patterns of behavior, but on purpose (the story) and systemic structure (systems thinking and mental models) (p. 353). This is not a didactic model for teaching; rather it is discovery based, inferential, and

facilitated by fostering a learning environment that builds capacity for people to see how the parts of the system interact and how the systems connect to the larger purpose.

In schools, this can take the form of continuously refocusing people on the central purpose of the organization (i.e., student learning) and evidence of how well that purpose is being fulfilled. This, again, leads right back to systems thinking. People do not fail; systems do. By coaching for open inquiry, "looking beyond systematic problems and solutions to fundamental systems issues: thinking whole-system, long-term solutions and allowing time for solutions to take effect" (Patterson, 1993, p. 66), school leaders can utilize their teaching role to help others transcend the potential structural barriers to effective change.

When people begin realizing that they are empowered to redesign systems to better serve the teaching and learning process and that they are accountable for the results, they come to understand that they "cannot become what (they) need to be by remaining what (they) are" (DePree, 1987, p. 87). This understanding is where true ownership beings. Expanding ownership "demands increasing maturity on everyone's part . . . and continually rising levels of literacy" (DePree, 1987, p. 87). For schools, this literacy takes many forms: best teaching practice, learning theory, future trends, assessment and evaluation processes, etc. The work of the leader as teacher in school organizations is to build the organization's literacy quotient to the point of achieving the "Wizard of Oz Insight": teachers, principals, parents, and support staff "come to realize (their) inherent power and collective synergy . . . and (their) own capacity for problem solving, creativity, and action" (Brown & Moffett, 1999, p. 149).

In Senge's learning organization, leaders "generate and manage creative tension . . . through relentless commitment to truth and to inquiry" (Senge, 1990, p. 355). They do this by serving as designers, stewards, and teachers. "They are responsible for building organizations where people continually expand their capabilities to understand complexity, clarify vision, and improve shared mental models – that is, they are responsible for building organizations where people continually expand their capabilities to understand complexity, clarify vision, and improve shared mental models – that is, they are responsible for learning" (p. 340).

Again, the downside of learning centered leadership is the lack of immediate payoff on a grand scale. Since learning and changes in systems, culture, and behavior are incremental, drastic shifts do not occur overnight; rather they unfold through an evolutionary process. For this reason, the learning centered leader must become adept at recognizing the right combinations of people, situation, and context where conditions are ripe for discovery and tangible results are achievable in a rather short time. Using these "teachable moments", leaders can help ready learners generate visible successes (improved reading levels in the primary grades; reduced behavior incidents; improved parent attendance at conferences, etc.) As these successes begin to create a chain of small alterations to the organization's systems and processes, learning centered leaders help others connect their successes to the organization's "story" (vision, mission, and purpose) and, in so doing, envision other opportunities for even greater success through even bolder changes. This generative process allows the organization to create a critical mass of systemic and transforming change, which, in turn, captures the organization's power to reinvent itself. Because the process unfolds slowly, at first, then gains

momentum fueled by attainment of measurable goals, it answers concerns regarding both extremes of the change process: too slow and momentum is lost; too fast, and irreparable damage is possible.

Today's school leaders find it challenging to ride the turbulence created by alternating pressures to tackle adaptive change or resist and preserve the status quo. Transformational approaches offer the best hope for weathering the high and low pressure systems of school reform, especially when implemented through a learning-centered orientation. As in all complex processes, reading the conditions and adjusting situationally requires high levels of discernment honed by the leader's own orientation to their work as a learning process. Learning centered leaders may have an edge when it comes to charting a steady course, because they learn to accept that there is rarely a straight route to achieving the desired destination. They also learn to tack and jibe with the shifting winds and tricky currents of the change process in order to maintain headway. By leading themselves and others back and forth through discovery and transition, they create conditions for reaching uncharted destinations, some of which may hold great promise.

Many school leaders at both the building and central office level are endorsing and looking to transformational leadership practices as a means to revitalize and adapt their schools in ways that produce qualitatively and quantitatively better results for students. Yet, recent literature on transformation or systemic change illuminates some of the common points where such attempts for generative transformations break down and fail to produce desired or desirable results. First, transformational processes must surmount the intransigencies of cultural norms, assumptions, and personal mind-sets that

characterize organizations (Zeffane, 1996, p. 36). Second, organizations operate on the basis of established patterns and processes. These create the routines that are the "life blood" (Zeffane, 1996, p. 37) of day-to-day operations; however, this life blood can also succumb to "hardening of the arteries" when set policies, procedures, and processes cannot appropriately respond to new situations and stubbornly resist needed changes. This entrapment in fixed organizational patterns impairs the ability for people to learn and make important changes in behavior (Senge, 1990, pp. 42-43). Third, many of today's businesses and public institutions are in the throes of uncertainty and stress as a result of increasing complexity and dynamism required constant change to survive (Zeffane, 1996, p. 37). Uncertainty and stress lead to loss of equilibrium and stimulate reactive and defensive behavior (Woodall, 1996, p. 27; Armenakis & Bederian, 1999, p. 297).

The theoretical literature identifies, among others, two critical elements to transformational and generative leadership. The first is distributed (versus hierarchical) leadership and the second is systems thinking. Since schools are traditionally organized along both highly departmentalized and hierarchical arrangements, both are difficult to implement. The theoretical models (Senge, Sergiovanni, Avolio and Bass, Burns, Hershey, Blanchard and Johnson) are rich with inferential generalizations but extremely limited in specific structural or operational strategies. Thus, there are few empirical studies which test the efficacy of working models for school governance that specifically incorporate strategies to distribute and generate broad-based and inclusive leadership along with systemic approaches to developing and implementing change initiatives.

Framing Systemic And Transformational Strategies

In *Reframing Organizations: Artistry, Choice, and Leadership* (1997, 2nd ed.), Bolman and Deal suggest that people use "frames" to assess and respond to situations. They are:

1. Human Resource, i.e. human needs, skills, trust, caring
2. Structural, i.e. goals, efficiency, chain of command, results
3. Political, i.e. resources, power, conflict, negotiations, compromise
4. Symbolic, i.e. meaning, symbols, rituals, ceremonies, stories

In organizations, each of these "frames" or ways of seeing reality combine to shape the whole context of people's lives at work. When efforts to change and transform the organization ignore any one of these frames or views of the whole, they are apt to run into roadblocks stemming from that which is ignored (Carlson, 1996).

Whether through the use metaphors, such as those suggested by Carlson in *Reframing and Reform: Perspectives on Organizational Leadership and School Change* (1996,) or disciplines, as described in Senge's seminal work, *The Fifth Discipline* (1990), or frames (Bolman & Deal, 1997), organizational and leadership theorists commonly agree that systemic change, growth and organizational development require leadership approaches and strategies that incorporate both the human and organizational dynamic. Carlson's metaphors encompass issues of culture, politics, theater (or drama), and learning (p.24-25), while Senge's disciplines (1990) address change from the perspective of individual potential, collective vision, clear mental models, and teams that learn.

Senge's "fifth discipline" is the one that unifies the other four into a coherent body of theory and practice (p.12). This coherence is achieved through the discipline of systems thinking – thinking that takes into account the interrelationships between personal commitment and motivation, a powerful shared purpose and direction, processes that leverage learning quotient through teaming, and operational models that support both the vision/mission of the organization and adaptation as learning creates new opportunities. Systems thinking creates the potential for all of the other disciplines (defined by Senge as "theory and technique that must be studied and mastered to be put into practice", p. 10) to be developed "as an ensemble" (p. 12). Without this ensemble approach, Senge argues that the application of new tools and strategies will yield only temporal and disappointing results. To move beyond superficial to deep organizational learning (and, thus, transformational change), requires the integration of new tools and learning at an individual level across all of the disciplines.

Hersey, Blanchard, and Johnson (1996, 7th ed.) acknowledge the delicate balance between interrelated organizational variables and individuals within the organization as well. Their model (p. 47-49) consists of causal variables (leadership strategies, skills and behavior; management decisions; policies and structures), intervening variables (commitment, motivation, morale, leadership skill communication, conflict resolution, decision making, and problem solving), and output or end-result variables (achievements, outcomes, status). To address this delicate balance for managing organizational behavior, they developed a framework for "situational leadership" which requires leaders to assess, reflect and respond based on the task, the skills and motivation of the follower, and the amount of delegation or support needed for a given follower or group in a given situation.

This situational approach to organizational management and supervision, again, derives from the need for holistic or systemic theoretical and operational frameworks for leaders who seek to affect organizational learning and transformational change for quality results. At the same time, the situational leadership approach accounts for change as a human endeavor that comes down to individuals, each of whom must play a role that draws from and is shaped by the interaction of all the variables that play out in the organization.

While Deming's Total Quality Approach (1986) originally emphasized the process side of organizational systems, it was based on the premise that:

> "if workers could be educated and empowered to manage their own work processes, the quality of their output would improve..." (Bonstingl, 1992, p. 9).

Later, in an unpublished monograph called "System of Profound Knowledge" (1990), Deming identified elements that shape a "system of profound knowledge" (Deming in Bonstingl, 1992) and include human psychology, learning theory, and variation within systems. Clearly, Deming is acknowledging that quality processes are the product of knowledgeable, empowered, and motivated individuals working in self-directed teams held together by unifying organizational goals and purposes and an atmosphere of trust and mutual respect (1992).

Each of these systems thinkers have proposed frameworks and systems for thinking about organizational learning and change. Each has accounted for both the organizational and human factors that play out in organizations and each has argued for an integrated approach to organizational management and leadership. School leaders can benefit greatly from learning the principles of their work and reflecting on applications within their organizations. That said, a rich understanding of the theoretical literature,

alone, will not automatically enable school leaders to reshape their day-to-day practices in ways that foster organizational learning at an adequate rate or degree. Nor will these understandings translate directly into the means to replace operational norms and structures that constrain growth, learning, and evolution with ones that transform the organization into its desired future vision.

These theories, taken as discreet frameworks or as collective insights, point the way. They illuminate the path. They also provide the school leader who is committed to transformational change, the reasoned expectation that a systems-based approach that accounts for the interaction of both human and organizational factors will eventually take them and their organizations where they need to go if they are to survive well into the new millennium as viable providers of America's education needs. Direction and illumination, reasoned expectations, and a sense of urgency in hand, school leaders need operational frameworks that translate theory into action, general guidance into specific strategies, and systems into behavioral processes designed for school organizations. The challenge in making this translation is one of compilation, distillation, and organization. In the next section of this chapter, we will explore additional sources of research-based theory and practice for delineating the critical elements of a transformational, systemic change process in school organizations. We will compile, distill, and organize both the overarching systemic theories and the focused work relating to the implementation of transformational processes for the purpose of producing both a mental and operational model for school leaders to use in planning, conducting, monitoring, adjusting, and evaluating their systemic change efforts in their own school organizations.

SECTION 3 - ESTABLISHING AN OPERATIONAL FRAMEWORK

Section 2 of this review of the literature established the theoretical assumptions for developing organizational capacity and productivity (results) in schools through the application of transformational leadership practices. This section of the review will focus on isolating discrete operational constructs to support a framework for applied transformational approaches for school organizations. Subsequent sections will organize the operational constructs identified here into a strategic model for organizational planning. Finally, the strategic model will be adapted into a lens for observing, describing, and analyzing the application of transformational leadership practices in school leadership and management.

Establishment Of Meaning

Since the cornerstone of transformational or learning-centered leadership is the establishment of meaning, this will be the first construct for the operational model. If leaders and followers are to interact and act in ways that transcend individual needs and concerns, they must share a common purpose, which lends meaning to their individual and collective work. The purpose must be sufficiently articulated, personally fulfilling, and universally valued so as to engender heartfelt commitment (Schwahn & Spady, 1998) and a clear focus for the work of both administrators and teachers.

A shared organizational purpose that is sufficiently powerful to engender individual and group commitment must tap into core beliefs, assumptions, and values (Sergiovanni & Starratt, 1998) and overtly express a set of priorities for day-to-day

action. A transformational leader shapes organizational meaning around central commitments and guiding principles. These, in turn, become the "boss" of the organization (Blanchard & O'Connor, 1997) and teacher and administrators, alike become servants (Burns, 1978) to their shared sense of purpose and principled agreements.

The importance of guiding principles of operation is that they explicate agreements around core values. They become the operational policy or the *how* for the *what* of organizational purpose. They do so by laying out the ground rules for how teachers, administrators, parents and students, will work together to achieve the school's common purpose. In Supervision: A Redefinition (1998), Sergiovanni and Starratt describe a process for teachers and administrators to individually and collectively develop their "educational platform" (p. 158) representing the assumptions, beliefs, attitudes, and values that will form the basis for their behavior.

The process of creating an educational platform is the same as that of establishing guiding principles. They are both normative activities (Burns, 1978; Bass & Avolio, 1994; Sergiovanni & Starratt, 1998) and, as such, powerful transforming or transcending devices. Whether through a set of guiding principles, a statement of educational platform, or a compilation of operating norms, these behavioral expressions of shared values and commitments can become powerful determiners for individual and collective realization of shared purpose.

When coupled with clear purpose, shared operating principles, platforms, or norms encourage the integration of "head, heart, and body" (Brown & Moffett, 1999, p. 31), which create the meaning prerequisites for personal and organizational learning:

"The knowledge and understanding that become a true part of ourselves are always the result of experiential learning in which we are intellectually connected, emotionally engaged, and physically involved."

Shared organizational purpose, which speaks to our shared values and beliefs, engages us both emotionally and intellectually. Shared principles or norms align our behavior or physical involvement with our shared purpose. Together, they give our day-to-day work in schools a platform of meaning which can open our hearts and minds to future possibilities.

Building Shared Vision

Peter Senge (1990) calls this one of the five critical disciplines for learning-centered (transformational) leaders and (transforming) organizations. Schwahn and Spady (1998) describe the school leaders' task in building shared vision as follows:

> "(It) is the blueprint and road map for change. A clear and compelling vision statement brings the purpose to life; provides a concrete description of what the organization will be like when operating at its ideal best, and gives everyone . . . a clear direction to pursue and standards against which to measure their performance and results") (p. 22).

Future possibilities are embodied in shared vision. If shared purpose and principals create readiness for learning, shared vision provides the focus for learning effort.

School leaders must make a deliberate decision to shape shared vision either through the established cultural norms, assumptions, standard operating procedures, and expectations that typically characterize schools or through the process of stretching people out of their comfort zones and challenging them to consider new possibilities (Zeffane, 1996). If school leaders choose to engender vision which suggests change at a

deep cultural level and challenges fundamental values, beliefs, and principals (Woodall, 1996), they will need to anticipate and be prepared for the potential loss of equilibrium and resulting reactive and defensive behavior (Woodall, 1996; Armenakis & Bederian, 1999). A transformational school leader will understand that people need to learn and grow into change. They will understand that creating a vision for meaningful change will most certainly require equally significant changes in beliefs, assumptions, and patterns of interaction and behavior (Sergiovanni & Starratt, 1998).

These changes will not come easily. School culture is tight and resistant to structural change without fundamental shifts in shared beliefs and values (Weick, 1976). Shaping a new shared vision for change and growth in an organization may begin with the school or school organization leaders, but it cannot remain vested with only those with formal authority (administrators). Learning centered or transformational leaders must give up the notion that vision is solely the purview and possession of formal leadership (Senge, 1990).

Most transformational theorists stress the importance of shared leadership, but describe this as occurring through a normative process. Sergiovanni and Starratt conclude that research affirms the need to "re-culture the institution; i.e. change(ing) assumptions, beliefs, and values" (1998, p. 24). They describe the re-culturing process as driven by "super vision" (p. 4). Senge describes it as "the story – the overarching explanation of why they do what they do, how the organization needs to evolve, and how that evolution is part of something bigger" (1990, p. 341). Often, the notion of leaders creating vision and transferring that vision to followers is the basis for arguing the importance of leader charisma and other aspects of personality models (Valle, 1999, p.

230; Cohen & Tichy, 1997, p. 58). The assumption that the central challenge of shared vision is one of articulation and transfer ignores the reality that, for vision and purpose to be truly shared, they must be part of the public domain and not proprietary.

The learning centered leader is prepared to address this reality. He/she knows that the "leader's purpose story is both personal and universal . . . (it) provides a single integrating set of ideas that gives meaning to all aspects of the leader's work" (Senge, 1990, p. 346). While the learning leader's story begins with very personal exploration of fundamental values and purposes, it does not end there. The learning leader understands that commitment to building a learning organization requires that others get the same opportunity to make their own sense of "the story"; therefore he/she leaves room for the story to evolve as it is told and retold. The learning leader listens carefully to the nuances added by others as "the story" is retold and uses those nuances to broaden the vision, make it more relevant, and build shared ownership. In this fashion, the learning leader becomes the steward (Senge, p. 346), but not the sole proprietor of the vision. At the same time, others begin to subscribe to the vision because they see something of themselves in it. They have not so much been re-cultured or re-normed as allowed to integrate their own vision and purpose with those of the organization. They have not been passively manipulated, they have been involved. By functioning as a steward of the organization's vision, values and purpose, the learning centered leader begins to address some of the cultural, moral, and ethical issues of transformational change. At the same time, this stewardship becomes instrumental in creating the broad base of ownership that will be essential when the organization begins confronting the intransigencies of cultural and operating norms, which threaten to throttle learning and growth.

The process of shaping an "ennobling and uplifting" vision for the organization (Kouzes & Posner, 1995) cannot be complete without the establishment of shared values and beliefs:

> "conscious expressions of what an organization stands for" (Deal & Peterson, 1999, p. 26.) and "consciously held, cognitive views about truth and reality" (Ott, 1989 in Deal & Patterson, 1999, p.39).

Together, the establishment of shared values and beliefs regarding the work of the organization and the means by which people will endeavor to achieve its vision, shape common expectations and form the agenda for enlisting commitment (Kouzes & Posner, 1995). These expectations, in turn, can be translated to guiding principles, or the "deep-seated, pervasive standards" (Kouzes & Posner, 1995, p. 212) which shape the parameters for decision-making and for behavioral norms.

Finally, meaning that shapes transformational change and sustains organizational growth must be supported by shared or common language. The use of word pictures, images, and powerful language helps members of the organization rehearse and visualize their shared purpose, vision, values, beliefs, guiding principles, and expectations (Kouzes & Posner, 1995). Kotter (1999) cautions that vision must be "imaginable, desirable, feasible, focused, flexible, and (above all) communicable. Without consistent common language facilitated by meaningful symbols, metaphors, and simple "stories", meaning and vision can get lost in the "clutter" of communication (Kotter, p. 89). Common language, common stories, common visual representations become the currency of the change process, the give and take of change dialogue, and the moderator of resistant cultural norms (Schein, 1992).

Powerful shared meaning is the taproot of organizational capacity for change and growth. It is also the antidote for the cynicism, ambiguity, alienation, and uncertainty that challenges today's leaders (Kotter, 1995; Kouzes & Posner, 1995). For school organizations the elements of meaning are most powerful when they form around a "shared vision of excellence about teaching, learning, and leading with students" (Lambert, 2003). School leaders have the added challenge of shaping organizational meaning against a backdrop of external rhetoric, pronouncements, definitions, and judgments which can run contrary to the precepts that support organizational capacity to achieve desired levels of student success. This makes the work of this first quadrant of systemic transformational change and development vital to building organizational capacity around skills, behaviors, and practices that translate to improved student learning (Marzano, 2003).

In summary, initiating and sustaining a systemic, transformational change process that increases organizational capacity to deliver desired results requires powerful shared meaning. This, then is the first quadrant of the lens we are creating for examining and guiding a systemic change process in school organizations. The discreet facets of this portion of the lens include:

- Establishment of Shared Mission and Purpose
- Creation of a Shared Vision for the Organization's Desired Future
- A Set of Shared Values and Beliefs that Support the Mission/Vision
- Clearly Defined Expectations and Desired Outcomes
- A Set of Guiding Principles that Shape Organizational Norms
- A Common Language for Communication and Commitment

Adapting The Culture

In Shaping School Culture, (1999), Deal and Peterson define culture as:

"the shared system of informal folkways and traditions that infuse work with meaning, passion, and purpose" (p.1) ... and "shape beliefs and behavior over time." (p.3)

School organizations are steeped in culture that transfers assumptions, values, and beliefs through stories, traditions, and behavior patterns over time and "model the way" for new members (Kouzes & Posner, 1995). This modeling creates norms that become, "common and pervasive ways of acting...that persist...because they are taught and rewarded" (Kotter, 1996, p.148). In an extensive study of school restructuring initiatives and processes, Newman and Associates (in Deal & Peterson, 1996) found that both new structures and new professional culture are necessary to effect systemic change. Further, Schein (1992) suggests that the most important focus for leaders must be the shaping and managing of culture.

If culture shapes behavior (through values, beliefs, and assumptions) and behavior must change in order to yield new results, leaders must pay close attention to the norms of behavior that play out in the existing culture. These are often evidenced as loose and ambiguous operating processes – both formal and informal (Lipsky, 1980; Weick, 1976) and they usually emanate from strongly held commitments to what people believe is true and right (Carlson, 1996). Any attempt to alter behavioral norms must be attentive to ways people are vested in the history and traditions that shaped those norms. To attempt changes in firmly established behavior patterns without first addressing their underlying assumptions, values, and beliefs is to risk treading upon personal meaning and identity

and violating commonly held truths (Deal & Peterson, 1999). Schein (1992) recommends that leaders be "historians and anthropological sleuths" in order to understand the cultural norms and underlying assumptions (Carlson, 1996) that shape firmly entrenched behaviors. By first understanding and, then honoring, what has shaped the existing culture, leaders can open the way for members to examine their own assumptions, values, beliefs, and resulting behavioral norms.

Because school organizations are so loosely coupled, it is also important that leaders attend to the patterns of affiliation and group dynamics. By understanding these patterns, leaders can tap into and enlist "social support networks" (Kouzes & Posner, 1995, p. 301) around opportunities for engagement and empowerment through shared commitments. Power structures built on competition between groups for limited opportunity and resources can create strong resistance to change (Carlson, 1996). This resistance can be reduced when members of competing groups are engaged in new social arrangements where they can discover common ground in a risk free environment (Lambert, 2003).

Probably the most significant role for leaders in shaping organizational culture that supports systemic change and improvement is the process of cultivating leadership. Deal and Peterson (1999) state that successful school organizations have leadership that "emanates from many people" (Preface). Kouzes and Posner (1995) suggest that leaders build powerful organizations by giving power away – not with laissez-faire approaches (Sergiovanni & Starratt, 1998); rather by modeling, developing, and supporting "broad-based, skillful participation in the work of leadership" (Lambert, 2003, p. 81). Senge (1990) approaches this challenge by suggesting that the leader has three primary

functions: those of designer, steward, and teacher. Each of these functions centers around the fundamental importance of shaping meaning and building capacity to translate meaning into results.

The precursor to distributing meaningful leadership roles throughout the organization is engagement and inclusion. Kouzes and Posner (1995) offer the strategies of consultation and dialogue for achieving "frequent and durable interactions" (p. 161) which translate to feelings of affiliation followed by feelings of efficacy. These form the beginnings of leadership which, when mentored and coached into the commitment, skills, and motivation to pursue shared commitments, can effect improved results (Deal & Peterson, 1999). The importance of cultivating and developing (coaching) leadership is stressed as the fundamental purpose of supervision in Sergiovanni and Starratt's book entitled, Supervision – A Redefinition (1998). The authors stress that school leaders are, first and foremost, "developers and leaders of leaders" (p. 50). They also stress, however, that the development of leaders is not a didactic process; rather, it is a process driven by shared inquiry, dialogue, reflection, and practice emanating from commonly held principles, values, and beliefs.

The building of a strong culture for shared leadership and shared commitments is a highly normative process (Sergiovanni & Starratt, 1998) requiring conditions that replace self interest as the prime motivator with priorities that grow out of connectedness to strongly held values and priorities (p.21) that support a common vision and sense of purpose. Marzano (2003) suggests that this type of second order change is built slowly over time and requires consistent attention and focus. Deal and Peterson argue that this type of deep cultural change "comes last, not first" after significant results, dialogue,

turnover, and succession. Kouzes and Posner (1995) recommend that leaders begin by "assigning people to opportunity" (p.58) and continue to enlist and engage until the culture is permeated with "dense leadership" (p.141). Kotter (1999) recommends that leaders accomplish this deeply or densely distributed leadership by shaping leadership teams who work together to build skill, expertise, credibility, and to achieve desired results.

Clearly, the work of adapting the organization's culture in ways that support systemic change, growth, and improvement is a lengthy and intense process. It is arguably the area where leaders will and should devote most of their time and effort. Because the process requires painstaking attention and the transformation is slow, it would be easy for leaders and developing leaders to lose their focus, get discouraged, and revert back to the status quo (Conyers 2000). Because change can threaten people at a deeply personal level, people need to find safe harbors of security where they can pause and reconnect to the comfort of the familiar (Deal & Peterson, 1999). The organization's traditions and rituals provide opportunities for both safety and comfort – safety in reconnecting to honored history and comfort in the deeper meanings give dimension to the work.

Deal and Peterson (1999) recommend that leaders use ceremonies, celebrations, rituals, stories, and symbols in a deliberate and sustained manner to:

- Bind people together
- Tap into the organization's cultural roots
- Orient and mold new staff
- Revitalize veterans

- Convey values, beliefs, purpose, and vision

At the same time the leaders are developing leaders, DePree (1987) suggests that careful attention be paid to recognizing, recruiting, and encouraging the organization's "storytellers" to insure that critical elements of meaning that will help shape the change process are woven into the organization's lore and rituals along with the organizations history and transitions. Through these storytellers leaders can provide both the security of continuity and the motivation of aspiration. In this manner, leaders help shape a common sense of, "what we have been, what we are, what we want to become" (Schein, 1992).

The second quadrant in our framework for leadership attention to support systemic transformational change gathers the critical elements for shaping organizational culture that builds capacity and commitment around a shared vision and commonly held values, beliefs, and guiding principles. As discussed in this section, the elements that appear most critical in this second leadership focus area are:

- Understanding and reshaping norms of behavior
- Strengthening affiliations and connecting groups
- Distributing leadership throughout the organization
- Mentoring, coaching, and supporting leaders and leadership teams
- Building upon traditions, celebrations, ceremonies, and stories
- Authentic engagement and meaningful inclusion
- Ongoing dialogue prompted by shared inquiry and reflection

Decisions Based On Relevant Information And Data

This quadrant of leadership focus and attention is all about insuring that decisions and decision-making processes foster, exploration, discovery, and problem solving (Kouzes & Posner, 1995) that furthers the mission, purpose, and vision for the organization. To that end, leaders must systematically insure that decisions are supported by multiple performance indicators and impact measured through a wide distribution of data (Kotter, 1999). At a school and classroom level, this means clearly articulated definitions of student success matched to reliable performance indicators and manageable systems for the collection, storage, and retrieval of real-time data (Marzano, 2003). At a school and district level, this further requires tools, processes, and procedures for data analysis that provides meaningful interpretation of results and an ongoing feedback loop for school improvement efforts (Bonstingl, 1992; Sergiovanni, 2000).

The primary evidence of effective change and improvement will, by virtue of a school's core mission, derive from student performance data. When this data is easily available and meaningfully organized at both the classroom and school level, students, teachers, and school leaders can each effectively set goals for growth and monitor progress toward those goals (Marzano, 2002). Clear, measurable goals and reliable feedback systems not only increase accountability for results, they motivate and empower (Friedman, 2000), especially when coupled with authentic processes that increase efficacy through personal reflection and selection of learning goals (Lambert, 2003).

The first critical challenge for today's school leaders is alignment of student learning goals, teacher performance goals, building school improvement goals, and district improvement goals. Essential to this alignment is congruence with the

organization's espoused commitments, i.e., its values, beliefs, mission, purpose, vision, and guiding principals (Kouzes & Posner, 1995). Alignment fosters integrated processes (Kouzes & Posner, 1995), consistency, and coherence (Marzano, 2002). These, in turn, reduce the stress of fragmentation and facilitate leveraged effort (Zuckerman, 2000).

The second challenge for school leaders in maintaining a steady flow of decisions driven by common purpose and clear goals relates to the availability of reliable tools and technologies for the collection and manipulation of data on a real-time basis. Teachers, today, are expected to deliver individualized instruction and produce personal learning credentials at a degree of sophistication and specificity not achievable with traditional classroom technologies (Sergiovanni, 2000). With the breadth and depth of curriculum standards and the precision with which teachers are expected to measure student proficiency relative to those standards (Lewis, 2003), school leaders must be on the look out for newer, more efficient, more powerful tools of assessment and more robust methods of performance date collection, manipulation, and reporting (Marzano, 2002). Unfortunately, these market place is not keeping up with the demand, financing is not readily available to support research and development, and school budgets are not in any shape for major retooling initiatives.

The need to stay current with changing technologies, changing practice theories, changing environments, and changing public policy creates the third critical challenge for today's school leaders in shaping effective decision-making processes. To remain responsive to both external and internal change dynamics and able to capitalize on opportunities, school leaders must establish reliable systems to collect relevant information for decisions that shape programs, practices, and delivery systems

(Bonstingl, 1992). Typically these decisions are greatly enhanced when they can be supported by reliable projections, environmental scans, and relevant best practices (Kouzes & Posner, 1995; Marzano, 2002). Again, however, the market place has been slow to respond and school leaders are left with the dilemma of acquiring and assimilating new information efficiently with outdated tools and processes. Many look to alliances, affiliations, and cooperative arrangements with other schools, with universities, and other educational resource organizations to leverage effort and increase access to important information sources.

The fourth and final challenge in this leadership focus quadrant of effective decision-making is the tendency in schools for decisions to be fragmented and disconnected. Systemic transformation can only be sustained through consistent and coherent decisions, not as a result of dogma and rigidly bureaucratic structures, but as an outgrowth of cooperative goals and reciprocity among stakeholders and between leaders and followers (Burns, 1978; Bennis & Townsend, 1995). To generate consistency and coherence school leaders need to "sustain ongoing interaction" (Kouzes & Posner, 1995, p. 157). It is through this sustained interaction and constructivist dialogue that members of the organization draw decisions from their shared meanings and shared meaning from reflection on their decisions.

To recap, this third quadrant of our developing framework for systemic transformational change places school leaders' focus of the process of making decisions. The essential ingredients for systemic transformational decisions are real-time date, feed-back systems, access to relevant information, consistency, and coherence with the central

elements of meaning for the organization. The critical features incorporated into this quadrant of leadership focus are:

- Systematic collection and utilization of real-time date
- Multiple measures to assess student proficiency
- Tools and processes for data analysis and interpretation
- Reliable projections and environmental scans
- Access to relevant theories and proven practices
- Consistency and Coherence borne of shared understandings and commitments

Systems Alignment

Schools and school districts are complex organizations with multiple layers of systems and processes; yet, schools have not typically been models of Senge's fifth discipline, "Systems Thinking" (1990). This is because they have also traditionally been loosely coupled and highly fragmented with regard to internal arrangements, affiliations, and procedures (Weick, 1976). Schools have functioned for generations as culturally tight, but organizationally loose institutions, so why is that no longer a sufficient model for their operation? The answer is simple. Today's school organizations are facing a steep learning curve in all the fundamentals of their mission, purpose, practices, technologies, and expected output. The shift from universal access to a free public education to universal proficiency in a free world class public education (Lewis, 2003), has created a high stakes race to adapt to the new realities of public accountability coupled with significant shifts in student demographics.

The old model of a loosely organized constellation of schools served by professionals who functioned much like independent contractors does not provide the coordinated and leveraged effort required to meet current expectations. This is where systems alignment becomes the fourth critical area for leadership focus. According to Senge (1990):

> "We tend to focus on snapshots of isolated parts of the system, and wonder why our deepest problems never seem to get solved. Systems thinking is a conceptual framework, a body of knowledge and tools...to make the full patterns clearer" (p.7).

Systems alignment begins with definitions of success that link back to purpose (meaning) (Schein, 1985). Systems, structures, and policies will best support systemic change and improvement when they fit together and when they fit the vision (Kotter, 1999).

To begin to examine this fourth quadrant of leadership focus more closely, it makes sense to start with policies and regulations because they are traditionally shaped more by control and by intrinsic motivation (Kouzes & Posner, 1995). Policies that support systemic change, by contrast, are more about the elements that make up the first quadrant of this framework, i.e. the elements of meaning, purpose, principles, and generative learning processes (Sergiovanni & Starratt, 1998). By the same token, processes and procedures that support systemic change and learning are shaped by learning related behaviors and norms. Routines are examined consistently for the signs that they are inhibiting creativity and change (Bennis in Kouzes & Posner, 1995).

In this part of our framework dealing with systems alignment, it is important to address both official and unofficial roles and responsibilities. Kotter (1999) reminds us that:

> "The hearts and minds of all members of the (organization) are needed to cope with the fast shifting realities." (p.166)

Kotter goes on to argue that only broad based empowerment to engage with the primary challenges and decisions of the organization will produce the broad based commitment and capacity for consistent implementation once decisions are made. Roles and responsibilities that relegate people to special niches or designated positions in organizational hierarchy diminish opportunity for broad based engagement. On the other hand, one-size fits all designations can inhibit the development of specialized expertise. Balance is achieved when all members are engaged in ways that fully utilize their unique talents, experience, and skill without isolating them through a strictly relegated role in the organization (Felner, et al., 1997).

Much has been written both pro and con regarding the standards movement for public education. That aside, while roles and responsibilities can and need to remain fluid, students, staff, administrators, and board members alike need clear performance standards that reflect and align with their role in helping the organization (school) fulfill its mission and realize its vision. When these are linked to the systems for professional learning, evaluation, feedback, and rewards, they provide powerful motivation for achievement and success (Kouzes & Posner, 1995). An important element of alignment for systems to support professional growth and learning is self reflection and goal setting. Whether as individuals, teaching and leadership teams, or mentor/mentee partnerships, the personal investment of reflection and self-analysis increases individual and group efficacy, thus increasing commitment, investment, and motivation (Sergiovanni & Starratt, 1998).

The power of a diverse system of rewards is often overlooked in schools because of the perceived constraints of contractual compensation arrangements. A system of non-

monetary rewards, however, can be established in such a way as to honor the risk takers (Kouzes & Posner, 1998) and recognize diversity of contributions to the organizations common goals. Linking rewards of any kind directly to positive changes in performance reinforces the integrity of performance standards and places value squarely of growth (Blanchard, et al, 1996). Increased autonomy for personal learning and increased engagement in team learning can be the basis for a system of intrinsic rewards designed to build personal and collective expertise. When combined with job imbedded professional learning (coaching, modeling, reflecting, action research, etc.), a system for personal and team improvement plans can lead to greater competency and reliability in implementing delivery systems as designed and/or providing important feedback to help refine those designs (Marzano, 2002).

The final aspect of systems alignment address in our leadership focus framework is that of communication. This area of focus is closely tied to the first two quadrants of shaping meaning and adapting the culture. Both of those focus areas require consistent, intense, and vivid communications. The emphasis in this quadrant, however, is on building reliable systems for communication to the degree that they permeate the everyday experience of everyone in the organization (Kotter, 1999; Lambert, 2003).

Through symbols, posters, artifacts, parables, stories, calendars, reports, presentations, discussion groups, and facilitated inquiry (Kouzes & Posner, 1995; Clarke, et al., 1998), school leaders can strategically put ideas into play, reinforce shared commitments, provide feedback. Communication systems can also include protocols for various types of group interaction that help the group achieve its purpose, e.g. group norms, structured agendas, Socratic discussions, etc.

To conclude, our fourth quadrant of the systemic transformational change framework focuses on the importance of alignment between the functional norms of the organization and the desired outcomes that define success. By attending to issues of alignment, school leaders are removing distractions, incongruencies, and ambiguity while, at the same time, increasing efficiency, maximizing effort, and strengthening coherence. To summarize, the critical elements of this fourth quadrant are:

- Policies and Regulations that empower and unleash potential
- Processes and Procedures that foster creativity and initiative
- Roles and Responsibilities that increase efficacy, skill, and expertise
- Performance standards that support the central purposes and goals
- Work imbedded Professional Learning that fosters personal growth
- Evaluation, Feedback, and Rewards that increase confidence and competence
- Communication Systems that help shape meaning and culture

Putting The Framework Together

The framework for leadership focus that supports systemic transformational change includes the operational elements delineated in section 3 of this Chapter. The compiled version of the framework can be found in Attachment A of this document and will be the reference point for further discussions regarding the application of the framework in the case study data collection and analysis.

CHAPTER 3 – RESEARCH METHODOLOGY

OVERVIEW OF THIS CHAPTER

As indicated in Chapter 1, the purpose of this study is to test an operational framework for assisting school leaders in planning, conducting, monitoring, and assessing the transformational, systemic change process in their school or school district. In Chapter 2, the researcher drew from the literature on systemic change, transformational leadership, total quality management, school improvement, school culture, and organizational learning to synthesize a four quadrant framework with operational elements that represent critical areas of focus and attention for school leaders wishing to effect transformational, systemic change in their organizations. This chapter describes the methodology used in this study to test the viability of the researcher's proposed framework through application to a case study of an actual long-term change process within a middle sized K-12 Michigan school district.

The first section of this chapter discusses the research approaches selected and the rationale for their selection. The second section describes the participants in the study, the instrumentation, and procedures for carrying out the study. The third section details the types of data that were collected and the data analysis processes. The fourth section discusses limitations of this study and a general summary of the study approach. Beginning with this chapter, the writing style will switch from third person to a first person discourse in order to assist the reader in sharing the case study experience through the researcher's point of view as researcher-participant.

SECTION 1 – RESEARCH APPROACHES AND RATIONALE

For this study, I chose to employ a case study approach in order to test the applicability of the transformational, systemic change operational framework I developed through a review of the literature as described in Chapter 2. The case study approach provides the researcher the opportunity to:

> "construct descriptions of total phenomena within their various contexts and to generate from these descriptions the complex inter-relationships..." (Wilson in Tesch, 1990, p.46).

Since the purpose of this study is to compare one k-12 school district's experience with transformational change processes to a specific operational framework for operationalizing and describing discrete elements of transformational and systemic change theory, the case study approach provided me with an appropriate means to make a phenomenographic examination of contextual information derived from actual human activity over an eighteen-year period of time (Tesch, 1990, p. 49) related to the phenomenon of organizational change and development. The case study approach also provides the opportunity to collect data from a variety of sources in order to create a fuller, richer description of events (Locke, et al, 2000) related to the phenomenon being studied and apply triangulation techniques to strengthen the inferential validity of my data interpretation (Jaeger 1988; Locke, et al., 2000).

For this case study, I combined three methods of data collection. The first was ethnographic content analysis which allowed me to collect both qualitative and quantitative data from documents derived from the archival record generated by change activity in the case study school district. The second method was event structure analysis

which provided for tracking the change related events I analyzed through the archival record chronologically (Tesch, 2000, p.64). These two ethnographic devices lent well to the application of a specific framework or "lens" for making cultural or contextual ("Structural ethnography uses classification of cultural terms and concepts as a research tool", Tesch, 2000, p. 62) observations, while preserving the opportunity to capture observations that did not fit the lens. As Jaeger cautions in his discussion of ethnographic field work, the researcher must "remain constantly aware of complexity and context". Further, in the application of ethnographic approaches, "there are no such things as unwanted findings or irrelevant circumstances" (1988, p. 204).

My third method of data collection was to construct and apply a survey instrument that contains behavioral/operational descriptors aligned to each quadrant and the discreet operational elements within each quadrant of the analysis grid. The survey offers a Likert scale of possible responses to the question, "To what degree does each descriptor fit the current status of your school district?" This survey was administered to all professional staff (teachers and administrators) currently working in the case study district. I did not include support staff or external stakeholders, since the context I am studying most intimately involves the work of teachers, building administrators, and central office administrators connected to the work of teaching and learning. I did not choose to utilize an open-ended survey for these respondents because I wanted to standardize the statements describing the context in order to test the analysis framework developed for this study.

All three of these methods are ethnographic in nature, i.e., they help discern cultural patterns from language (Tesch, 2000). For all three of these methods, however, I

imposed a framework (the transformational, systemic change analysis grid) for analyzing events through the archival record. This framework establishes the categorization and classification system for data analysis up front, rather than inferring the categories and classifications by examining patterns evident in the document records. While I have planned for the collection and identification of events and characteristics that do not fit the framework and will use this type of data to assess the descriptive power of the framework, this approach is a departure from pure ethnographic methods which normally let the theoretical constructs emerge from the analysis of the contextual data. This derivation is appropriate to the subject of my case study because it allowed me to test a "system of conceptual order" (Tesch, 2000, p.63) that I synthesized from the theoretical literature. At the same time, I remained open to emerging patterns within the data that might suggest variations on the conceptual framework I am testing.

In choosing to conduct a case study in a setting where I, personally, have worked during the entire time period being examined, I had both advantages and precautions to consider. The advantages were that I had access to a rich and extensive document record that relates to the change processes that occurred in the case study district over the eighteen years that I served as either assistant superintendent or superintendent. I also had knowledge that the Board of Education and Administration (both of which share a high degree of longevity with me) of the case study district had embarked on a deliberate course of action, early in the time period to be examined, to generate and sustain systemic change and improvement (growth). To that end, the case study district leadership team had promulgated a series of strategies and adjustments and kept documents to record and track their progress.

These factors made the choice of this particular organization an advantage for testing the descriptive power of the transformational, systemic change operational framework through ethnographic means I knew that there had been a long-term, sustained effort to achieve transformational, systemic change; a significant document record of actual change activity had been maintained; there had been consistency of leadership; and, change had permeated deeply throughout the organization. Because of these features, the choice of this school district was particularly useful to me in:

> "...identifying and understanding the social processes by which particular results are created, rather that simply describing the results themselves" (Locke, et al., 2000, p. 99).

My primary need for precaution also stems from the fact that I am a long-term member of the organization selected for my case study. As such, I am both a participant and an observer. To insure that, as a participant, I also conducted valid ethnographic observations, I had to plan in such a way so as to be:

> "attending to the cultural context of the behavior...(I was) observing, and...looking for these mutually understood sets of expectations and explanations that enable (me) to interpret what is occurring and what meanings are probably being attributed by others involved" (Jaeger, 1988, p.193).

Because I also hold the position of C.E.O. for the organization I studied and was, thus, a "privileged observer" (Jaeger, 1988, p. 194), I needed to be particularly careful to place some "gatekeeper" (Rudestam & Newton, 2001, p. 94) strategies between my potential to bias or influence the sources of data I collected and the data interpretation.

I approached this problem in two ways. First, I used the theoretical literature on transformational change and leadership, systemic change, organizational culture, and total quality improvement processes to create a lens through which I would observe the

actual context of the school district. I applied this lens to the inferential analysis of the document and artifact record for the eighteen year period being analyzed; then, I applied the same lens to the data collected from other participants in the study. The process of using a theoretical framework, expressed as operational/behavioral descriptors, for interpreting the context of the case study subject organization increased my ability, as researcher, to resist evaluative bias when drawing inferences from the archival data I collected from documents and artifacts.

Second, I attempted to reduce the potential that my position of authority within the organization would influence the validity of data collected from other participants via "participant reactivity to the investigator" (Locke, et al., 2000, p. 99) by involving all professional staff employed at the time of data collection, rather than utilizing the smaller, more targeted sample of participants normally identified with case studies (Rudestam and Newton, 2001). I also mitigated for influence relative to my position in the organization by protecting participants' absolute anonymity and by eliciting their responses on specific observable descriptors of operational elements in their natural work environment via a survey instrument I constructed to align to each of the four quadrants of operational behavior and each of the operational elements with those quadrants.

The survey instrument with behavioral descriptors was used in lieu of the open-ended interview strategy normally employed in an ethnographic study (Tesch, 1990). This resulted in limiting the data collected from live participants to that which fits into the constructs of the transformational, systemic change framework. This limitation, however, was offset by the phenomenological approach applied to the document/artifact record, which allowed me to capture and interpret any elements within the document

record that did not fit the operational constructs of the framework. With this type of triangulation, I was able to blend the more structured responses of the live participants with the more inferential interpretation of the archival data.

Finally, I avoided any disaggregation of participant results, so as to control for data results that may unfavorable reflect on any one group or individual among the respondents. This was especially important, because the live respondents were reflecting their real-time appraisals of current conditions in the organization and needed to feel safe in doing so. This allowed me to contrast a current snap-shot of how participants describe the way things are now against an archival history of how things were and how things changed over time, i.e.,

> "ethnographic content analysis...to document and understand the communication of meaning, as well as to verify theoretical relationships" (Altheide in Tesch, 1990, p. 64).

At the same time, it could have placed participants under pressure to enhance their appraisals of current conditions if they felt the responses could have reflected negatively upon them or their closely affiliated colleagues in any way. By keeping the responses both anonymous and aggregated at the district level and by avoiding any record of who did or did not respond, I created more safety, which increased the likelihood that respondents would provide authentic appraisals of the degree to which behavioral descriptors used in the survey items apply to the current conditions in their school district.

SECTION 2 – CASE STUDY PARTICIPATION, INSTRUMENTATION, AND PROCEDURES

Participants

The subject for the case study is a medium sized (2800 students) K-12 school district in southwestern Michigan. The researcher has a twenty-four year relationship with this district as a teacher and administrator. Because, as the researcher, I am focusing this case study on a district I served for eight years as Assistant Superintendent and nine as Superintendent, I have access to an extensive document and artifact record of this district's operations and changes over the eighteen-year period described in the case study analysis. As a member of the subject district administration, and therefore intimately involved with the change process I am studying, I limited my observations to the interpretation of evidence in the document and artifact record and the analysis of survey feedback from current professional staff (teachers and administrators) provided through procedures that protect anonymity of respondents (see Section 1, above). While I also provide personal reflections and observations that draw from my own involvement in the case study district change process, I confined those to Chapter 5 where I have incorporated them into my discussion of conclusions and recommendations.

By examining the archival record of the case study district over an eighteen year period, I have indirectly involved (ex post facto) all members of the organization who contributed to that archival record or who were involved in activity that generated the record; however, my analysis of the archival record (documents and artifacts) avoids any reference or connection to individuals currently or previously connected with the organization during the archival analysis period. As a result, the only active participants

in this case study are the administrators and teachers (professional staff) who respond to the survey I administered to triangulate the results of the archival record analysis. These respondents provided insight into current conditions in the district relative to the transformational, systemic change process, while the archival record analysis provides a frame of reference for what led up to and formed the antecedents for the respondents' perceptions of current conditions.

Instrumentation

For this study, I generated and used a transformational, systemic change analysis framework (see Appendix A) as a lens for examining the documents and artifacts created by the staff, board of education, and the administration over an eighteen-year period. The framework is organized into a four-quadrant grid, with each quadrant representing one of four major operational focus areas for planning, conducting, and monitoring transformational, systemic organizational change, i.e., MEANING, CULTURE, DECISIONS, and SYSTEMS ALIGNMENT. The researcher identified these four focus areas based on the prominent themes in the literature and the major components of school improvement and governance models that are grounded in the theoretical work on organizational learning and development. Within each of the four quadrants of the framework, the researcher has identified six to seven operational elements that she pulled from the literature review as operational norms that support the principles of transformational, systemic change theory and support the major tenets that form the underpinnings for each of the four quadrants of focus and attention (See Chapter 2).

The transformational, systemic change framework and analysis grid form the primary investigative tool or instrument for this study. The grid was use to categorize and catalogue school district documents and artifacts that trace the eighteen-year history of change within the district. In using the analysis grid in examining the archival records, I looked for both explicit and implicit evidence of operational activity that aligns with one or more categories of leadership focus and attention characterized by each quadrant of the grid and activity that illustrates one or more of the behavioral elements that operationalize a given leadership focus area. I also looked for explicit and implicit activity which accompanied change over the same period, but did not fit the transformational and systemic constructs that I incorporated into the grid. As I identified change activity or processes that did not fit the constructs in my analysis grid, I catalogued them as either, transformational/systemic but not reflected in the analysis grid, or not transformational/systemic in nature.

For the purpose of triangulating the interpretation of the data from the application of the analysis grid to the archival record, I also developed a survey of descriptors which support each of the four quadrants of leadership focus contained in the analysis grid. The descriptors are stated in terms of operational/behavioral evidence that support each of the critical elements I identified in the literature review to support each of the four quadrants of leadership focus. The survey instrument asks the respondents to assess the degree to which each of the descriptors accurately portrays the current conditions in their school district at the time of their responses. I constructed this survey so as to yield results for each quadrant of the analysis grid and for each of the critical elements that define the four quadrants operationally (See Appendix B for a copy of the survey instrument).

While the analysis grid is designed to describe dynamic change processes over time, the survey is designed to yield a "snap-shot" at a given point in time. Together, these two instruments help track the case study district's journey through the complexities of organizational change and development and suggest a locator in time for the district's evolution with regard to the four areas of leadership focus identified by the transformational, systemic change framework. With the selection of two methods of instrumentation which are both limited to the elements of context described by the transformational, systemic change analysis framework developed for this study, I am limiting my examination of the case study district to only the slice of its functional reality captured by the four focus areas and the accompanying operational descriptors. As a result, I am applying specifically limited ethnographic methods to examine only one aspect of the subject district's total reality. My instrumentation is not designed to "describe everything"; rather, it is designed to "identify those dimensions critical to our understanding" of a specific aspect "of human behavior" (Jaeger, 1988, p. 202) relating to transformational, systemic organizational change and development in a K-12 school district.

Procedures For The Administration Of The Analysis Grid To The Case Study Archival Record

To prepare to utilize the Analysis Grid, I assembled documents from the case study district's archival records in the following categories:

- Meeting Minutes, Agendas, and Attachments/Handouts. These have been maintained consistently over the eighteen-year period for the Board of

Education, the Administrative Team, the Total Learning (Curriculum) Council, and various study committees, work groups, and leadership teams.

- Artifacts and Documents That Depict/Describe Programs, Processes, Systems, and Organizational Structures. Together, these types of documents comprise a good source of information regarding operational norms and structures in the case study district.
- Artifacts from Events and Activities. Whenever there are special events or activities that depict a defining part of the cultural context, there is usually an archival record that reflects the specifics of planning and execution.
- Publications and Media. The case study district has an archive of eighteen years worth of district newsletters and other publications and media material.
- Policies, Regulations, Programmatic Guides, Manuals, and Handbooks. Changes to policy and regulation in the case study district are tracked by date and reason for the change. Program guides, manuals, and handbooks are updated on a regular basis.

Once gathered and organized chronologically, I examined each group of artifacts and documents separately noting events and activity that signified change in the organizations operating norms, processes, or procedures. To qualify for notation, the change had to be significant enough to involve one or more critical functions in the work of the district, e.g.,, teaching, professional development, program development, curriculum, assessment, etc., or cause a shift in one or more of the standard operating precepts, e.g., leadership, decision making, values, affiliations, relationships, etc. For each change notation, I included:

1. A description of the change
2. The date or time period of the change
3. The decision makers affecting the change
4. The individuals or groups implementing the change
5. The individuals or groups impacted by the change
6. The leadership focus quadrant/operational element affected by the change.

After noting and cataloguing the changes identified in each group of artifacts and documents, I compared and combined notations from each group of artifacts and documents that described the same change. With the merging of notations for each change event, I was ready to begin the process of applying the transformational, systemic change framework (grid) to the analysis of the changes I catalogued and described from the archival records.

The analysis framework or grid has four quadrants representing an area of leadership focus that supports transformational, systemic organizational change and development, according to my analysis of the literature. For each of the change events catalogued from the archival record, I first examined the nature of the change to determine which, if any, of the four quadrants (Meaning, Culture, Decision Making, or Systems Alignment) were fundamentally altered in the change. For any of the quadrants that were impacted by the change event, I also identified any of the operational elements within that quadrant that were also altered or impacted and noted the nature of the impact or alteration. As this process was applied for each catalogued change event, I classified those which did not fit either the four quadrants or the operational items within the

quadrants as a separate group for analyzing where and how the transformational, systemic change framework was either incomplete not powerful enough to account for significant transformational, systemic change events. For those events that did fit the framework, I noted the following:

1. The frequency with which each quadrant and operational element was involved in the catalogued changes.
2. Patterns in the chronology of catalogued changes that impacted each quadrant and operational element.
3. Patterns in the degree to which catalogued changes cut across two or more quadrants and multiple operational elements.

Procedures For Administration Of The Survey Instrument To Participants

All professional staff members (teachers and administrators), currently working in the case study school district, were invited to participate in completion of the transformational, systemic change survey. The survey was placed on a secure district file server utilizing a web based survey software. Invitations to participate in the study were issued to the case study district professional staff through the district e-mail distribution system along with the H.S.I.R.B. consent form. The contact e-mail was sent, personally, to all members of the teacher and administrator group in the district. The e-mail contained a description of the purpose of the study along with the invitation to participate (See Appendix C). The e-mail invitation provided a link to the web site for accessing the survey and simple instructions on how to connect with and complete the instrument. The participant consent form accompanied the e-mail invitation to participate, as an

attachment (See Appendix D). Participants were asked to respond to the survey within two working days, complete it in one setting, and avoid conferring with other participants before completing the survey to reduce the opportunity for their responses to be tainted by discussion with others.

Participant anonymity was protected by utilizing the web based survey site called, PHPESP.SOURCEFORGE. This site provides the software template for survey construction, the function for stripping e-mail addresses of respondents from the data storage, the data base for data collection and storage, and some limited data analysis procedures, including calculation of mean scores for individual survey items, categories of survey items, and for the survey as a whole. For other data analysis functions, the data can be exported to other data bases and manipulated through their analysis functions. Since the survey includes no disaggregating group identifiers or individual respondent identifiers, I was able to provide assurance that both the choice to participate or not and the responses of participants would be fully protected for anonymity, either as individuals or as groups.

SECTION 3 – TYPES OF DATA COLLECTED AND DATA ANALYSIS

The data collected by applying the transformational, systemic analysis grid to the catalogued change events from the archival record was both qualitative and quantitative. Qualitative data included descriptors of significant change events traceable through the archival records collected (see the discussion in the "Procedures" section, above, for a delineation of how I chose which change events to catalogue), and specific features of the change as described in items, b through f, in the "Procedures" section, above.

Quantitative data were derived by analyzing the cross referencing of the catalogued change events with the analysis grid and noting the frequencies, chronologies, and multiple applications for matching the catalogued change events with the quadrants and operational elements of the analysis grid (See items 1 through 3 in the "Procedures" section, above).

The survey instrument of operational descriptors that correspond to the four quadrants and the operational elements of the analysis grid utilized a Likert scale for respondents to assess the degree to which each descriptor represented the current state of affairs in their school district. The lowest rating (1) indicates that the descriptor is minimally or not at all applicable; a (3) indicates a moderate degree of applicability; and a (5) indicates a high degree of applicability. Responses were analyzed as follows:

- Mean scores for each item, for groups of items corresponding to each operational element, and for groups of items corresponding to each quadrant of leadership focus on the analysis grid. The mean scores for the survey were, then, cross referenced to the frequencies noted for the alignment of each quadrant and operational element of the analysis grid with the catalogued changes documented in the archival record analysis. By comparing through cross-referencing, I looked for relationships and patterns in the data derived from both data collection instruments and methods.
- Frequencies of scores for individual survey items. By examining the frequencies of each score for individual survey items and groups of survey items, I could analyze variability in participant responses for the purpose of

assessing the power of the descriptors to yield consistent responses from people in the same context.

SECTION 4 - LIMITATIONS AND SUMMARY

The scope of this study is limited to the application of a theoretical framework to the change process of a case study district over a period of time. The framework is derived from the literature on transformational change and leadership, systemic change, and organizational learning. The existence of an eighteen year archival record in a district where the board and central office leadership has longevity for most of the period where I am tracking the change process allows a deep contextual analysis of this one district. The trade-off for my personal longevity and central office perspective which offer me intimacy with the district and its archival records plus a broad holistic vantage point, is the necessity to control for bias and undue influence as the participant researcher.

The need to control for bias and influence more diligently because of my position in the case study district caused me to place limitations of the degree to which I could apply open-ended means of data collection. This is where the work during the literature review to shape a "lens" or theoretical analysis grid pays dividends. I have traded the unfettered inferential power of naturalistic phenomenology, where themes emerge form commonalities and patterns (Tesch, 2000, p. 67), for a highly structured examination of the case study context against my synthesis of the major elements of the theoretical literature. In this manner, I limit my study to the testing of the conceptual framework or

structure I am applying to this case, while leaving room to discover aspects of the case study district change context that do not fit the framework.

This compromise between testing a predetermined conceptual framework and allowing for the emergence of data which challenges the framework also poses limitations on the observations of the live participants in my study, i.e., they are only asked to respond to descriptors that derive from the conceptual framework. By including no open-ended questions for participant responses, I provide no opportunity for them to elaborate on their experience beyond the constructs of the behavioral/operational descriptors in the survey. They can only rate the descriptors relative to the degree that they perceive them to be apt descriptors of their school district's current reality. In this regard, the participant survey responses are only being used to verify or negate, not expand upon, the results of the archival record analysis.

This delimiter precludes capturing the insights potentially imbedded in respondents own language relative to the current status of their district as regards to the degree to which each of the four quadrants of change focus and operational elements for each quadrant fit their experience. Again, this limitation is a trade-off for protecting respondents in a situation where the researcher is also the superintendent of their school district.

In general, the limitations of this study are a function of the study purpose: to test the power of the analysis framework (grid) for describing an actual systemic change process in a K-12 school district. It is not the intent of this study to draw conclusions regarding the predictive power of the framework. As a synthesis of the theoretical literature on transformational, systemic change, the researcher feels reasonably sure of

the link between the four focus areas represented by the grid, the operational elements for each focus area and the critical elements of the theories from which they were drawn. What I am testing is the link between the operational elements of the analysis grid, with their four leadership focus areas, and the way transformational, systemic change actually unfolds in a living school organization over time. I am also testing a set of behavioral descriptors (the survey) which could be used by school leaders for monitoring their organization's evolution under each of the four focus areas and pertaining to each of the operational elements within.

The data collected in this study and the analysis will help determine whether or not the analysis framework (grid) has potential utility in helping school leaders plan, conduct, and monitor transformational, systemic organizational change in K-12 schools or school districts. Descriptive power in this case study may indicate descriptive power in other K-12 settings and establish a basis for further testing of the analysis framework (grid) and the survey instrument. Holes in descriptive power as applied to the analysis of the archival record and strong variability in participant responses on the survey may indicate a need for further modification of the analysis framework (grid) and/or the operational descriptors in the survey that match the framework. This being the case, the data analysis may also yield clues to the needed modifications.

CHAPTER 4 - RESULTS

OVERVIEW OF THIS CHAPTER

This chapter is organized in four sections. The first section presents a summary of the results from administering the survey of behavioral/operational descriptors aligned to each quadrant and corresponding to the discreet operational elements or constructs within each quadrant of the systemic transformational change analysis grid (framework) contained in Appendix A. In the second section, the results of the ethnographic content analysis and event structure analysis are examined through the "lens" of the analysis grid or framework. Section three is devoted to comparing the results from sections one and two in terms of degree of overlap between the assessments made by staff relative to the discreet operational descriptors and the analysis made by the researcher in examining the archival record. Section four provides a discussion and interpretation of the results presented in the first three sections as they pertain to the study research questions.

SECTION 1 - RESULTS OF SYSTEMIC TRANSFORMATIONAL CHANGE SURVEY

The survey instrument was administered to all professional staff of the case study subject school district via an e-mail invitation to participate (approved through the Western Michigan University Human Subjects Review Board) and a web based server system called, PHPESP.SOURCEFORGE. Participants were able to accept or reject the invitation to participate anonymously as a result of a server based process for stripping e-mail addresses from responses before entering them into the data base for storage. A total of 66 out of 194 professional staff members, including teachers and principals,

participated and completed the survey instrument. Appendix B contains the survey instrument and response averages for each survey item. Appendix C provides tables listing the frequency of selection for each Likert scale response plus the total number of responses and average score for each survey item.

Of the ninety-five items on the survey, thirty-six items were missing a response from one to five respondents and nine items were missing a response from six to thirteen respondents. In all, forty-five of the ninety-five items or, 47%, were missing a response from one or more participants. The location of an item in the survey did not seem to have any bearing on whether or not a respondent skipped that item since skipped responses began in the first section and continued throughout the survey results. There was, however, a pattern of lower average scores for most of the items that had six or more skipped responses. Only three of the ninety-five items on the survey received less an average score less than 3.0 (moderate degree) on the Likert scale reflecting the degree to which respondents felt that descriptor fit their school at the time of their response. These three items had average scores of 2.6, 2.9, and 2.9. Two of the three items with average scores below 3.0 also had the highest number of blank responses (13 and 9, respectively). Twenty-four items averaged a response of 4 (high) or better and the remaining 38 items had average responses of between 3 and 4 (moderate to high).

Of the twenty-four items with an average score of 4.0 to 4.4, twenty-three had the tightest clustering of responses or lowest point spread - fifty or more responses between two response scores. For example, in Appendix C which shows the frequency and average response for each survey item, question 1 (Q1) shows forty responses for a score of 5 and twenty responses for a score of 4 or a total of sixty responses over two scoring

levels. This is a very tight spread of responses as compared to survey item Q-25B, with only 36 responses spread between the top two scoring categories. Those items with the lowest average scores (2.6-3.2) comprised nine of the 23 items with the greatest point spread (less than forty responses between two response scores). Thirty-nine of the forty-seven items with a mid-range point spread (40-50 responses, spread between two scoring categories) also received average scores of 3.6 to 4.0. The other eight items with a mid-range point spread received average scores of 3.2-3.5. The tables on the next page summarize this analysis of the distribution and spread of responses as it relates to the spread of response averages.

TABLE 4A

ILLUSTRATION OF HOW THE NUMBER OF SKIPPED RESPONSES ACROSS ALL SURVEY ITEMS RELATES TO THE RANGE OF AVERAGE RESPONSE SCORES PER SURVEY ITEM

NOTE: The colored bars illustrate the average score spread for items with the designated number of skipped responses. The range of average item scores drops significantly for items with over five (5) skipped responses

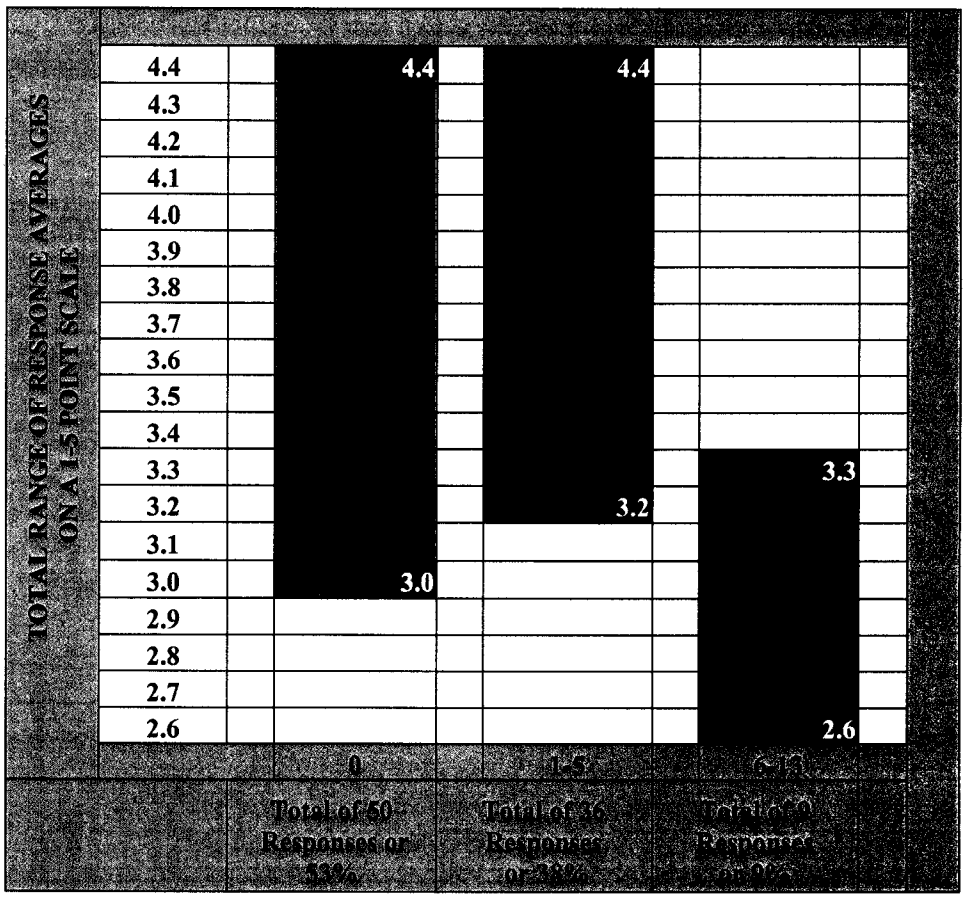
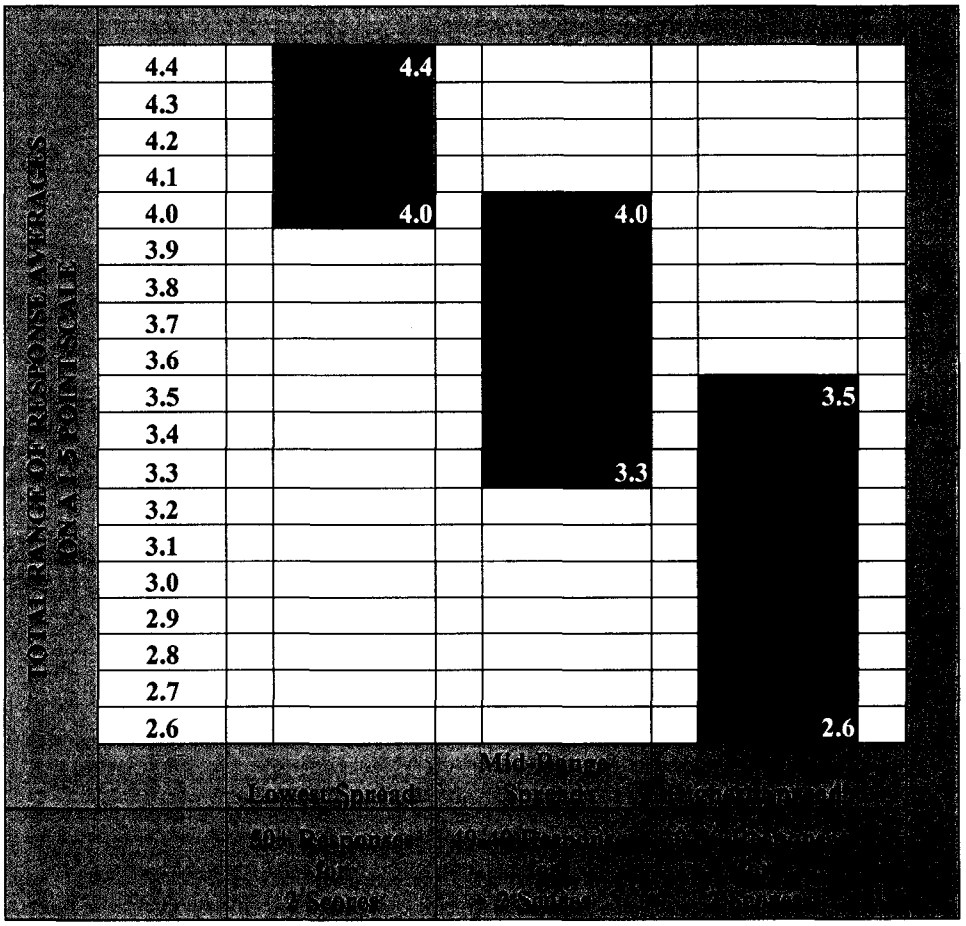


TABLE 4B

ILLUSTRATION OF HOW THE RANGE OF AVERAGE ITEM SCORES RELATES TO THE SPREAD OF RESPONSES TO EACH INDIVIDUAL ITEM

NOTE: This graph demonstrates that the tighter the point spread for how respondents scored each survey item on the five point scale, the higher the average score for that item.



SPREAD OF RESPONSES OVER TWO SCORING CATEGORIES

NOTE: Each column represents the items that received the designated number of responses over two scoring categories.

Response Averages By Operational Element And Quadrant

The data from the Systemic Transformational Change Survey is most useful for the purposes of this study when analyze in terms of average response for each category of operational element and each leadership focus quadrant. The survey questions were designed and grouped to measure the degree of observable behaviors, processes, or products present in the environment being studied as reported by respondents. Each question addresses a discreet output or corresponding behavior that the researcher projected to be an indicator for one of the critical operational elements identified through the literature review (Chapter 3 & Appendix A). The questions are either single items or clusters of items that, together, form the observable attributes the researcher determined through the literature review to be valid indicators associated with each operational element for each quadrant of the operational framework.

To the degree that the observable indicators associated with each item and/or question are valid evidence that any specific operational element is present or attended to in some degree in the environment, the survey instrument is designed to help school professional staff self assess for their school or school district's degree of implementation of these indicators. As stated above, sixty-six (66) or thirty-four percent (34%) of a possible one hundred ninety-four (194) respondents in the subject district responded to the invitation to participate anonymously in the on-line survey. Anonymity was protected through a program mechanism to purge e-mail addresses as responses are captured in the survey results data-base. Additionally, the software controls for accepting more than one response session from any one e-mail address, thus, greatly reducing the possibility of participation by one respondent more than once. As a result, there is reasonable certainty that the sixty-six responses came from sixty-six separate

respondents. The fact that the survey is ninety-five items long and takes about twenty minutes to complete, increases the likelihood that no one respondent would bother to log on from another person's e-mail in an attempt to submit more than once.

Assuming that the sixty-six responses do, in fact, represent a thirty-four percent (34) level of participation, the response rate is adequate to accept the results as generally representative of the population being studies. The caveat to this assumption may be the predispositions about or levels of familiarity with the content of the survey. Other mitigating factors regarding the degree to which these results are a reliable indicator of the general staff perceptions relating to the descriptors in the survey, may be any given staff member's individual reasons to, or not to, participate. This will be discussed further in the Chapter 5 – Conclusions and Recommendations. For the rest of this chapter, the results will be discussed with the assumption of generalizability. Limitations to this assumption are saved for the discussion in Chapter 5.

In the previous subsection of the Chapter 4 - Results, I looked at the ranges of average scores and frequencies of scored as they relate to both spread of responses and to frequency of skipped responses. In this subsection, I will analyze the average results for groups of survey items that correspond to each operational element of the framework within each quadrant of leadership focus (and action). First, in comparing the overall average aggregate responses on the five point Likert scale for all elements of each quadrant, I found that the range of quadrant averages was a fairly narrow 3.6, at the low end, and 3.96, at the high end. These relatively small differences places the overall rating for all quadrants between a high moderate (the 3.6) and a high or strong (3.96). It should be noted that all members of the sample population in the subject district are very

familiar with a consistent interpretation of the five-point scale that is used regularly for staff work and discussion. That interpretation is as follows:

- 1=very low, poor, or weak
- 2= low, poor, or weak
- 3=moderate, medium, or neutral
- 4=high, good, or strong
- 5=very high, good, or strong

This staff familiarity and practice applying the five-point scale as described above, is applied here for purposes of interpreting the results of the survey instrument used in this study.

The small amount of difference between the quadrant averages places the overall assessment of the descriptors by participants at above moderate to strong or good. This would indicate that participants believe that the conditions in their school represent the operational constructs of the framework to be evident in, at least, a high moderate and, at most, a high or strong degree. The quadrant of operational elements and their survey descriptors for the category of, **MEANING**, rated the highest overall average responses at a 3.96, closely followed by **DECISIONS** at 3.8, **SYSTEMS ALIGNMENT** at 3.7, and **CULTURE** at 3.46. There is only a .5 spread between the highest and lowest quadrant average for all responses corresponding to that quadrant.

The point spread between operational elements within each quadrant ranges from a low of .4 to a high of .92. The actual point spreads between the lowest and highest operational element for each quadrant is as follows in ascending order (see Appendix D – Tables D1, 2, 3, 4):

SYSTEMS ALIGNMENT	**.4**
MEANING	**.6**
DECISIONS	**.8**
CULTURE	**.92**

The quadrant with the highest point spread (CULTURE) is also the quadrant with the lowest composite average. The quadrant with the highest composite average (MEANING) is not, however the quadrant with the lowest point spread. That designation goes to the quadrant of SYSTEMS ALIGNMENT, with a composite the third highest composite average (3.7).

Appendix D, Graphs D1, D2, D3, and D4 display the quadrant composite average scores and the critical element composite average scores in descending order. As discussed above, these graphs illustrate both the close composite average score point spreads and the relative rank order of composite scores (in descending order) for each operational element within each quadrant. For the lowest overall composite score quadrant, CULTURE, the lowest operational element composite average score was that of "Engagement/Inclusion", at an average score of 3.03. This is also the lowest ranked composite average score of all the operational elements across all four quadrants. The next four lowest ranked operational elements are also within the CULTURE quadrant: Leadership at 3.2, Traditions/Stories/Celebrations at 3.34, and Dialogue at 3.4. This last operational element in CULTURE is also tied at an average score of 3.4 with Projections/Environmental Scans from the DECISIONS quadrant.

The highest ranked operational element was Mission/Purpose from the MEANING quadrant, which is also the highest ranked quadrant for overall composite

score. This is closely followed by both Best Practice at 4.2 from the DECISIONS quadrant and Common Language at 4.2, also from the MEANING quadrant. Other operational elements at or just under 4.0 were Values/Beliefs from the MEANING quadrant (4.066), Real-time Data from the DECISIONS quadrant (3.96), and Professional Learning from the SYSTEMS ALIGNMENT quadrant (3.95). The remaining operational elements from all four quadrants clustered between 3.55 and 3.8 for average composite scores.

SECTION 2 -RESULTS OF THE ETHNOGRAPHIC CONTENT ANALYSIS AND EVENT STRUCTURE ANALYSIS

This section examines the results of applying the Systemic Transformational Change Analysis Framework or Lens to an eighteen-year archival record of major changes in the subject district. To qualify for cataloguing and application of the analysis framework or "lens", the activity in the archival record had to be significant enough to involve one or more critical functions in the work of the district or to cause a shift in one or more of the standard operating precepts (see p.72 – Chapter 3). The archival search found sixty-three changes qualifying for notation and analysis. These are described and charted in Appendix E with notations that designate the quadrants of leadership focus and the operational elements within those quadrants that apply to each change. All but three of the catalogued changes in Appendix E contained distinct features that matched one or more of the quadrants and operational elements. For most of the catalogued change events, there was a match to two or more of the quadrants and to two or more of the operating elements. Twenty-nine of the sixty-three catalogued events had a match to

three or four of the quadrants of leadership focus and to three or more operating elements within each applicable quadrant.

When the match results for the catalogued changes are compiled, the total number of matches per leadership focus quadrant were close for the quadrants of MEANING (94), CULTURE (110), and DECISIONS (111), but were significantly higher for SYSTEMS (170). By contrast, the matches for discreet operational elements within each quadrant had a wide distribution in the quadrants of SYSTEMS (11-36), DECISIONS (5-32), and CULTURE (4-23), but a much smaller range of distribution in MEANING (12-20). Table 4C on the following page illustrates these findings.

TABLE 4C

RESULTS OF MATCHES BETWEEN THE CATALOGUED CHANGE EVENTS AND THE FRAMEWORK QUADRANTS/OPERATIONAL ELEMENTS

OPERATIONAL ELEMENT	MEANING	CULTURE	DECISIONS	SYSTEMS
A	12	18	5	11
B	15	14	17	36
C	18	19	16	30
D	20	9	13	17
E	12	4	28	15
F	17	23	32	30
G	NA	23	NA	31
TOTAL FOR ALL OP/ELS IN QUADRANT	94	110	111	170

When the matches between the catalogued events are grouped by five-year periods beginning with 1985, the distribution of matches across the quadrants looks different for each period (see Table 4D on page 109). For the first five-year period (1985-90) the number of matches for the quadrants of MEANING and CULTURE are very low with six matches each, while the number of matches for DECISIONS and SYSTEMS are much higher at 36, and 39 respectively. For the second five-year period (1990-95), the matches are much more evenly distributed (MEANING-29, CULTURE-17, DECISIONS-26, and SYSTEMS-36). In the third five-year period (1995-2000), the

number of matches increases for all four quadrants, but MEANING (at 49) and DECISIONS (at 40) lag behind CULTURE (at 64) and SYSTEMS (at 74). This time period was the most active in terms of matches and was followed by a three-year period (2000-2003) where both the number of catalogued events slowed down and the number of matches fell off. During this period, however matches remained higher for CULTURE (at 23) and SYSTEMS (AT 21) as compared to MEANING (AT 10) and DECISIONS (at 23). It was also during this period that three of the catalogued events (numbers 59, 60, and 61) did not produce any matches to the framework.

The three events, (catalogued change numbers 58, 61, & 62) that did not fit the framework, all involved changes in personnel at the assistant superintendent level. Change number 58 involved replacement of a seven-year person in that position who had served as the central office second position to the superintendent during her entire superintendency up to that point. He left in January and was replaced by an interim served by a retired area superintendent so the district could wait until June 30 to accomplish a permanent replacement by promoting the high school principal. At that time, the middle school principal was also promoted to director of instruction, which resulted in two assistant principals moving up to principalships and being replaced by new hires. One year later, changes 61 and 62 occurred with the new assistant superintendent taking a position as superintendent in another district. Since this occurred in October, interim coverage was again needed while a search was conducted for his replacement. This was accomplished in January with the result being the promotion of the director of instruction to assistant superintendent and the designation of the new hire as an executive director of business and operations.

These events were changes in personnel only and, as a result, did not produce matches to the framework. These were, however, significant events in the experience of the district since they were the first major central office personnel and leadership changes since the 1994-95 school year when the former assistant superintendent replaced the retiring superintendent after serving as his assistant for eight years. It should be noted here that one of the primary leadership characteristics of the subject district leadership profile is longevity. During the entire period of the event analysis (18 years), one person had the primary educational leadership function, first, as assistant superintendent and, then, as superintendent. There was only one principal retirement resulting in a new hire from outside the organization and other principal changes were the result of promotions from within, with the exception of three assistant principals hired from outside the organization and groomed for promotion. Also during the period covered by this study, five of the seven board of education seats turned over only once and the other two seats did not turn over. The board president and vice president changed only once during that period as well. By the end of the study period in 2003 longevity for the seven members ranged from eight to nineteen years resulting in a completely stable board membership for eight of the superintendent's nine years in position.

The impact of high level central office or leadership position changes in the last period of the study (the three year period from 2000-2003) may have some relationship to the relative slow-down of catalogued change events for that period, especially in contrast with the very active five-year period preceding it. When the superintendent took office in 1994, significant groundwork had been laid by the nature of the changes implemented during the first two five-year periods of this study. Change in the superintendency can,

and usually is, accompanied by major shifts in leadership focus and approach (Fullan, 1993). In the case of the subject school district, however, the new superintendent had been the educational leader for the nine years previous to assuming the superintendent's position in partnership with a superintendent who had focused mainly on budget/finance, board relations, and policy areas. This arrangement facilitated a smooth transition of the superintendency and allowed the new superintendent to essentially, "hit the decks running" to fully implement her transformational change agenda which was already well under way. This resulted in a period of heavy systemic, transformational change activity (see Table 4D) which may have slowed during the 2000-2003, in part, due to the attention to the major central office leadership changes described above.

Another possible factor effecting a slow down during the last three-year period of the study, may be the ongoing demands of sustaining the initiatives implemented during the previous five year period (1995-2000). Since this was the period of greatest activity that matched the systemic transformational change quadrants and their operational elements, the aggregate of all this change activity may have been to build up a full agenda that required extended follow-through, thus precluding a continuation of the pace of changes characterizing that period into the most recent three year period. The slow-down in the pace of systemic transformational change activity should not be interpreted, however, as evidence that the leadership focus for generative change had diminished. On the contrary, there is significant evidence in minutes, notes, and reports, that a great deal of leadership activity and focus was, in fact, devoted to ongoing implementation and support of initiatives begun in the 1995-2000 period. Since this activity was not

associated with new changes, it did not qualify to be catalogued as new entries to be matched to the framework.

TABLE 4D

RESULTS OF MATCHES BETWEEN CATALOGUED CHANGE EVENTS AND THE FRAMEWORK QUADRANTS/OPERATING ELEMENTS CLUSTERED BY FIVE-YEAR PERIODS

	MEANING	CULTURE	DECISIONS	SYSTEMS
1985-90	A - 1	A - 0	A - 1	A - 4
	B - 1	B - 0	B - 7	B - 10
	C - 1	C - 3	C - 6	C - 6
	D - 2	D - 0	D - 6	D - 3
	E - 0	E - 0	E - 6	E - 2
	F - 1	F - 1	F - 10	F - 6
		G - 2		G - 8
5-YEAR TOTALS	6	6	36	39
1990-95	A - 6	A - 4	A - 0	A - 5
	B - 7	B - 1	B - 2	B - 8
	C - 6	C - 2	C - 2	C - 8
	D - 4	D - 0	D - 5	D - 4
	E - 2	E - 0	E - 9	E - 2
	F - 4	F - 5	F - 8	F - 2
		G - 5		G - 7
5-YEAR TOTALS	29	17	26	36
*1995-2000	A - 5	A - 10	A - 2	A - 2
	B - 6	B - 10	B - 7	B - 15
*Change in	C - 8	C - 10	C - 7	C - 11
Superintendent	D - 11	D - 7	D - 2	D - 9
	E - 8	E - 4	E - 10	E - 8
	F - 11	F - 11	F - 12	F - 17
		G - 12		G - 12
5-YEAR TOTALS	49	64	40	74
2000-2003	A - 0	A - 4	A - 2	A - 0
	B - 1	B - 3	B - 1	B - 3
	C - 3	C - 4	C - 1	C - 5
	D - 3	D - 2	D - 0	D - 1
	E - 2	E - 0	E - 3	E - 3
	F - 1	F - 6	F - 2	F - 5
		G - 4		G - 4
3-YEAR TOTALS	10	23	9	21
GRAND TOTALS	94	110	111	170

SECTION 3 -COMPARISON OF RESULTS FROM THE SYSTEMIC TRANSFORMATIONAL CHANGE SURVEY AND THE ARCHIVAL RECORD ANALYSIS

This section will examine the similarities and differences in the results from the administration of the systemic transformational change survey to professional staff in the subject district and the results of the archival record analysis utilizing the quadrants and operational elements of the systemic transformational change framework (grid/"lens"). The purpose of this comparison analysis is to look for parallels or differences in the profile for the study subject district created by the application of the leadership focus quadrants and their operational elements that comprise the systemic transformational change framework. These parallels and/or differences will be discussed in Section 4, "Discussion and Interpretation of Results".

For clarity, this discussion of the parallels and differences in the results from Sections 1 and 2 will start with an examination of each quadrant separately, beginning with MEANING. While the average survey responses for MEANING were the highest of the three quadrants (3.96), the archival record analysis for this quadrant yielded the lowest number of total matches over all operational elements within a quadrant. In addition, the operational element with the highest survey average in the MEANING quadrant, Mission/Purpose, had the fewest total matches with features of the catalogued change events for that quadrant. By the same token, the operational element of, Expectations, had the highest number of matches for that quadrant (20), but had a 3.76 average survey response which is a full .66 lower than the average response score for the highest average scored element of Mission/Purpose.

The CULTURE quadrant was both the lowest scoring quadrant for average survey responses and the second lowest quadrant for catalogued matches; however, for catalogued matches, this quadrant was one match away from tying the catalogued matches for the DECISIONS quadrant. Within the CULTURE quadrant, the operational element of, Engagement/Inclusion had the lowest response average on the survey at 3.03, followed closely by Leadership, at 3.2. In opposition to the survey results both the operational elements of Engagement/Inclusion and Leadership had the highest number of catalogued matches for that quadrant, 19 and 23 respectively. The operational element in the CULTURE quadrant with the highest survey response average was Operating Norms, with a 3.95. This element also had the third highest number of catalogued matches at 18. The operational element with the lowest number of catalogued matches (at 4) was Traditions/Stories/Celebrations, and it also ranked third lowest in average survey responses at 3.34, or .61 below the highest ranked survey response average.

While the DECISIONS quadrant was one match off tying the CULTURE quadrant for number of catalogued matches to its operational elements, this quadrant ranked the second highest for average survey responses (at 3.8), right behind MEANING (at 3.96). The operational element of, Best Practice, was both the highest ranked survey item for this quadrant (at 4.2) and the second highest operational element in terms of catalogued matches (at 28). The operational element with the highest number of catalogued matches (at 32) was, Consistency and Coherence, which also scored a moderate survey response average for that quadrant (at 3.75). The lowest ranked operational element for this quadrant from the average survey responses was,

Projections/Environmental Scans (at 3.4), which also ranked relatively low for this quadrant on the catalogued matches (at 13).

At a survey response average of 3.7, the SYSTEMS quadrant was the second to the lowest for total average survey responses. In stark contrast, this quadrant scored 59 archival record matches over the next highest quadrant (170/111) of DECISIONS and 65 matches over the average matches for the other three quadrants which only had a point spread for matches of 17 between the lowest (MEANING) and the second highest (DECISIONS). Within the SYSTEMS quadrant, Professional Learning had the highest average survey response (at 3.95), but the lowest number of catalogued matches. By similar contrast, Communications and Evaluation, Feedback, and Rewards scored the highest number of catalogued matches (at 31 and 30, respectively), but the lowest average survey responses for this quadrant (3.58 and 3.55, respectively)

SECTION 4 – DISCUSSION AND INTERPRETATION OF RESULTS

This study focused on two research questions. The first part of this discussion will examine the study results as they pertain to each question separately. The first study research question was:

> Given a framework of elements drawn from the literature on systemic change, transformational leadership, and organizational development, to what extent can that framework describe and explain a multi-year change process in a case study school district?

The results of the archival record analysis utilizing the quadrants and operational elements of the Systemic Transformational Change Framework shed some light on this

question. In the process of cataloguing sixty-two significant change events for the subject school district over an eighteen-year period, this study found that 59, of the 62, catalogued events contained operational elements from, at least one and, in most cases, more than one of the Framework quadrants. Further, for most events, there were multiple operational elements in evidence, through the archival record of the change events that constituted matches for one or more of the quadrants.

The three major change events catalogued for this study that did not produce matches to either the quadrants or the operational elements were changes of leadership personnel at top levels of the organization. The fact that these non matching changes did not contain systemic or transformational elements is probably due, in large part to three factors: (a) the longevity and continuity of the Board, Superintendent, and general administrative personnel; (b) the aggregate impact of catalogued changes prior to these leadership changes, especially in the five-year period preceding them; and, (c) the internal system in the district for leadership development and promotion.

The results of the archival record analysis show a pattern of change in the frequency of matches to Framework quadrants and their operational elements over the eighteen-year analysis period for the subject district. In the first five-year period the total number of matches for all operational elements across all four quadrants is 87 (see Table 4D on page 106). By the second five-year period, this number increases to 108 and, in the third and most active five-year period, the number more than doubles to 227. This is followed by a relative slow-down for the final period from 2000-2003, which is only three years in length, versus the previous five-year segments of time examined in the results. In light of the earlier discussion of leadership continuity until the last three-year

period (the relative slow-down period), one explanation for the more than doubled number of matches over the first three five-year periods could be that there was a build-up of impact for systemic transformational leadership focus.

In support of this conjecture is the fact that the more resistant quadrants of change, MEANING and CULTURE (Bolman & Deal, 1991; Carlson, 1996) logged significantly fewer matches than those of DECISIONS and SYSTEMS in the first five-year period but, by the third five-year period, logged nearly the same total number of matches between them as compared to the other two quadrants. Interestingly, the final three-year period from 2000-2003 which yielded a noticeable drop-off of matches overall, had more than twice the number of matches for CULTURE (23) and SYSTEMS (21). Again, this could be a function of changeover in leadership or just an outgrowth of identified organizational need.

Without interpreting beyond the archival record, it is not possible to conclude actual causal factors in either the rate or the distribution of matches between catalogued change events and the quadrants/operational elements of the Framework, but the existence of a strong match pattern between the events and the Framework suggests some level of power for utilization as a tool to track and describe a systemic transformational change process. This inference is possible because the subject district archival record also contains regular indicators of change results that would be associated with systemic transformational change. These include, but are not limited to:

- Improved trend lines in student achievement over the eighteen-year period
- Student achievement levels that are consistently higher than peers in terms of size, resources, and demographics

- Improved employee responses on climate/satisfaction surveys
- Changed assumptions and perceptions by staff, students, and parents
- Changes in Board activity to focus less on management details and more on policy, programming, planning, and evaluation.
- Changes in Administrator and staff engagement (from management details to student success issues)
- Changes in allocation and distribution of resources
- Changes in organizational work patterns, leadership patterns, and student grouping and matriculation patterns
- Changes in classroom practices and processes
- Significant growth in utilization of new technologies

The strong pattern of catalogued matches to the Framework quadrants and operational elements and evidence of types of impact associated with systemic, transformational change (Elmore, 1990; O'Day &Smith, 1993; Senge, 2000; Marzano, 2002; Lambert 2003) in schools, provides reasonable evidence that the framework of leadership focus quadrants and operational elements has some utility for monitoring, tracking, and explaining actual systemic transformational change processes in schools at the district or organizational level. This conclusion could be limited by the fact that the researcher who is interpreting these results is also the designer of the framework and the superintendent (former assistant superintendent) of the study subject school district. The nexus of these three factors could introduce enough bias to question the findings; however, the richness of the literature base that supports both the quadrants of systemic transformational leadership focus and the operational elements help diminish the

likelihood that the results could be totally negated by virtue of any bias through the research design of this study.

The systemic transformational change survey administered to case study subject district professional staff provides the results from this study to examine the second research question:

> After isolating specific elements of systemic change for increasing organizational capacity, can a useful set of descriptors that match each element help school leaders discriminate the degree to which those elements are present in their school or school system?

The items for the survey were designed to provide observable characteristics or behaviors (descriptors) that align with the specific operational elements for each leadership focus. These descriptors represent untested assumptions regarding what may serve as reasonable observable evidence for each operational element aligned to four leadership focus quadrants. The assumptions that constitute the basis for the survey items derive, in large part, from case study-based literature, and in some smaller part from the researcher's own nine-year experience as a K-12 superintendent and eighteen-year experience as the subject district's educational leader.

The survey results from this study depict a pattern of moderate to high levels of observable evidence that the operational elements associated with the four quadrants of leadership focus for systemic transformational change in the subject school district. This general profile is supported by the results of the archival record analysis utilizing the framework quadrants and the operational elements. The numbers of matches between the operational elements of the framework and the change event record analysis would

support an organizational profile that portrays, at least, a moderate level of implementation of and/or alignment with the operational constructs of both the Framework and the survey instrument.

When comparing the results of the survey and the archival record analysis, there were several differences between operating elements that the survey respondents rated higher and those for which the record analysis found the most matches. It would require the collection of survey data and archival record analysis data from several subject organizations, however, to examine the significance of those differences. For the purpose of this study, it may be more useful to consider the differences discussed in Section 3 of this chapter as a function of natural discrepancies between what kinds of operational changes attempted and how those changes have played out how professional staff experience those changes (Cuban, 1990). Another factor in the differences between which operational elements produced stronger results in the survey versus the archival record analysis may be the number of items various respondents skipped in completing the survey (36 out of 95 items). Since most of the items that were skipped by six or more respondents also had the lowest average response score, the low score could be a function of any confusion respondents may have had regarding the clarity of the item.

The average quadrant scores for the survey results are consistent with the quadrant results of the archival record analysis with the exception that the significantly higher number of matches of catalogued events for the SYSTEMS quadrant did not parallel a proportionately stronger response average for that same quadrant. There are, however, enough differences in the patterns of survey responses and archival record matches for each operational element to warrant further study and testing of the survey

instrument itself before it can be considered a useful tool for monitoring the degree of implementation for the various operational elements that comprise each quadrant of the Framework. Since a number of survey respondents skipped one or more survey items, some fluctuations in scoring averages for discreet operational elements may be attributable to survey item clarity or observability. Considering the aggregate survey average for each leadership focus quadrant in comparison to the archival analysis results (matches) for each quadrant, however, the survey instrument and its descriptors produced strong enough parallel results to be considered for further development as a monitoring tool for school leaders who want to build the operational elements of the systemic transformational change quadrants into their organizational change and adaptation process.

CHAPTER 5 – SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

SECTION 1 - PROBLEM SUMMARY

This chapter explores the implications of the study results in light of the study problem, the study questions, and the literature support. As stated in Chapter 1, this study focuses on the problem of shaping and sustaining systemic transformational change in K-12 school organizations for improved results. School leaders are facing increasingly greater pressures for better student results amid complex challenges resulting from shifts in economic, demographic, and social patterns (Kotter, 1995). The shift from "universal access to universal proficiency" (Lewis, 2003) as the standard by which America measures the success of its public schools is straining school improvement and reform initiatives and the school leaders who must implement them to the limits. While there is no lack of will, school leaders are confounded by conflicting priorities, outdated technologies, declining resources, and operational systems that constrain organizational learning and adaptation.

All of this translates into a risky situation for K-12 public education in the U.S. today. Federal (N.C.L.B) and state accountability systems are raising the threshold for acceptable student results at a rapid annual pace. Chartered and vouchered alternatives to existing public schools are being rolled out every day with the premise that pseudo or fully privatized or market driven models will out perform the traditional neighborhood or community school. Many of these new alternatives, however, are laboring under the same old assumptions and responses as their more traditional counterparts (Eisner, 2003),

following the same basic premises of schooling, and realizing very little, if any, different results.

To achieve the change in our school organizations (public, private, or pseudo-public) needed to achieve the breadth and depth of student proficiency expected by today's policy framers will require highly re-educative approaches to school operations and leadership. School leaders have access to models for applying transformational and generative theories in leading school organizations. Through extensive meta analysis work, researchers like Marzano (2002) and Lambert (2003) have compiled frameworks that increase engagement and learning among school leaders and teachers and focus that learning on improved student results. School accreditation and total quality models (Bonstingl, 1992) offer school leaders systems approaches for aligning processes and creating feed-back loop. School leaders do not, however, have access to tested fully integrated operational frameworks for blending transformational and generative practices along with systems and quality processes.

It is the premise of this study, that school leaders will need operational models that incorporate both the strongest elements of generative, transformational leadership and the most proven systemic processes to achieve both the rate and degree of school reform change expected. If we had more time and resources to spare, the generative, re-educative and transformational processes, alone, might eventually get the desired results in terms of adapting our school practices and processes to achieve the new definitions of success. Given limited time and resources, however, school leaders need functional approaches that, not only generate organizational learning and adaptation, but increase rate of learning response and systematic adaptation.

School leaders do not have the time or the resources to independently invent operating systems that achieve both. In many cases, they are looking to the literature, to documented exemplars of success, to collaboratives with higher education or educational service and research centers, and to each other for integrated leadership and management approaches that can produce both the learning and adaptive processes needed to reshape school norms, processes, systems, and technologies in ways that align with the both the new expectations and the new realities of public education in America's schools A recent study conducted by a collaborative of seven intermediate school districts or regional service agencies found that there is often a significant gap between perceived priority needs to support school reform/improvement and the capacity that currently exists (See Appendix F – Graph F1). Among the highest areas of capacity gap compared to perceived priority need were Professional Development, Grant Development, and Program/Curriculum Evaluation. These were followed by Assessment, Data Management, Information Searches, and Planning.

The same study also confirmed that school personnel and leaders still look primarily within for the resources, expertise, and initiative to support school improvement. This seems to support an understanding that schools need to reform from the inside out. External sources can provide models, information, training, and facilitation, but the hard work of reshaping norms, practices, processes, and expectations must occur deep within the school organization for any reform effort to translate into fundamental systemic change (Elmore, 1996). The study referenced in Appendix F was prompted by an investigation of potential for a regional research and development collaborative and conducted by investigators from Western Michigan University and the

participating Intermediates and RESA's. The fact that these agencies and their member K-12 districts would even consider creating and supporting a new collaborative initiative for research and development at a time when resources are already significantly stretched, points up the fact that comprehensive integrated solutions for leading and sustaining targeted school reform are not readily available to school leaders.

SECTION 2 - CONCLUSIONS

This study looked at the potential for combining the critical elements of transformational leadership practice, systems thinking, and total quality processes into a unified framework to guide school leaders in shaping school reform/improvement initiatives. Through a review of the literature relating to all three, this study proposed a school leadership and management framework that systematically aligns leadership focus on four quadrants of re-educative and adaptive activity: MEANING, CULTURE, DECISIONS, AND SYSTEMS. This study also attempts to distill, from the literature, discreet operational elements which have the likelihood of addressing the critical features of each focus area. The first two leadership focus quadrants of MEANING and CULTURE, along with their identified operational elements, derive primarily from the literature on transformational, generative, and re-educative leadership theories and practices. The second two quadrants of DECISIONS and SYSTEMS, with their sets of operational elements, were extracted from the literature, frameworks, and models for total quality processes and systems approaches.

The MEANING and CULTURE focus areas recognize that schools are enterprises where human capacity and intellectual capital are critical to success. These two areas

also address the reality that schools are strongly encultured social systems, with deep taproots of tradition, norms, values, and belief systems. The operational elements for these two focus areas are designed to work at the social, cultural, and political levels of the school organization with the understanding that school leadership policies and approaches cannot ignore the ways in which school norms and processes are shaped, entrenched, and reshaped (Weick, 1976, & Elmore & Burney, 1997). The leadership focus areas of MEANING and CULTURE, recognize the need for leadership policy that works, simultaneously, at the symbolic, normative, and political levels of a school organization (See Appendix G) and provide operational mechanisms to shape that work.

The DECISIONS and SYSTEMS leadership focus areas, by contrast, address the realities that schools will be judged successes or failures to a significant degree by their output. Since the output of schools can only be measured in terms of demonstrated human capacity and functionality, there is a need to recognize the rational aspects of school leadership policy. Additionally, schools are complex organizational structures replete with layers of systems and processes. The two realities, combined, point up the need for blending the transformational (symbolic, normative, cultural) leadership approaches with the systemic, structural, and total quality (rational and organizational) approaches (Elmore, 1999). This study proposes an integrated school leadership and management approach by blending the two halves (transformational and systemic) of an operational framework.

This study selects a case study approach where the researcher can investigate the utility of the proposes systemic transformational school leadership framework against evidence available through a documented long-term archival record of a systemic

transformational change process in an actual K-12 school district. The study also proposes and tests a professional staff survey with behavioral descriptors aligned to each leadership focus area and the accompanying operational elements that support each leadership focus area or quadrant. Through an extensive matching process between the framework, its operational elements, and the archival record of major change events, initiatives, and activities in the case study subject school district, this study confirms that the framework and its operational elements had significant descriptive power to track the discreet features of a documented eighteen-year change process. While the self-reporting assessment survey instrument designed as a companion to the framework yielded general results that align with the results of the archival record analysis for the major leadership focus areas identified in this study, the instrument appears to need more work on the operational descriptors to increase clarity and reliability.

This study attempted to set up a proposition for the creation of a unified and integrated school leadership and management framework that incorporated multiple policy and leadership approaches from the literature on transformational and systemic change processes. A model framework was designed and tested against an extensive muti-year record of change activity and the resulting current status for a case study school district as reported by study participants in a survey of self-assessment descriptors. The results from this study suggest that there is potential descriptive power in the proposed framework even though more work is needed to translate that framework into clearly observable descriptors that can assist school leaders and staff in self assessing the degree to which the change process in their school organizations aligns with the proposed leadership focus quadrants and their accompanying operational elements. Assuming that

the quadrants and operational elements have potential power to guide the integration of critical elements of transformational and systemic change processes, the framework tested in this study may be work further investigation as both a tool for school leaders to monitor their school change and reform processes and actually shape leadership focus and attention.

SECTION 3 - RECOMMENDATIONS

As stated above, this study was intended to be an opener for more concentrated work to produce effective integrated leadership frameworks that guide school leaders in applying the most powerful elements of transformational and systemic change theories and processes. The framework proposed and tested in this study appears robust enough for further exploration as an operational construct that incorporates critical operational elements in such a way as to leverage the effect of applied transformational theories and systemic change and improvement processes. Further study to refine the framework and increase its utility as a leadership process lens could include additional tests of its applicability to other case specific change processes resulting in documented systemic change and/or improvement. Such examinations could lead to further refinement of the operational elements and further development of the framework for use as a planning, as well as, a monitoring tool for school leaders.

Because of the need for school leadership and management frameworks that embody the major factors and components necessary to effect and sustain systemic change, future work could include a meta analysis of all the tested extant school improvement and change frameworks for the purpose of cross-referencing their major

areas of leadership and their identified operational components with each other and with the framework proposed in this work. The literature review for this study included some of this cross referencing from the theory base and subsequent analysis could focus more on documented applications of theory in school leadership practice correlated to changes in student achievement results.

This study concludes with the conviction that integrated school leadership and management frameworks specifically designed to generate organizational learning and to translate that learning into changed systems, norms, and practices could play a significant role in breaking the cycle of school reform that keeps reinventing our existing school operating structures and premises. It concludes, also with reasonable assurance that, key to shaping such integrated frameworks, are the quadrants of leadership focus examined in this investigation: MEANING, CULTURE, DECISIONS, and SYSTEMS. Hopefully, this work has provided a stepping off point for future development and articulation of working models to operationalize the critical features of each quadrant and to test the application of those operational elements in a wide variety of school settings where the primary leadership goal is to reshape operating norms and processes around shared understandings that translate into improved student success.

Appendix A

SYSTEMIC TRANSFORMATIONAL CHANGE GRID

Appendix A

SYSTEMIC TRANSFORMATIONAL CHANGE GRID

MEANING A. Mission/Purpose B. Vision C. Values/Beliefs D. Expectations E. Guiding Principles F. Common Language	**CULTURE** A. Norms B. Affiliations/Groups C. Leadership D. Mentoring/Coaching E. Traditions/Celebrations/ Stories F. Engagement/Inclusion G. Dialogue
DECISIONS A. Real-time Data B. Multiple Measures C. Data Analysis D. Projections/Environmental Scans E. Best Practices F. Consistency/Coherence	**SYSTEMS ALIGNMENT** A. Policies/Regulations B. Processes/Procedures C. Roles/Responsibilities D. Performance Standards E. Professional Learning F. Evaluation, Feedback, Rewards G. Communications

Appendix B

SYSTEMIC TRANSFORMATIONAL CHANGE SURVEY

Appendix B

SYSTEMIC TRANSFORMATIONAL CHANGE SURVEY

Version 1

For each item, click on the number that represents the degree to which each descriptor fits the current status of your district or school. You will be rating each item from 1 to 5, with 1 being the lowest and 5 the highest.

1. MEANING: MISSION/PURPOSE

The district/school maintains a current statement of its central purpose (mission) and core commitments.

Average rank

1 2 3 4 5

(4.4)

2. The district's/school's central purpose (mission) is stated in terms of service to students.

Average rank

1 2 3 4 5

(4.4)

3. The district's/school's core commitments are stated in terms of student achievement.

Average rank

1 2 3 4 5

(4.1)

4. MEANING: VALUES/BELIEFS

The district/school maintains a current statement of shared values and beliefs.

Average rank

1 2 3 4 5

(4.1)

Appendix B. cont.

5. The statement of shared values/beliefs reflects the priorities for impacting students.

Average rank

1 2 3 4 5

(4.1)

6. The statement of shared values/beliefs reflects expectations for the entire school community.

Average rank

1 2 3 4 5

(4.0)

7. MEANING: VISION

The district/school maintains a clear statement of its desired future.

Average rank

1 2 3 4 5

(4.0)

8. The description of the district's/school's desired future includes clear commitments for improving student success.

Average rank

1 2 3 4 5

(3.9)

9. The definitions for desired student success are measurable.

Average rank

1 2 3 4 5

(3.5)

10. MEANING: EXPECTATIONS

The district/school maintains statements of positive expectations that support the organizations mission/vision/values; and beliefs for:

Average rank

1 2 3 4 5

Teachers (4.0)

Administrators (3.8)

Students (4.2)

Parents (3.5)

Community (3.3)

11. MEANING: GUIDING PRINCIPLES

The district/school maintains statements of principle regarding its operating norms (descriptions of how the district/school will carry out its mission/vision).

Average rank

1 2 3 4 5

(3.8)

12. The district's/school's guiding principles include how people are to be treated, valued, and carry out their work.

Average rank

1 2 3 4 5

(3.6)

13. MEANING: COMMON LANGUAGE

The district/school has developed or adopted a common vocabulary for discussing classroom instruction.

Average rank

1 2 3 4 5

(4.1)

14. The district/school has developed or adopted a common vocabulary for discussing professional practice.

Average rank

1 2 3 4 5

(4.2)

15. The district's/school's common vocabulary for instruction and professional practice derives from research based theory and practice.

Average rank

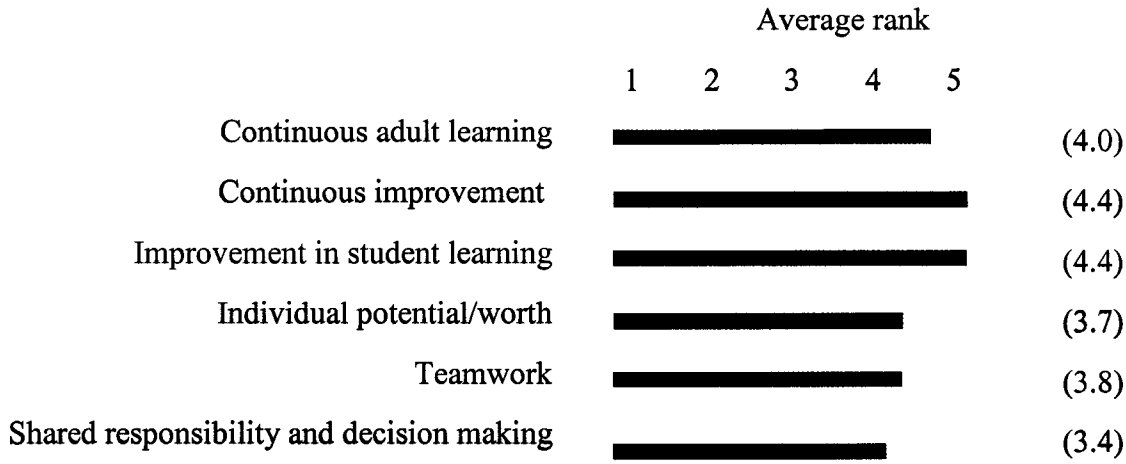
1 2 3 4 5

(4.4)

Appendix B. cont.

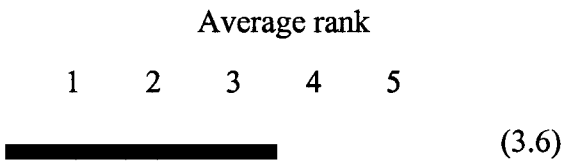
16. CULTURE: OPERATING NORMS

The district's/school's actual operating norms are strongly aligned to the following values:

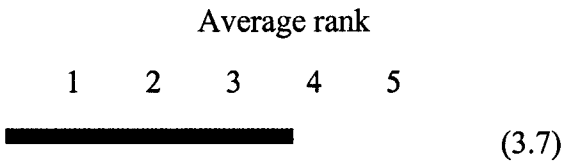


17. CULTURE: AFFILIATIONS/GROUPS

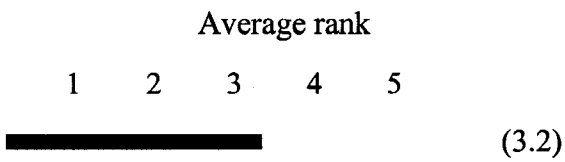
Work teams and task groups for the district's/school's major quality and improvement initiatives include broad representation from stakeholders.



18. Work teams and task groups are dynamic in that they form and reform around specific improvement targets.



19. There is significant cross communication and interaction between work teams and task groups.



Appendix B. cont.

20. The district/school forms alliances with other schools/districts/institutions based on its values, core commitments, guiding principles (operating norms) and future vision.

Average rank

1 2 3 4 5

(3.2)

21. CULTURE: LEADERSHIP

Leadership is systematically cultivated across all levels and among all stakeholders.

Average rank

1 2 3 4 5

(3.3)

22. Leadership is routinely recognized and rewarded across all levels and among all stakeholders.

Average rank

1 2 3 4 5

(3.0)

23. Leaders from all segments of the district's/school's stakeholders routinely and consistently engage with each other around the organization's major decisions.

Average rank

1 2 3 4 5

(3.3)

24. CULTURE: MENTORING/COACHING

Coaching and mentoring are systematically and regularly incorporated into the work of the following to improve student results:

Average rank

1 2 3 4 5

Teachers/professional staff (4.2)

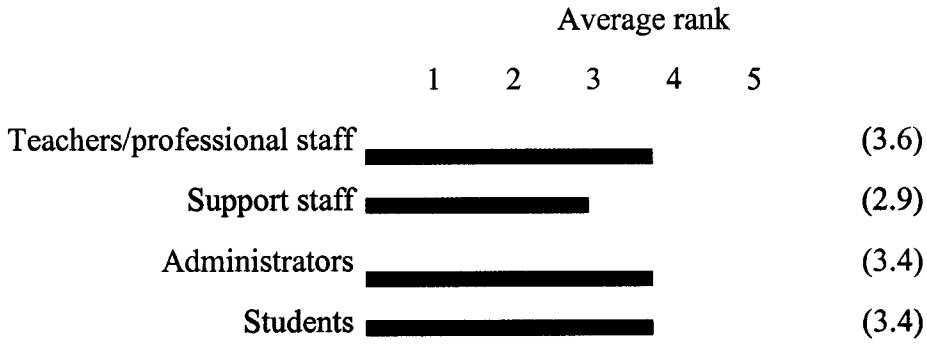
Support staff (2.9)

Administrators (3.4)

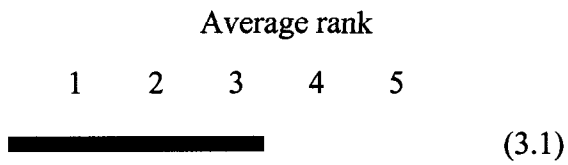
Students (3.7)

25. CULTURE: TRADITIONS/CELEBRATIONS/STORIES

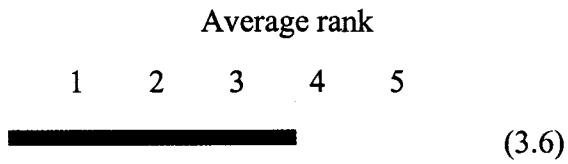
The district/school has a distinct "story" that describes its shared values, core commitments, and guiding principles.



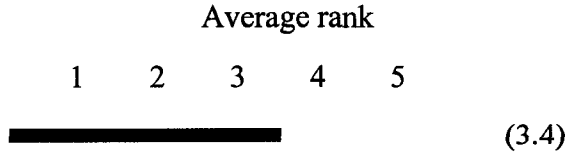
26. THE DISTRICT'S/SCHOOL'S STORY IS WELL KNOWN AND COMMONLY REPEATED AMONG ALL STAKEHOLDERS.



27. THE DISTRICT'S/SCHOOL'S "STORY" IS CONSISTENTLY CONVEYED THROUGH ANNUAL REPORTS, PUBLICATIONS, WEB SITES, SYMBOLS, SLOGANS, AND SIGNAGE.



28. CELEBRATIONS AND RECOGNITIONS ARE ROUTINELY AND REGULARLY USED TO REINFORCE THE DISTRICT'S/SCHOOL'S VALUES, CORE COMMITMENTS, GUIDING PRINCIPLES (OPERATING NORMS), AND FUTURE VISION.



Appendix B. cont.

29. CULTURE: ENGAGEMENT/INCLUSION

THE DISTRICT/SCHOOL SYSTEMATICALLY ENGAGES ALL STAKEHOLDERS IN SHAPING SHARED VALUES, CORE COMMITMENTS, GUIDING PRINCIPLES (OPERATING NORMS) AND FUTURE VISION.

Average rank

1 2 3 4 5

(3.3)

30. UNDERREPRESENTED STAKEHOLDERS ARE ROUTINELY RECRUITED FOR INVOLVEMENT AND PARTICIPATION.

Average rank

1 2 3 4 5

(2.6)

31. THE DISTRICT/SCHOOL MAINTAINS AN ACTIVE COMMUNICATION SYSTEM FOR INVOLVING AND ENGAGING ALL STAKEHOLDERS.

Average rank

1 2 3 4 5

(3.2)

32. CULTURE: DIALOGUE

THE DISTRICT/SCHOOL SYSTEMATICALLY ENGAGES STAKEHOLDERS IN DIALOGUE AROUND SHARED VALUES, CORE COMMITMENTS, GUIDING PRINCIPLES AND FUTURE VISION.

Average rank

1 2 3 4 5

(3.4)

33. THE DISTRICT/SCHOOL ROUTINELY UTILIZES SOCRATIC PROCESSES (INQUIRY) FOR SHAPING PROFESSIONAL DIALOGUE.

Average rank

1 2 3 4 5

(3.1)

Appendix B. cont.

34. THE DISTRICT/SCHOOL ROUTINELY UTILIZES REFLECTION TECHNIQUES (JOURNALING, QUESTIONING, DEBRIEFING) TO SHAPE PROFESSIONAL DIALOGUE.

Average rank

1 2 3 4 5

(3.7)

35. DECISIONS: REAL-TIME DATA

TEACHERS REGULARLY ANALYZE STUDENT CLASSROOM WORK TO PLAN AND ADJUST INSTRUCTION.

Average rank

1 2 3 4 5

(4.2)

36. THE DISTRICT/SCHOOL UTILIZES COMMON CLASSROOM ASSESSMENTS FOR MONITORING STUDENT LEARNING ON AN ONGOING BASIS.

Average rank

1 2 3 4 5

(3.8)

37. THE DISTRICT/SCHOOL PROVIDES TEACHERS WITH TECHNOLOGY TOOLS TO COLLECT/ANALYZE STUDENT DATA.

Average rank

1 2 3 4 5

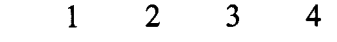
(3.9)

38. DECISIONS: MULTIPLE MEASURES

THE DISTRICT/SCHOOL USES MULTIPLE ASSESSMENT MEASURES TO ASSESS INDIVIDUAL STUDENT PROGRESS AND ACHIEVEMENT.

Average rank

1 2 3 4 5



(3.9)

Appendix B. cont.

39. THE DISTRICT/SCHOOL USES MULTIPLE MEASURES TO EVALUATE CURRICULUM AND PROGRAMS.

Average rank

1 2 3 4 5

(3.4)

40. DECISIONS: DATA ANALYSIS

THE DISTRICT/SCHOOL ANALYZES A MINIMUM OF FIVE-YEAR DATA TRENDS TO DRAW CONCLUSIONS REGARDING PROGRAM EFFECTIVENESS.

Average rank

1 2 3 4 5

(3.4)

41. THE DISTRICT/SCHOOL ROUTINELY ANALYZES ASSESSMENT DATA TO ISOLATE STRENGTHS AND WEAKNESSES.

Average rank

1 2 3 4 5

(3.9)

42. THE DISTRICT/SCHOOL ROUTINELY DISAGGREGATES STUDENT ACHIEVEMENT DATA TO COMPARE PERFORMANCE OF SPECIAL POPULATIONS TO THE GENERAL POPULATION.

Average rank

1 2 3 4 5

(3.7)

43. THE DISTRICT/SCHOOL MAINTAINS INDIVIDUAL MULTI-YEAR STUDENT RECORDS OF ACHIEVEMENT DATA FROM MULTIPLE MEASURES FOR EACH AREA OF THE CORE CURRICULUM.

Average rank

1 2 3 4 5

(3.7)

Appendix B. cont.

44. INDIVIDUAL STUDENTS ARE CREDENTIALED BASED ON PERFORMANCE DATA FROM CURRICULUM EMBEDDED (STANDARDS-BASED) ASSESSMENTS.

Average rank

1 2 3 4 5

(3.5)

45. DECISIONS: PROJECTIONS/ENVIRONMENTAL SCANS

ENVIRONMENTAL SCANS (DEMOGRAPHIC DATA, SURVEYS, OPINION POLLS, ETC.) ARE CONDUCTED REGULARLY TO INFORM DECISION-MAKING AND PLANNING.

Average rank

1 2 3 4 5

(3.2)

46. FUTURE PROJECTIONS (DEMOGRAPHICS, CRITICAL ISSUES, EDUCATIONAL TRENDS, ECONOMIC INDICATORS, ETC.) ARE ROUTINELY REVIEWED TO INFORM DECISION-MAKING AND PLANNING.

Average rank

1 2 3 4 5

(3.6)

47. DECISIONS: BEST PRACTICE

EDUCATIONAL RESEARCH/LITERATURE ARE CONSISTENTLY CONSULTED WHEN:

Average rank

1 2 3 4 5

SETTING IMPROVEMENT GOALS	(4.3)
SELECTING IMPROVEMENT STRATEGIES	(4.2)
DESIGNING PROGRAMS	(4.2)
DEVELOPING IMPLEMENTATION PLANS	(4.1)

48. DECISIONS: CONSISTENCY/COHERENCE

SHORT-TERM DECISIONS ARE ROUTINELY ANCHORED INTO LONG-TERM GOALS AND STRATEGIES.

Average rank

1 2 3 4 5

(3.7)

49. BEHAVIORAL NORMS FOR DAY-TO-DAY PRACTICE SUPPORT THE DISTRICT'S/SCHOOL'S VALUES, CORE COMMITMENTS, GUIDING PRINCIPLES AND FUTURE VISION.

Average rank

1 2 3 4 5

(3.8)

50. SYSTEMS ALIGNMENT: POLICIES AND REGULATIONS

WRITTEN POLICIES AND REGULATIONS ARE REGULARLY REVIEWED AND ADAPTED TO SUPPORT THE DISTRICT'S/SCHOOL'S VALUES, CORE COMMITMENTS, GUIDING PRINCIPLES, AND FUTURE VISION.

Average rank

1 2 3 4 5

(3.7)

51. SYSTEMS ALIGNMENT: PROCESS/PROCEDURES

PROCESSES AND PROCEDURES ARE ROUTINELY EVALUATED AND ADJUSTED FOR EFFECTIVENESS IN HELPING THE DISTRICT/SCHOOL TO ACHIEVE ITS GOALS.

Average rank

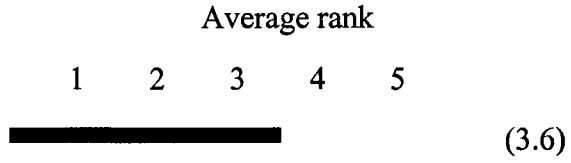
1 2 3 4 5

(3.7)

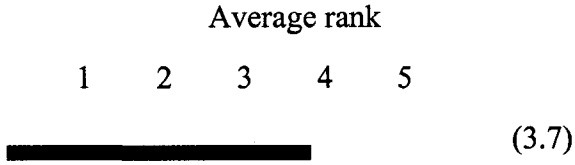
Appendix B. cont.

52. SYSTEMS ALIGNMENT: ROLES/RESPONSIBILITIES

ROLES AND RESPONSIBILITIES ARE CLEARLY ARTICULATED FOR ALL STAKEHOLDERS.

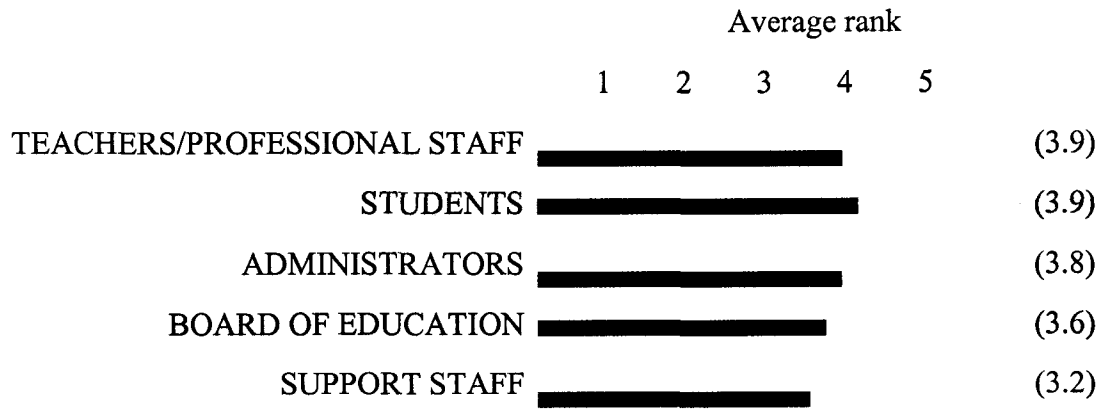


53. ROLES AND RESPONSIBILITIES FOR ALL STAKEHOLDERS DIRECTLY SUPPORT THE DISTRICT'S/SCHOOL'S VALUES, CORE COMMITMENTS, GUIDING PRINCIPLES, AND FUTURE VISION.



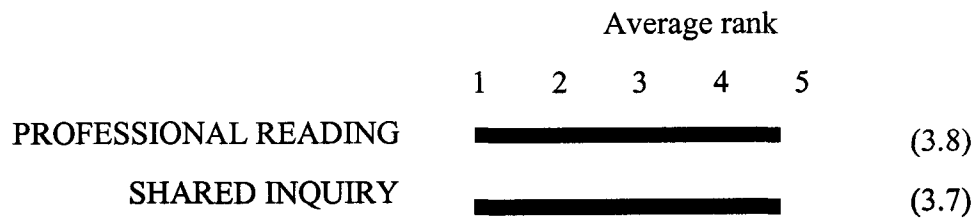
54. SYSTEMS ALIGNMENT: PERFORMANCE STANDARDS

PERFORMANCE STANDARDS ARE CLEARLY ARTICULATED AND CONSISTENTLY APPLIED FOR:



55. SYSTEMS ALIGNMENT: PROFESSIONAL LEARNING

THE DISTRICT/SCHOOL INCLUDES THE FOLLOWING FEATURES AS PART OF A COMPREHENSIVE PROFESSIONAL DEVELOPMENT PROGRAM:



ACTION RESEARCH (3.5)

HIGH QUALITY TRAINING (4.3)

COACHING AND GUIDED PRACTICE (4.0)

MENTORING (4.4)

DEVELOPMENT OF IN-HOUSE EXPERTISE (4.0)

56. SYSTEMS ALIGNMENT: EVALUATION/FEEDBACK/REWARDS

THE DISTRICT/SCHOOL MAINTAINS EMPLOYEE AND STUDENT EVALUATION SYSTEMS THAT PROVIDE REGULAR PERFORMANCE FEEDBACK.

Average rank

1 2 3 4 5

(3.8)

57. PERFORMANCE FEEDBACK CONSISTENTLY ALIGNS WITH STATED PERFORMANCE STANDARDS FOR:

Average rank

1 2 3 4 5

STAFF (3.5)

STUDENTS (3.8)

58. THE DISTRICT/SCHOOL MAINTAINS AN AGGRESSIVE SYSTEM OF RECOGNITIONS AND REWARDS FOR ACHIEVEMENT, INNOVATION, PERFORMANCE, AND INITIATIVE.

Average rank

1 2 3 4 5

(3.1)

59. STUDENTS RECEIVE REGULAR AND SPECIFIC FEEDBACK ON THEIR PROGRESS TOWARD MEETING PERFORMANCE STANDARDS.

Average rank

1 2 3 4 5

(3.8)

Appendix B. cont.

60. EVALUATION SYSTEMS INCLUDE PERSONAL GOAL SETTING, MULTIPLE DATA SOURCES, INQUIRY, ANALYSIS, AND REFLECTION FOR:

Average rank

1 2 3 4 5

STAFF [redacted] (3.5)

STUDENTS [redacted] (3.4)

61. SYSTEMS ALIGNMENT: COMMUNICATION

THE DISTRICT/SCHOOL MAINTAINS AN EFFECTIVE COMMUNICATION SYSTEM FOR COORDINATING THE WORK OF DECISION-MAKING TEAMS.

Average rank

1 2 3 4 5

[redacted] (3.4)

62. THE DISTRICT/SCHOOL ROUTINELY PREPARES AND DISSEMINATES REPORTS OF STUDENT ACHIEVEMENT AND ORGANIZATIONAL RESULTS TO ALL STAKEHOLDERS.

Average rank

1 2 3 4 5

[redacted] (3.8)

63. THESE REPORTS REGULARLY EXTEND BEYOND STATE/FEDERAL REQUIREMENTS.

Average rank

1 2 3 4 5

[redacted] (3.7)

64. THE DISTRICT/SCHOOL REGULARLY TAKES MEASURES TO COMMUNICATE BOTH ITS SUCCESS AND ITS CHALLENGES (THROUGH PUBLICATIONS, PRESENTATIONS, ELECTRONIC MEANS, ETC.) TO ALL STAKEHOLDERS.

Average rank

1 2 3 4 5

[redacted] (3.8)

Appendix B. cont.

65. THE DISTRICT/SCHOOL MAINTAINS AN AGGRESSIVE SYSTEM FOR SOLICITING INPUT FROM ALL STAKEHOLDERS.

Average rank

1 2 3 4 5

(3.2)

Appendix C

SYSTEMATIC TRANSFORMATIONAL CHANGE SURVEY RESULTS

Appendix C

Systematic Transformational Change Survey Results

Frequency and Average by Question

	5	4	3	2	1	0		#Resp.	Average
Q1	40	20	2	3	0	1	66	65	4.4
Q2	40	19	3	3	0	1	66	65	4.4
Q3	26	26	7	6	1	0	66	66	4.1
Q4	27	24	10	4	0	1	66	65	4.1
Q5	31	19	11	4	0	1	66	65	4.1
Q6	27	20	12	6	0	1	66	65	4.0
Q7	25	26	5	8	2	0	66	66	4.0
Q8	27	19	10	7	0	3	66	63	3.9
Q9	12	24	18	8	2	2	66	64	3.5
Q10A	26	23	8	7	2	0	66	66	4.0
Q10B	24	18	15	5	2	2	66	64	3.8
Q10C	33	21	6	4	0	2	66	64	4.2
Q10D	17	19	13	11	6	0	66	66	3.5
Q10E	15	15	18	9	8	1	66	65	3.3
Q11	18	25	17	3	3	0	66	66	3.8
Q12	19	20	13	7	7	0	66	66	3.6
Q13	29	21	12	4	0	0	66	66	4.1
Q14	25	29	10	2	0	0	66	66	4.2
Q15	40	17	6	1	1	1	66	65	4.4
Q16A	31	16	9	8	0	2	66	64	4.0
Q16B	37	18	10	0	1	0	66	66	4.4
Q16C	37	20	7	1	1	0	66	66	4.4
Q16D	18	22	14	10	2	0	66	66	3.7
Q16E	19	27	10	7	2	1	66	65	3.8
Q16F	14	21	16	8	4	3	66	63	3.4
Q17	15	24	15	8	4	0	66	66	3.6
Q18	12	32	14	6	0	2	66	64	3.7
Q19	9	16	26	9	6	0	66	66	3.2
Q20	8	24	17	10	4	3	66	63	3.2
Q21	11	25	11	12	4	3	66	63	3.3
Q22	8	20	15	10	13	0	66	66	3.0
Q23	8	22	23	8	3	2	66	64	3.3
Q24A	33	19	10	3	0	1	66	65	4.2
Q24B	10	10	23	13	8	2	66	64	2.9
Q24C	14	17	22	10	3	0	66	66	3.4
Q24D	18	25	10	12	0	1	66	65	3.7
Q25A	14	28	15	6	0	3	66	63	3.6
Q25B	10	12	24	11	0	9	66	57	2.9
Q25C	16	18	17	6	9	0	66	66	3.4
Q25D	14	22	16	8	0	6	66	60	3.4
Q26	11	21	17	8	0	9	66	57	3.1
Q27	16	26	14	6	2	2	66	64	3.6

Systematic Transformational Change Survey Results

Frequency and Average by Question

	5	4	3	2	1	0		#Resp.	Average
Q28	13	22	15	12	0	4	66	62	3.4
Q29	10	27	13	9	0	7	66	59	3.3
Q30	4	14	23	12	0	13	66	53	2.6
Q31	11	23	12	13	0	7	66	59	3.2
Q32	15	21	15	11	0	4	66	62	3.4
Q33	7	21	24	6	0	8	66	58	3.1
Q34	16	28	13	6	0	3	66	63	3.7
Q35	34	17	10	4	1	0	66	66	4.2
Q36	25	16	18	4	0	3	66	63	3.8
Q37	25	17	16	7	0	1	66	65	3.9
Q38	23	22	13	7	0	1	66	65	3.9
Q39	12	25	13	12	0	4	66	62	3.4
Q40	15	17	22	8	0	4	66	62	3.4
Q41	23	21	16	4	0	2	66	64	3.9
Q42	21	20	15	6	0	4	66	62	3.7
Q43	23	15	19	5	0	4	66	62	3.7
Q44	15	21	18	7	1	4	66	62	3.5
Q45	11	16	21	13	0	5	66	61	3.2
Q46	15	23	18	7	0	3	66	63	3.6
Q47A	33	23	7	2	0	1	66	65	4.3
Q47B	29	26	8	2	0	1	66	65	4.2
Q47C	30	21	12	3	0	0	66	66	4.2
Q47D	27	26	9	3	0	1	66	65	4.1
Q48	18	22	16	8	0	2	66	64	3.7
Q49	17	24	19	6	0	0	66	66	3.8
Q50	18	27	8	11	0	2	66	64	3.7
Q51	18	23	14	9	0	2	66	64	3.7
Q52	11	29	19	6	0	1	66	65	3.6
Q53	14	27	17	7	0	1	66	65	3.7
Q54A	20	26	13	6	0	1	66	65	3.9
Q54B	21	26	11	7	0	1	66	65	3.9
Q54C	19	24	17	4	0	2	66	64	3.8
Q54D	19	18	23	2	0	4	66	62	3.6
Q54E	13	17	17	12	0	7	66	59	3.2
Q55A	25	15	16	9	0	1	66	65	3.8
Q55B	23	17	15	9	0	2	66	64	3.7
Q55C	19	16	17	9	0	5	66	61	3.5
Q55D	37	16	8	4	0	1	66	65	4.3
Q55E	27	21	14	3	0	1	66	65	4.0
Q55F	38	18	7	3	0	0	66	66	4.4
Q55G	29	21	9	5	0	2	66	64	4.0
Q56	21	22	15	5	0	3	66	63	3.8
Q57A	11	24	21	7	0	3	66	63	3.5
Q57B	15	29	17	3	0	2	66	64	3.8

Systematic Transformational Change Survey Results

Frequency and Average by Question

	5	4	3	2	1	0		#Resp.	Average
Q58	8	24	14	12	0	8	66	58	3.1
Q59	19	26	15	5	0	1	66	65	3.8
Q60A	14	23	16	10	0	3	66	63	3.5
Q60B	7	29	19	8	0	3	66	63	3.4
Q61	12	22	18	10	0	4	66	62	3.4
Q62	19	28	11	6	0	2	66	64	3.8
Q63	17	24	15	8	0	2	66	64	3.7
Q64	20	26	13	4	0	3	66	63	3.8
Q65	10	18	21	12	0	5	66	61	3.2

Appendix D

SURVEY RESULTS

SURVEY RESULTS

Appendix D

Table D1

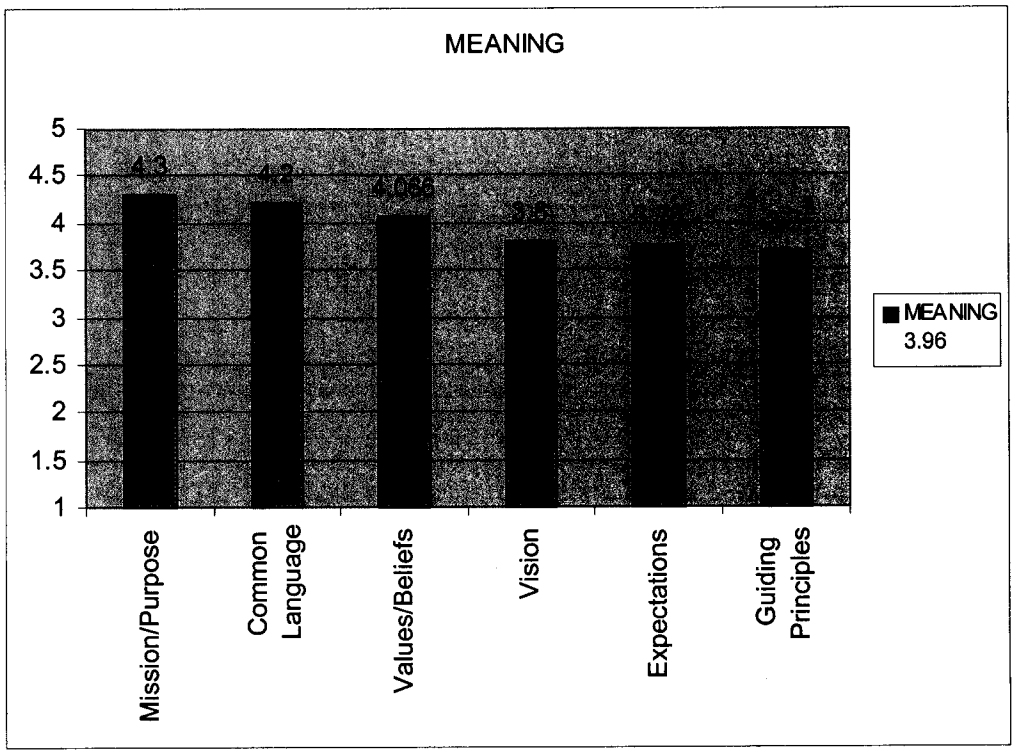
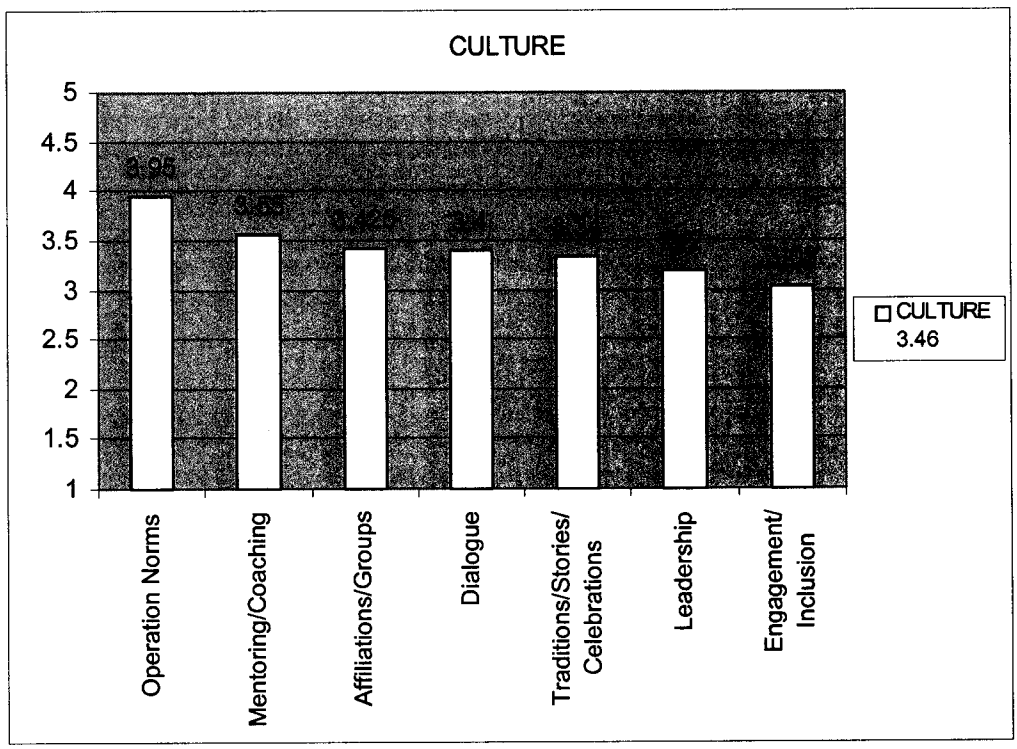


Table D2



SURVEY RESULTS Appendix D, Cont.

Table D3

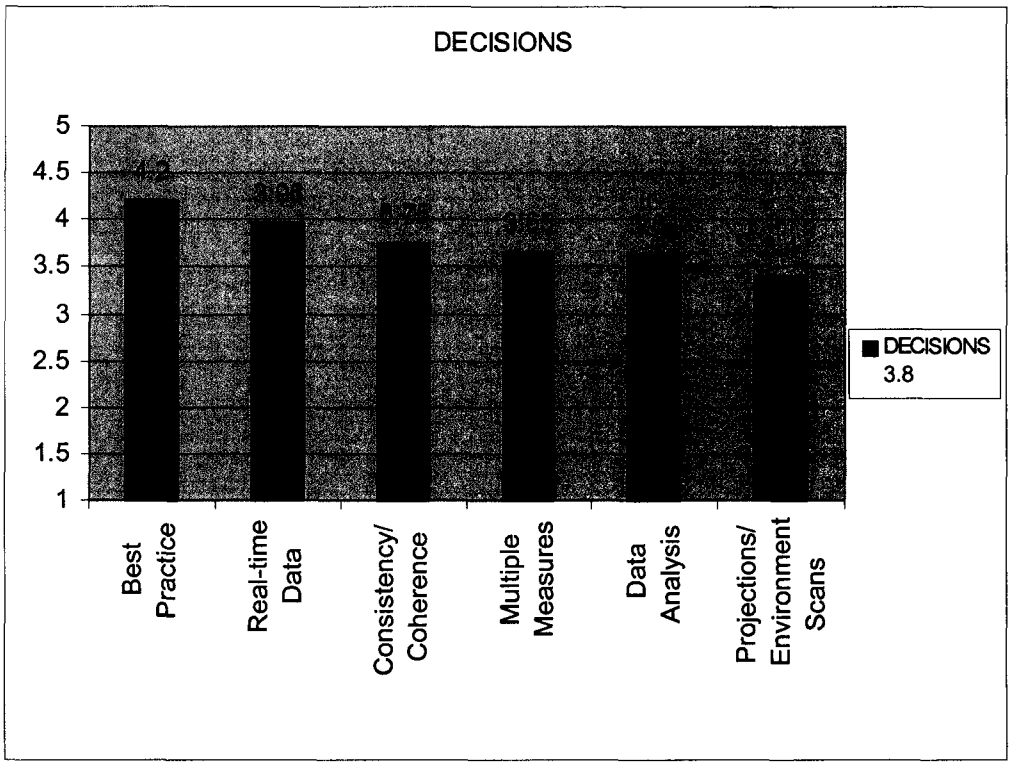
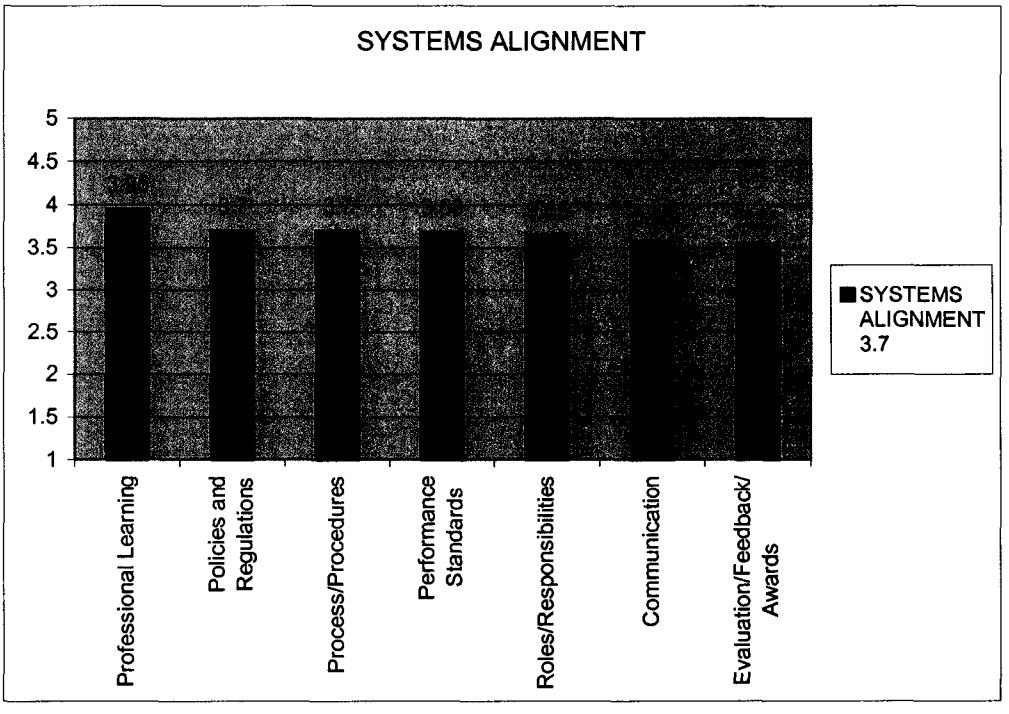


Table D4



Appendix E

RESULTS OF ARCHIVAL RECORD ANALYSIS THROUGH THE "LENS" OF THE SYSTEMIC TRANSFORMATIONAL CHANGE FRAMEWORK

RESULTS OF ARCHIVAL RECORD ANALYSIS THROUGH THE "LENS" OF THE SYSTEMIC TRANSFORMATIONAL CHANGE FRAMEWORK

YEAR	DESCRIPTION OF CHANGE	DECISION MAKERS	IMPLEMENTORS	IMPACTED	QUADRANT/ OPERATIONAL ELEMENT
1985-86	Adoption of Curriculum Review Cycle Based on the CIPP Program Evaluation Model – Emphasis Shifts from random, annual narrow, materials driven review of curriculum to a cyclical process that examines curriculum and instruction from a total program delivery perspective (content, pedagogy, resources, staffing, articulation, and grouping practices.)	Superintendent/ Small Teacher Committee	Curriculum Council	All Professional Staff	DECISIONS – B, C, D, E, F SYSTEMS – B, D
1985-86	Cross-Curricular Council (C.C.C) Replaces Curriculum Council – Emphasis shifts from curriculum department competition for resources to cross-curricular coordination and articulation combined with systematic distribution of resources over multiple years	Curriculum Council	Curriculum Council	All Professional Staff	SYSTEMS – B, C, G
1986-87	Adoption of district-wide discipline codes: codes of conduct for all levels/transportation and athletics	Building Administrators	Building Administrators	Students	SYSTEMS – A DECISIONS – F
1986-87	Implementation of staff/student handbooks that include grading systems, codes of conduct and selected policies/regulations	Administrators	Administrators	Staff/ Students	SYSTEMS – A, B, C, G DECISIONS – F
1986-87	Beginning of professional development programs based on curriculum reviews and adopted pedagogy and instructional delivery decisions (EEEI, Classroom Management, Cooperative Learning, content-based strategies)	Administrators	Administrators	Teachers	SYSTEMS – B, D, E, F DECISIONS - E, F
1986-87	Expedited bargaining process initiated with professional staff	Board/Teacher Bargainers	Board/Teacher Bargainers	Board/ Staff/ Administrators	SYSTEMS – B, G

1986-87	Adopted NEOLA Board Policy and Administrative Regulation System – highly detailed, regulatory and prescriptive	Board/ Superintendent	Administrators/ Staff	Whole District	SYSTEMS – A, G DECISIONS – F
1986-87	Implemented administrative goal process based on collected artifacts of administrative work	Board/ Superintendent	Superintendent/ Administrators	Administrators	SYSTEMS – F
1987-88	Middle school restructuring plan developed through a design team process conducted parents, resources people, facilitators, and professional staff from all levels	Stakeholder Group	Staff/ Administrators	Whole School	MEANING – A, B, C, D, F DECISIONS – D, E, F SYSTEMS – B, C
1987-88	Initiated annual data collection and analysis of discipline and attendance data to support annual code of conduct review	Principals	Principals	Students/Staff	DECISIONS – B, C, F SYSTEMS – A, B, F, G
1988-89	Instructional Consultants added to secondary level and role expanded to provide teacher leadership for curriculum review and instructional improvement process	Administrators	Administrators	Teachers	SYSTEMS – C DECISIONS – E, F CULTURE – C
1988-89	Internal comprehensive facility analysis study completed	Central Office	Central Office	Board	DECISIONS – B, C, D, F
1988-89	Annual Board reporting process initiated to monitor program implementation and analyze/report/results	Cross Curricular (C.C.C.) Council and Assistant Superintendent for Instruction	C.C.C. and Assistant Superintendent	Board/ Administrators Staff	SYSTEMS – B, F, G DECISIONS – B, C
1988-89	Annual student assessment reporting process begins to include multi-year trends and disaggregation	Assistant Superintendent	Testing Coordinator	Board/ Administrators	DECISIONS – B, C SYSTEMS – F, G
1989-90	Cross Curriculum Council expands its function to coordinate State School Improvement Process – adopts a "forum" framework for identifying and addressing broad school improvement issues	Cross Curricular Council (C.C.C.)	C.C.C.	C.C.C.	SYSTEMS – B, C, D, E DECISIONS – D, E, F MEANING – D CULTURE – C, G
1989-90	Broad-based community, staff, and student facility study completed as precursor to bond issue	Board/Central Office	Board/Central Office	Community Staff/Students	CULTURE – C, F, G DECISIONS – B, D, E SYSTEMS – B, F, G

1989-90	Contacted comprehensive demographic, land use, housing patterns, and growth projection completed	Board/Central Office	Contractor	Board/ Administrators	DECISIONS – A, B, C, D
1990-91	Reviews completed for Best Practice grading and homework policies and procedures	Cross Curricular Council (C.C.C.)	C.C.C.	Staff/ Administrators/ Students	DECISIONS – E, F SYSTEMS – A, B, E, F MEANING – C, E CULTURE – A, G
1990-91	Extensive grassroots community engagement campaign results in first successful bond issue since the mid-1970's	Community	Grass-Roots Groups	Whole District/ Community	MEANING – A, B, F CULTURE – C, F SYSTEMS – G
1991-92	Comprehensive plan for district local area and wide area voice, video, and data networks developed	Assistant Superintendent/ Ad Hoc Committee	Administrators/ Staff	Whole District	DECISIONS – D, E, F SYSTEMS – A, B, C, D, G CULTURE – A, F, G MEANING – B
1992-93	Systemic science education project for grades K-8 implemented along with the construction of an Outdoor Education Center and curriculum	Assistant Superintendent /Ad Hoc Committee	Administrators/ Staff/ Community/ Partners	Whole District	MEANING – A, B, C, D, F CULTURE – A, B, C, F, G DECISIONS - B, C, D, E, F SYSTEMS – A, B, C, E, G
1991-92	First comprehensive strategic planning process completed with broad-based stakeholder involvement	Broad-based Stakeholder Group	Board/ Staff, Administrators	Whole District	MEANING – A, B, C, E CULTURE – C, F, G DECISIONS – B, C, D, E, F SYSTEMS – D, G
1992-93	Opening of new/renovated facilities spawns an extensive arts education expansion initiative	Administrators/ Parents/ Staff	Administrators/ Staff	Students/ Staff	MEANING – B, C, D DECISIONS – D, E, F
1993-94	Comprehensive broad-based high school restructuring plan fully converts the high school program to a modified block schedule and the Career Pathways system	Administrators/ Parents/ Staff/ Students	Administrators/ Staff	Students/Staff	MEANING – A, B, C, D, F CULTURE – A, B, F, G DECISIONS – D, E, F SYSTEMS – A, B, C, D
1994-95	Superintendent retires – Central Office functions are reorganized to make the new Superintendent the Educational Leader and the Assistant Superintendent the chief Financial Officer	Board	Superintendent/ Central Office Team	Staff/ Administrators	CULTURE – A, C SYSTEMS – C
1994-95	Comprehensive technology plan developed to establish clear functions/roles for technology systems and	Superintendent/ Ad Hoc Committee	Administrators/ Staff	Whole District	MEANING – A, B, D, F CULTURE – A, F, G DECISIONS – E, F

	services. Plan includes development of an integrated data base system for district functions and student data.				SYSTEMS – B, C, D, G
1994-95	Guide for Instructional Improvement adapted to shape the integration of curriculum, instruction, and assessment	Superintendent/ Instructional Team	Staff/ Administrators	Staff/ Administrators	SYSTEMS – B, C, D, F, G
1994-95	Instructional Planning Model adopted to assist teacher in use of best instructional practices	Superintendent/ Instructional Team	Staff/ Administrators	Staff/ Administrators	DECISIONS – E, F SYSTEMS – B, C, G
1994-95	District forms relationships with Kids Hope mentoring programs	Superintendent/ Principals	Principals/ Community Volunteers	Students	CULTURE – B, F SYSTEMS – B, C
1995-96	District adds on-going contracts with expert trainers to strengthen Best Practice Professional Development Plan	Superintendent	Superintendent/ Trainers	Staff/ Administrators	DECISIONS – E, F SYSTEMS - B, C, D, E, F, G MEANING – D
1995-96	District adopts formal plans for cognitive coaching and peer coaching	Administrators/ Ad Hoc Committee	Administrators/ Ad Hoc Committee	Staff	CULTURE – A, B, C, D, G SYSTEMS – B, C, E, F DECISIONS – E, F
1995-96	The Cross Curricular Council (C.C.C.) evolves to the Total Learning Council (T.L.C.) in order to focus on district mission, goals, vision, strategies and the ongoing School Improvement Process	Cross Curricular Council (C.C.C.)	Total Learning Council (T.L.C.)	T.L.C.	MEANING – A, B, C, D, E, F CULTURE – A, B, C, G SYSTEMS – B, C
1995-96	District adopts the North Central Accreditation Outcomes Process for all schools	Administrators	Administrators/ Staff	Administrators/ Staff	DECISIONS – B, C SYSTEMS – B, D, F MEANING – D
1996-97	District undertakes a two-year At-Risk study process to identify student success initiatives. Process includes extensive literature reviews, outside consultants, and extensive student data collection/analysis. The results are used for base-line for future improvement initiatives.	Superintendent	Administrators/ Staff	Administrators/ Staff/Students	MEANING – B, C, D, F CULTURE – A, B, C, F, G DECISIONS – B, C, E, F SYSTEMS – B, C, D, E, F, G
1997-98	District updates strategic plan and designates specific strategies, roles, responsibilities and desired outcomes.	Board/ Superintendent Stakeholder Groups	Board/ Superintendent	District	MEANING – A, B, C, D SYSTEMS – B, C, D, F, G

1997-98	Administrative goal process evolves to align with the district strategic plan.	Superintendent and Board	Administrators	Administrators	SYSTEMS – F
1997-98	District adopts a comprehensive plan to engage families through Community Education Programs	Board/ Administrators	Administrators/Staff	District/ Community	CULTURE – E, F, G SYSTEMS – G
1997-98	At-Risk Study results in a complete reorganization of the Elementary Literacy Program with all Title I and At-Risk resources focused on the new Early Literacy Success Plan. Plan includes a summery literacy support program.	Staff/ Administrators	Staff/Administrators	Students	MEANING – D, E, F CULTURE – A, B, C, D, F, G DECISIONS – B, C, D, E, F SYSTEMS – A, B, C, D, E, F, G
1997-98	An Instructional Delivery Audit is completed to assess degree of district professional development program impact to classroom practice.	Administrators	Consultant	Staff	DECISIONS – E, F SYSTEMS – D, F
1997-98	At-Risk Study results in adoption of Positive Behavior Plans at all levels along with a Comprehensive Emergency/Crisis Response Plan.	Staff/ Administrators	Staff/ Administrators	Students	MEANING – D, F CULTURE – C, G DECISIONS – E, F SYSTEMS – B, C, F, G
1997-98	The Middle School adopts the Middle Start Critical Friends Staff Reflection and Troubleshooting Model focused on student needs/success	Staff	Staff	Staff/Students	MEANING – C, D, E, F CULTURE – A, B, C, D, F, G SYSTEMS – E, G
1997-98	Two teams of administrative and teacher leaders are established to plan for and support the Total Learning Council and to facilitate building level program implementation and school improvement	Superintendent	Staff/ Administrators	Staff/ Administrators	MEANING – A, B, C, D, E, F CULTURE – A, B, C, F, G DECISIONS – F SYSTEMS – B, C, G
1998-99	District engages in an extensive district history campaign along with major anniversary celebrations	Administrators/ Board	Administrators/ Staff	Community/ Staff/Students	CULTURE – E, F
1998-99	District adopts new teacher induction program and classroom embedded professional development with coaching	Administrators	Administrators/ Staff	Staff/ Administrators	MEANING – D, E, F CULTURE – A, B, D, G DECISIONS – E, F SYSTEMS – B, C, D, E, F

1998-99	The Total Learning council further adapts to support a continuous improvement model	Total Learning Council	Total Learning Council	Total Learning Council	CULTURE – C SYSTEMS – B, F
1998-99	District initiates process of employee feedback on culture/environment issues	Administrators	Administrators	Staff	CULTURE – F DECISIONS – A, B, C SYSTEMS – F, G
1999-2000	District adopts the Youth Assets Assessment and Planning Model	Administrators/ Staff	Administrators/ Staff	Students	MEANING – D, F DECISIONS – B, C SYSTEMS – F
1999-2000	District adopts a communications plan to produce print and electronic media to tell the District's story	Administrators/ Board	Administrators/ Staff	District/ Community	MEANING – A, B, C, D, E, F CULTURE – E, F SYSTEMS – G
1999-2000	District implements an at-risk four-year-old program and expands literacy/math based summer school programs	Administrators/ Staff	Administrators/ Staff	Students	DECISIONS – C, D, E, F SYSTEMS – A, B, C MEANING – D, F
1999-2000	District initiates on-going principal training, coaching and mentoring for teacher observations and teacher I.D.P.'s (Individual Development Plans)	Superintendent	Administrators/ Instructional Specialist	Administrators/ Staff	MEANING – D, E, F CULTURE – A, B, C, D, G DECISIONS – B, C, E, F SYSTEMS – B, C, D, E, F, G
1999-2000	Superintendent adopts a learning organization operational framework for superintendent leadership initiative	Superintendent	Superintendent/ Board	District	MEANING – E, F CULTURE – A, C DECISIONS – E, F SYSTEMS – B, E, F, G
1999-2000	District adapts opening teacher preservice day to shape annual focus as community of learners and educators	Instructional Team (Principals/ Teachers)	Instructional Team	Staff	MEANING – A, B, C CULTURE – E, F, G
1999-2000	District begins participation in Courage to Teach Program	Staff/ Administrators	Staff/Administrators	Staff/ Administrators	MEANING – C, D CULTURE – A, B, C, F, G
1999-2000	District adopts an electronically generated based elementary report system	Instructional Team/Staff	Instructional Team	Staff	MEANING – D DECISIONS – A, B, F SYSTEMS – B, D, F, G
2000-2001	District Professional Development Plan adapted to incorporate journaling and reflection, action research, new teacher mentoring, and leadership training	Instructional Team	Instructional Team	Staff	MEANING – B, C, D, E, F CULTURE – A, B, C, F, G DECISIONS – E, F SYSTEMS – B, C, E, F, G

2000-01	District board/teachers carry out modified version of interest-based bargaining	Board/Teacher Bargaining Teams	Bargaining Teams	District	CULTURE – C, F, G
2000-01	District adopts a Choice Program for two of five teacher professional development days required by State law	Instructional Team	Staff	Staff	MEANING – C, E CULTURE – A, B, C, F DECISIONS – E SYSTEMS – B, C, E, F, G
2000-01	Superintendent initiates annual "Parent Conversations" with parent groups	Superintendent	Superintendent	Parents	CULTURE – F, G SYSTEMS – C, F, G
2001-02	Assistant Superintendent for Business and Operations leaves to take a superintendency, followed by an interim, and replaced by the promoted High School Principal. This is accompanied by a promotion of the Middle School Principal to Executive Director of Instruction	Superintendent/ Board	Superintendent	District	No Matches
2000-01	District forms a partnership with local service clubs to implement the Strive Program for at-risk senior students	Staff/ Administrators	Staff/Administrators	Students	MEANING – C, D CULTURE – A, B, C, D, F SYSTEMS – C, F, G
2001-02	District expands annual assessment data analysis/reporting to include benchmark assessments	Instructional Team	Staff/Administrators	Staff/ Administrators	MEANING – D CULTURE – A, D DECISIONS – A, B, C, E, F SYSTEMS – B, C, D, E, F
2002-03	New Assistant Superintendent leaves in October of his second year to take a superintendency. He is followed by an interim, then a permanent replacement from outside the district.	Assistant Superintendent	Superintendent/ Board	District	No Matches
2002-03	The Executive Director of Instruction is promoted to Assistant Superintendent	Board/ Superintendent	Board/ Superintendent	District	No Matches
2002-03	District adopts a goals driven budget and budget input process	Board/ Superintendent	Board/ Superintendent	Staff/ Administrators/ Parents	CULTURE – F, G DECISIONS – A SYSTEMS – C, F, G

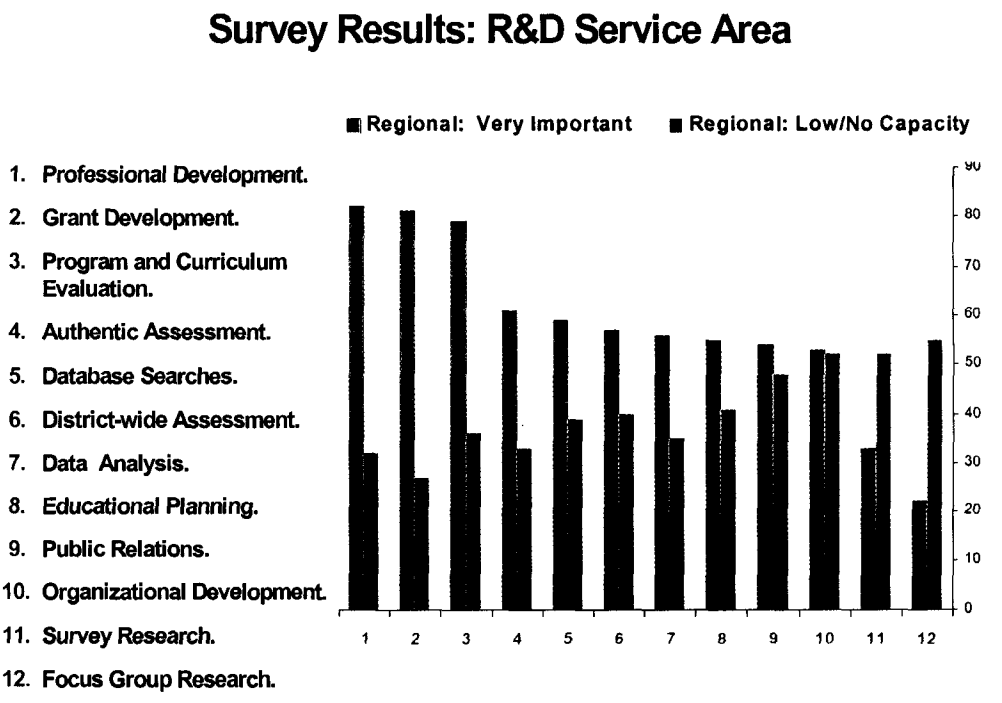
Appendix F

SURVEY RESULTS: R&D SERVICE AREA

Appendix F

RESEARCH AND DEVELOPMENT SURVEY RESULTS

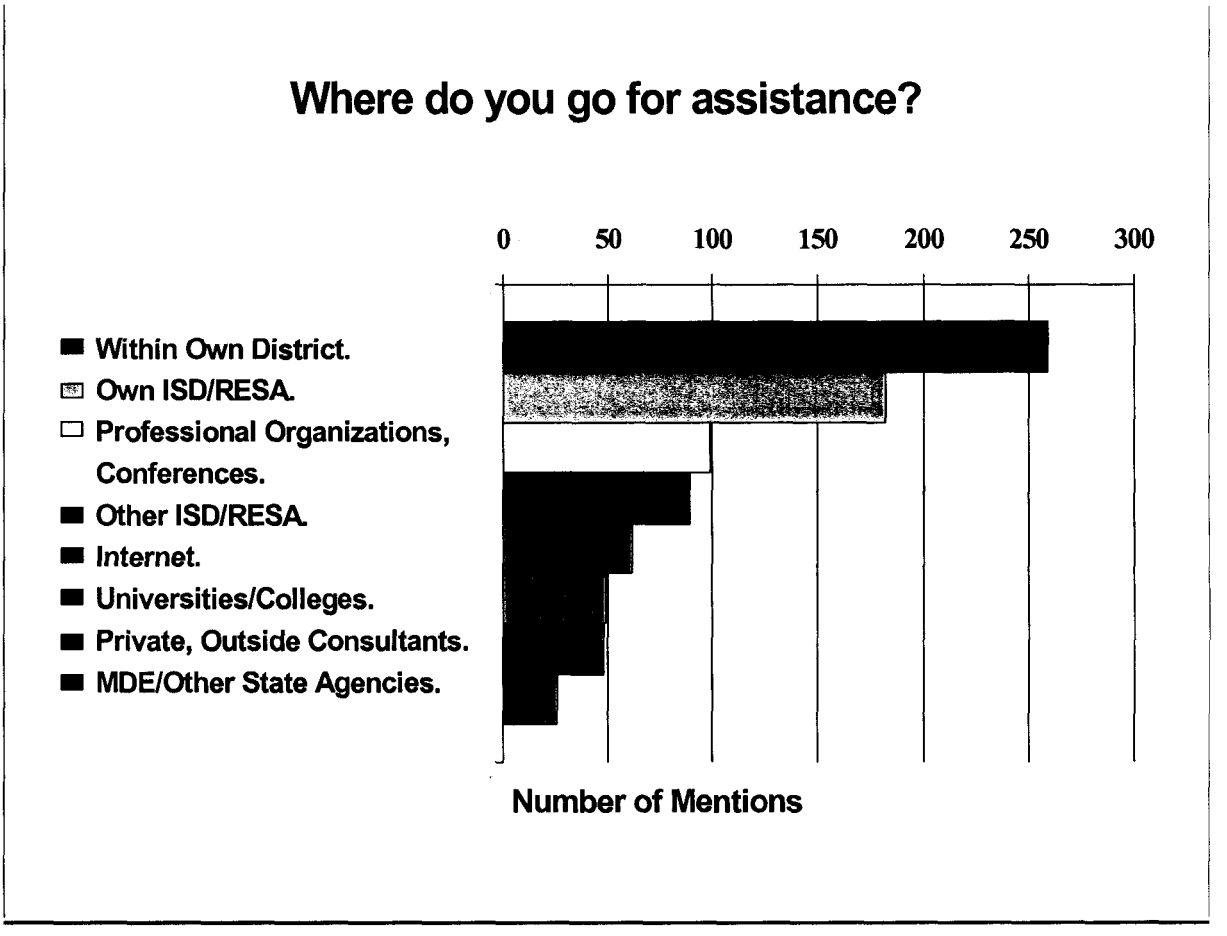
Table F1



Appendix F, Cont.

RESEARCH AND DEVELOPMENT SURVEY RESULTS

Table F2



Appendix G

POSSIBLE ORGANIZATIONAL APPLICATION

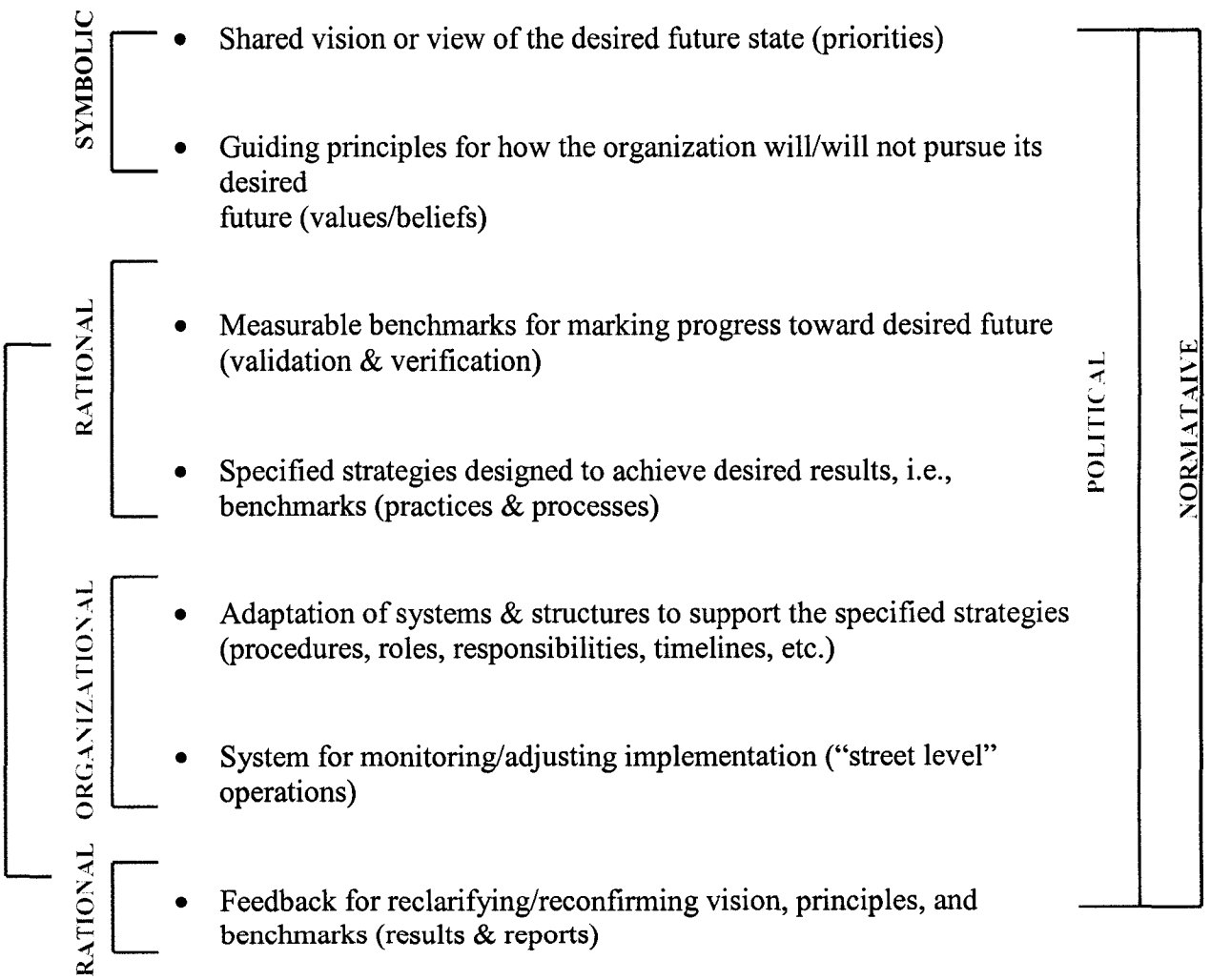
FOR MULTIPLE POLICY PERSPECTIVES

Appendix G

POSSIBLE ORGANIZATIONAL APPLICATION FOR MULTIPLE POLICY PERSPECTIVES

PREMISE 1: Multiple policy perspectives can support and facilitate a systemic approach to making and managing change decision in a public school organization.

PREMISE 2: Planning and managing systemic change requires:



Appendix H

HSIRB PROJECT APPROVAL

WESTERN MICHIGAN UNIVERSITY

Human Subjects Institutional Review Board

Centennial 1903·2003 Celebration

Date: October 27, 2003

To: Van Cooley, Principal Investigator
Patricia Reeves, Student Investigator for dissertation

From: Mary Lagerwey, Chair Mary Lagerwey

Re: HSIRB Project Number: 03-10-12

This letter will serve as confirmation that your research project entitled "Increasing Organizational Capacity: A Systems Approach Utilizing Transformational and Distributed Leadership Practices" has been **approved** under the **exempt** category of review by the Human Subjects Institutional Review Board. The conditions and duration of this approval are specified in the Policies of Western Michigan University. You may now begin to implement the research as described in the application.

Please note that you may **only** conduct this research exactly in the form it was approved. You must seek specific board approval for any changes in this project. You must also seek reapproval if the project extends beyond the termination date noted below. In addition if there are any unanticipated adverse reactions or unanticipated events associated with the conduct of this research, you should immediately suspend the project and contact the Chair of the HSIRB for consultation.

The Board wishes you success in the pursuit of your research goals.

Approval Termination: October 27, 2004

Walwood Hall, Kalamazoo MI 49008-5456
PHONE: (616) 387-8293 FAX: (616) 387-8276

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