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Organizational Change in the Field of Education Administration



香港公開大學
THE OPEN UNIVERSITY
OF HONG KONG



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Preface



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The Role of Organizational Climate and Culture in the School Improvement Process: A Review of the Knowledge Base



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The Importance of School Climate and Culture in the School Improvement Process: A Review of the Knowledge Base

It is essential to recognize that large-scale organizational improvement does not occur in a vacuum or sterile environment. It occurs in human systems, organizations, which already have beliefs, assumptions, expectations, norms, and values, both idiosyncratic to individual members of those organizations and shared. As this article attempts to explore, these shared cultural traits and individual perceptions of climate can greatly affect, and be affected by, the school improvement process.

Deal (1985, p. 303) referred to organizational culture as “the epicenter of change.” Harris (2002) believed this so strongly that she asserted, “Successful school improvement can only occur when schools apply those strategies that best fit in their own context and particular developmental needs” (p. 4). Similar claims on the need to consider school climate and culture as part of the organizational change process are made by many of the leading authorities on school improvement, including Deal (1993), Deal and Peterson (1994), Hargreaves (1994), Harris (2002), Hopkins (2001), and Sarason (1996). Berman and McLaughlin (1978), Hopkins (2001), Rosenholtz (1989), and Stoll and Fink (1996) all demonstrated the pronounced effects of school climate and culture on the organizational change process. Deal and Kennedy (1982) and Deal and Peterson (1994) illustrated how dysfunctional school cultures, e.g., inward focus, short-term focus, low morale, fragmentation, inconsistency, emotional outbursts, and subculture values that supercede shared organizational values, can impede organizational improvement.

However, not everyone agrees that organizational climate and culture are keys to organizational improvement. Barnard (1938) even challenged the rational existence of organizational culture, regarding it to be a social fiction created by individuals to give meaning to their work and to their lives. Deal (1993) viewed school culture and school improvement as contradictory, whereas the function of organizational culture is to provide stability school improvement implies large-scale change, which introduces disequilibrium and un-certainty. This disequilibrium, in turn, can cause organizational members to question the meaning of their work, as well as their commitment to the organization. As such, it is not feasible to consider large-scale school improvement without either working within the confines of the existing organizational climate and culture or attempting to modify them. However, some authorities in the field have

questioned the extent to which it is possible to change the culture of an organization through careful planning (e.g., Quinn, 1980).

Yet others (e.g., Allen, 1985) have allowed that although organizational climate and culture may be important to some organizational improvement processes, they are not particularly relevant to others. Finally, others (Sathe, 1985; Wilkins & Patterson, 1985) have questioned the extent to which attempting to make a major cultural change is worth the time, costs, and risks associated with that process. Overall, though, most modern theorists and reflective practitioners of school improvement recognize the important roles played by organizational culture and climate in the change process.

In order to assess the alignment of the existing school culture with the contemplated improvements or to attempt planned cultural interventions, it is first necessary to understand well the constructs of organizational climate and culture. The sections that follow provide a brief introduction to these complex and much-debated constructs.

Definition of Organizational Climate

Although the Merriam-Webster On-Line Dictionary (2005) provides no definition of climate that could reasonably be linked to organizations, Owens (2004) related it to such terms as atmosphere, personality, tone, or ethos (p. 178). The foundational work in school climate is generally recognized as that of Halpin and Croft (1963), who roughly related their definition of climate to morale (p. 6), but admitted that time constraints restricted their consideration of that construct to the social interaction between the principal and the teachers (p. 7). Their research examined teacher disengagement from the teaching-learning process, the extent to which the principal burdens teachers with routine duties and demands, teachers' perceptions that their personal needs are being satisfied and they are accomplishing positive things in their work, teachers' enjoyment of friendly social relations with each other, principals' aloofness and reliance on rules and policies rather than informal contacts with teachers, closeness of supervision of teachers by the principal, teacher perceptions that the principal is working to move the organization in positive directions, and teacher perceptions that the principal treats them humanely. All of these factors combine to help define the climate of a school.

Many authors, including Schein (1992), have drawn sharp lines of demarcation between the constructs of organizational climate and culture. Rousseau (1990) differentiated between these two constructs on the basis of climate being the descriptive beliefs and perceptions individuals hold of the organization, whereas culture is the shared values, beliefs, and expectations that develop from social interactions within the organization. The boundaries between organizational climate and culture can appear to be artificial, arbitrary, and even largely unnecessary.

Tagiuri's systemic model (as cited in Owens, 2004) offers an interesting means for integrating these two constructs; he presented culture as one of four components of organizational climate, along with ecology, *mi-lieu*, and organization or structure. Within his construct of organizational culture, he included assumptions, values, norms, beliefs, ways of thinking, behavior patterns, and artifacts; this definition seems to parallel closely many of the prominent authorities in the field. However, his

construct of organizational climate tends to be more encompassing than that of many of his peers. Within the sub-component of ecology, he included buildings and facilities, technology, and pedagogical interventions. Within milieu, Tagiuri subsumed the race, ethnicity, socio-economic levels, and gender of organizational members and participants, their motivation and skills, and the organization's leadership. His organization or structure construct includes communication and decision-making patterns within the organization, the organizational hierarchy and formal structures, and the level of bureaucratization. Although this definition is so comprehensive as to resemble French and Bell's (1998) organizational systems model and can somewhat blur the core definition of organizational climate, it serves as a good reminder of the interrelatedness of all these factors with organizational climate and culture. It also illustrates the broad range of organizational issues that must be taken into consideration when planning for large-scale organizational improvement.

Definitions of Organizational Culture

At culture's most global level, Merriam-Webster's On-Line Dictionary (2005) provides the following definition:

The integrated pattern of human knowledge, belief, and behavior that depends upon man's capacity for learning and transmitting knowledge to succeeding generations; b : the customary beliefs, social forms, and material traits of a racial, religious, or social group; c : the set of shared attitudes, values, goals, and practices that characterizes a company or corporation.

As the focus narrows to organizational culture, there are seemingly as many definitions as there are authors attempting to define this construct. Probably the greatest overarching issue concerning the definition of an organizational culture centers around whether culture is a root metaphor or merely one aspect of the organization; in simpler terms, is culture what the organization is or is it something the organization has (Rousseau, 1990; Sathe, 1985; Thompson & Luthans, 1990)? The preponderance of opinion seems to fall on the side of culture being something that most organizations have.

Kilman, Saxton, and Serpa (1985b) provided an apt analogy that helps to illuminate the nature of organizational culture: "Culture is to the organization what personality is to the individual a hidden, yet unifying theme that provides meaning, direction, and mobilization" (p. ix). As such, it is emotional and intangible (Connor & Lake, 1988), individually and socially constructed (Hall & Hord, 2001; Rousseau, 1990), and evolves over a period of years (Wilkins & Patterson, 1985), especially as organizations find acceptable and unacceptable solutions to internal and external problems or threats and attempt to integrate more effectively internally (Schein, 1985a, 1992). This culture can also be developed and learned by organizational members through the connection of behaviors and consequences and through multiple reinforcement mechanisms and agents (Thompson & Luthans, 1990). It can be learned through the reduction of anxiety and pain or through positive rewards and reinforcements (Schein, 1985a).

A fairly common, simplistic definition of organizational culture is "The way we do things around here." Although this statement appears in many books and articles, the earliest of such entries found by this author was by Deal (1993, p. 6). Deeper

discussions expand this definition to cover such issues as the basic assumptions and beliefs shared by members of the organization regarding the nature of reality, truth, time, space, human nature, human activity, and human relationships (Schein, 1985a; 1985b). It also consists of the philosophies, ideologies, concepts, ceremonies, rituals, values, and norms shared by members of the organization that help shape their behaviors (Connor & Lake, 1988; Kilman, Saxton, & Serpa, 1985b; Owens, 2004; Rousseau, 1990). Among the norms it includes are task support norms, task innovation norms, social relationship norms, and personal freedom norms. Among the rituals are such issues as passage, degradation, enhancement, renewal, conflict resolution, and integration (Connor & Lake, 1988).

Organizational culture embraces such organizational needs as common language, shared concepts, defined organizational boundaries, methods for selecting members for the organization, methods of allocating authority, power, status, and resources, norms for handling intimacy and interpersonal relationships, criteria for rewards and punishments, and ways of coping with unpredictable and stressful events (Schein, 1985a). This shared culture helps to create solidarity and meaning and inspire commitment and productivity (Deal, 1985).

Culture may operate both consciously and sub-consciously in the organization (Rousseau, 1990; Schein, 1984, 1985a, 1985b; Wilkins & Patterson, 1985). At the surface level, culture can be observed through examination of behaviors and artifacts, including such things as the physical setting, rituals, languages, and stories. At a slightly deeper, less conscious level, organizational culture is defined by the unwritten rules and norms of behavior, often conveyed by stories, rituals, language, and symbols. At the deepest levels, often totally sub-conscious, lie such things as the fundamental assumptions and core values of individuals, groups, and the organization (Connor & Lake, 1988). It is at this deepest level that the organizational culture can be most tenacious and most powerful (Wilkins & Patterson, 1985).

Culture is experienced differently by members of the organization (Rousseau, 1990). Sub-cultures may arise within an organization as small groups share values, perceptions, norms, or even ceremonies that differ from those of the wider organization (Cooper, 1988; Louis, 1985; Thompson & Luthans, 1990). For example, in many high schools, coaches of male athletic teams form a sub-culture within the faculty; they typically sit together at faculty meetings, generally at the back of the room. They often miss faculty meetings and are unable to participate in general faculty activities due to their coaching obligations immediately after school. They can often be observed commenting and joking among themselves at times when other faculty members are more attentively engaged with the content of the faculty meeting. Similarly, new faculty members may form a sub-culture somewhat distinct from those who have been in the school for a prolonged period of time.

Culture is also contextually influenced. It is the interaction of an organization's people variables with physical and structural (ecological) variables (Hall & Hord, 2001). For example, many high schools are built in a design in which hallways radiate from a central hub; in these schools, it is very common for the teachers in each hallway to build a culture slightly different from the culture of teachers in hallways with whom they have less personal contact. School culture can be influenced by such physical surrounding variables as noise, heat, and light (Thompson & Luthans, 1990). The open

classroom designs popular in the late 1960s and early 1970s promoted more sharing and contact among teachers than fully-walled individual classrooms. Learning cultures among students in the Southern and Southwestern United States have changed significantly with the addition of air conditioning to classrooms.

As far back as 1932, Waller noted that “schools have a culture that is definitely their own” (p. 103). Waller went on to describe the rituals of personal relationships, the folkways, mores, irrational sanctions, moral codes, games, ceremonies, traditions, and laws that were so very similar in many schools and which define what happens in schools. This perspective of a shared culture among schools has been commented on by many observers of the sociology of schools, including Deal (1993), Sarason (1996), and Swidler (1979). From this author's conversations with educators and students around the globe and observations in schools internationally, there is a basic culture of schooling that transcends national, ethnic, and socio-cultural borders. International exchange students often express how similar their host school is to their school in their native country. In this author's experience, in developing nations there is often a greater cultural similarity between the private schools serving the more wealthy students and sub-urban schools in the U. S. than there is between those private schools and the public schools serving their nation's poorer children. However, as Deal (1993) and Maehr and Buck (1993) commented, each school also possesses individualized, unique cultural aspects. Schools have distinct personalities, highly unique ceremonies, and varying discipline norms. Some schools revere their athletic teams, whereas in other schools art, music, or drama programs are given great attention; in yet other schools, academic achievement is at the apex of community respect. Organizational culture can be a highly powerful force in the school improvement process; given this definition of culture, it stands to reason that, as Owens (2004) noted, it may often be the most powerful determinant of the course of change in an organization (p. 191).

Equipped with an understanding of the basic constructs of organizational climate and culture, the next challenge facing the leader of a school improvement process becomes the assessment of his or her school's climate and culture. As Schein (1999, p. 86) noted pointedly, assessment of organizational climate and culture must be done in the specific context of some organizational problem or set of circumstances. Consequently, the assessment of the school's climate and culture must be done specifically in the context of the proposed change(s) and improvement process. The section that follows provides some methodological insight into that assessment process.

How Can One Assess an Organization's Climate and Culture?

It is generally agreed that assessment of an organization's climate is a relatively straight-forward process, especially when compared to the methodologies needed to assess the organization's culture. As climate is defined as individuals' perceptions, quantitative survey instruments have become the most widely accepted means of gathering and analyzing organizational climate data. The same is not true for the assessment of school culture; in fact, various authorities in the field (e.g., Schein, 1999) assert that it absolutely cannot be measured quantitatively through surveys or questionnaires.

Assessment of school climate. A great variety of instruments have been developed to measure organizational climate. The first of these to gain wide acceptance was Halpin and Croft's (1963) Organizational Climate Description Questionnaire (OCDQ, Form IV). This 64-item climate assessment tool is comprised of 8 sub-scales relating teachers' behavior to that of the principal: (a) disengagement, (b) hindrance, (c) spirit, (d) intimacy, (e) aloofness, (f) production emphasis, (g) thrust, and (h) consideration. In examining the climates of 71 schools, Halpin and Croft found that their scores clustered into six major climatic types: (a) open, (b) autonomous, (c) controlled, (d) familiar, (e) paternal, and (f) closed.

Perhaps the most widely used school climate surveys are those published by the National Study of School Evaluation (NSSE) (2005). One reason for the widespread popularity of these surveys is the fact that NSSE will also tabulate, analyze, and report on their results, saving the building level administrator or district staff from these time consuming, and somewhat confusing, processes. Also, these surveys are available in both paper and on-line formats, allowing the school to choose the most appropriate technology for the participants being surveyed. Comparable forms exist for elementary school students, middle school students, high school students, teachers, English-speaking parents, Spanish-speaking parents, and community members. The surveys are predominantly Likert scale-based, but also allow for minor amounts of open-ended input.

Another major set of climate assessment instruments comes from the National Association of Secondary School Principals (NASSP). Their Comprehensive Assessment of School Environments (CASE) School Climate Surveys (1987) collect data on ten sub-scales: (a) teacher-student relationships, (b) security and maintenance, (c) administration, (d) student academic orientation, (e) student behavioral values, (f) guidance, (g) student-peer relationships, (h) parent and community-school relationships, (i) instructional management, and (j) student activities. The information gathered through this instrument is supplemented by separate satisfaction surveys for parents, teachers, and students. Much of the information on these satisfaction surveys is comparable across groups (e.g., questions on student activities or school buildings, supplies, and upkeep), but some of it is unique to the specific group being surveyed (e.g., parents and teachers report on their satisfaction with the administration of the school, whereas students report on their satisfaction with the teachers). As with the NSSE instrumentation, NASSP offers scoring and reporting services for these surveys, including allowing the school to ask "what if" questions related to the six sub-scales, e.g., "What would it take for any school to raise student satisfaction by 10%?" (NASSP, 2005).

Assessment of school culture. Unlike the assessment of school climate, which is generally accepted to be a straightforward quantitative process, assessment of school culture is far more complex. Two basic schools of thought exist regarding appropriate means of assessing school cultures. On one hand, Schein (1999) categorically refuted that culture can be assessed through written questionnaires or surveys, asserting that the assessor would neither know what to ask nor be able to judge the reliability or validity of the responses. Rousseau (1990), on the other hand, allowed that such quantitative tools as Q-sorts and questionnaires can legitimately be utilized, in conjunction with structured interviews, to assess organizational culture.

Such quantitative survey instruments for assessing organizational culture are readily available, e.g., Kilmann and Saxton's Culture Gap Survey (1991). However, these instruments tend to be superficial and are incapable of probing the depth and uniqueness of an organization's culture. As Rousseau (1990) commented, the uniqueness of each organization's culture prevents outsiders from forming valid a priori questions. Schein (1984) further noted that using surveys to assess culture violates ethical research procedures in that it puts words into the mouths of respondents rather than captures their own words. Also, such instruments summarize and aggregate responses, possibly misrepresenting the respondents' true views.

Because organizational culture is a multi-layered phenomenon, different data gathering approaches may be necessary to assess the various layers. Rousseau (1990) identified five basic layers of organizational culture, proceeding from the most superficial and observable to the most profound, yet least revealed or discussed. These layers were: (a) artifacts, (b) patterns of behavior, (c) behavioral norms, (d) values, and (e) fundamental assumptions. Connor and Lake (1988) discussed the same concepts but classified culture into three layers, rather than five.

At its shallowest levels, school culture is open to assessment by observation of behaviors and interactions, listening to stories, participating in rituals, and examining artifacts and written communications. To understand the shared values, common understandings, and patterns of expectations, it is necessary to probe more deeply and into subconscious areas by examining the authentic responses of organization members. Rousseau (1990) and Schein (1999) advocated the use of structured interviews to gather these data. Schein noted that small group interviews are both more valid and efficient than individual interviews. However, to get at the deepest levels of shared culture, assumptions and beliefs, intensive individual interviews are probably the most appropriate approach.

As with all qualitative research, it is essential that organizational leaders set aside their own conceptions and values as they attempt to discern the shared values and beliefs of others in the organization (Rousseau, 1990; Schein, 1999). However, the leader's observations of behaviors and artifacts can legitimately provide the initial entry point that leads to a deeper investigation of the underlying shared values, norms, beliefs, and assumptions.

With these definitions of organizational climate and culture and some insight into how to assess these constructs, the leader's next challenge is to forecast how the school's culture and climate will interact with the school improvement process. The section that follows explores various possible patterns of interaction.

Interaction of School Climate and Culture with the School Improvement Process

A school's culture and climate can interact with the school improvement process in many ways and in all phases of that improvement process. Figure : The traditional change-path straight forward to the future illustrates a typical school improvement process, which progresses from a planning phase to implementation, and eventually to institutionalization of the desired changes. As Beach and Lindahl (2004b) discussed, in reality, school improvement processes are not as linear as diagrams such as Figure : The traditional change-path straight forward to the future suggest. However, the

basic phases of the model offer a useful structure for examining potential interactions between the process and the school's climate and culture.

Interactions in the Planning Phase

The initial step in the planning phase of the school improvement process involves identifying an organizational need and making a conscious decision whether or not to attempt to address that need. Both the climate and the culture of the school can have considerable influence at this stage. For example, if the current climate of the school is one of high disengagement, high hindrance, and low esprit (Halpin & Croft, 1963), it is unlikely that the school will voluntarily opt to engage in a significant school improvement process; if forced to, it is unlikely that the effort will succeed. Similarly, if the school's culture is one of cultural malaise (Deal & Kennedy, 1982), it is unlikely that the school improvement process will progress beyond this initial step. Conversely, healthier climates and more positive cultures with a history of successful large-scale organizational change will greatly enhance the probability that the school will opt to move ahead with the school improvement plan.

The next step in the planning phase is to consider the nature of the changes inherent in the improvement process. It is essential that the school improvement process, and even the specific improvements and reforms being contemplated, match those climates and cultures (Hopkins, Harris, Singleton, & Watts, 2000; Sathe, 1985), for culture affects organizational behavior and performance, thereby shaping the impact and direction of changes (Kilman, Saxton, & Serpa, 1985a). If the changes contemplated are not in good alignment with the current culture and climate of the school, e.g., the existing customs, power structures, and paths of least resistance of the organization (Connor & Lake, 1988), planned cultural intervention is necessary (Burke, 2002). In such cases, it is essential to understand the existing organizational culture, to know its source and bounds (Lorsch, 1985). This helps to ensure that changes are made only to the aspects of that culture that are at odds with the change, not the benign aspects.

When change is contemplated, certain key questions need to be asked, including: Which aspects of the organizational culture are most compatible with the proposed change? Which aspects of that culture are least compatible with the change? How deeply entrenched are these aspects of the culture? How might the proposed change affect people's perceptions of the organizational climate? How great a change in climate is likely to be perceived as a consequence of implementing this change? Which aspects of the new climate might be perceived as becoming more positive, or more negative? How strongly might these changes in perceptions affect individuals? Which individuals?

Even these understandings may not be useful in helping to change the culture, but they can help to shape or select strategies that have a greater probability of implementation and institutionalization (Schein, 1985a, 1985b). As Sathe (1985) noted, the selection of strategies should be based on questions such as: Can the desired results be obtained without changing the culture, or by utilizing the latent potential of the existing culture? If not, can they be obtained by moving toward more intrinsically appealing beliefs rather than characterizing the change as focusing on beliefs more alien to the existing culture? The weaker the organizational culture or the fewer and

less central the assumptions of an organizational culture that need to be modified, the more likely it is that the planned improvement can be effectively achieved (Sathe, 1985), for changes in culture can create a sense of loss and even the potential loss of the meaning of one's work in the organization (Allen, 1985; Deal, 1985).

In 1990, Roland Barth presented a bold statement on school improvement: "What needs to be improved about schools is their culture, the quality of inter-personal relationships, and the nature and quality of learning experiences" (p. 45). In those instances where the major changes needed are to the school culture, itself, an in-depth understanding of the organizational culture, and sub-cultures, is even more essential. Organizational cultures can be changed, over time, but the more entrenched and more widely shared the culture, the more difficult it is to effect deep or lasting change. It is necessary to diagnose the culture carefully and focus on modifying only very specific key values or assumptions, not the entire culture (Harris, 2002).

The next step in the planning stage of the school improvement process is for the organization to select a planning approach (see Beach, 1993) appropriate to the specific school improvement under consideration and to the organizational conditions, including its climate and culture. Many schools assume that some form of the traditional rational planning process (Brievé, Johnson, & Young, 1958; Kaufman, 1972), e.g., the strategic planning approach, is the preferred model for guiding school improvement efforts (Bryson, 1995; Cook, 1990). Although in certain circumstances this assumption is correct, there are many instances in which alternative planning approaches would be more appropriate. Beach and Lindahl (2004a) discussed how Lindblom's (1959) incremental planning model, Etzioni's (1967) mixed-scanning model, and developmental or goal-free planning models (Clark, 1981; McCaskey, 1974) complement rational planning approaches.

In large measure, the culture and climate of the school are factors that must be considered in this decision. As Clark (1981) noted, school cultures tend to be more a loose collection of ideas than a highly coherent structure (see, also, Lonsdale, 1986) and that it is unreasonable to assume high levels of consensus on goals. The technology of instruction is largely unclear, even among the teachers of a given school. Schools tend to operate more on a trial-and-error basis than through scientific design (Clark, p. 49). These qualities are all contradictory to the requisites of the rational planning model. Clark's assessment was seconded by Walter (1983), whose case study findings concluded that organizational behavior is not necessarily guided by formal goals and objectives, but by organizational culture (see, also, Lonsdale, 1986).

Walter (1983) tied these findings to McCaskey's (1974) earlier conclusions that goal-based planning narrows the focus and limits the flexibility of the organizational. Toll (1982) posited that rational, quantitatively based planning often neglects the human aspects of the organization and the changing environment. Larson (1982) concluded that rational models focus on the future, whereas, in reality, most people in the organization are focused on the present. In short, for many school improvement efforts goals are sufficiently diverse, the future is sufficiently uncertain, and the actions necessary to obtain the goals sufficiently unclear that goal-based, rational planning may well not be effective, efficient, or appropriate (Clark,

1981). Consequently, Walter (1983) suggested that a more intuitive, climate and culture-based planning approach might be more effective, particularly when the conditions facing the school are unstable or uncertain. Such a directional planning approach would allow the school leader to accommodate alternative preferences, means, and values within the school culture, thereby managing potential conflict.

McCaskey (1974) discussed how to plan without goals, beginning with the identification of arenas of activity and preferred behavior patterns within the organizational culture that relate to the contemplated organizational improvement. The leader would also strive to discern which recent activities or events were pleasing to the school's members, so that implementation activities could be designed of a similar nature. Once these shared arenas of activity and preferences have been identified, the leader can shape the implementation process in directions consonant with "who they are and what they like to do" (McCaskey, 1974, p. 283). This reduces resistance and does not limit individualism nearly as much as the rational, goal-based approach. It also allows for greater flexibility in adapting to the changing environment.

After a planning approach has been selected, the next step in this initial phases of the school improvement process is to assess the school's capacity and willingness to change (Armenakis, Harris, and Mossholder, 1993; Beach, 1983; Beckhard & Harris, 1987; Cunningham et al., 2002; Fullan, 1991; Hall & Hord, 2001; Huberman & Miles, 1984; Louis & Miles, 1990; Pond, Armenakis, & Green, 1984; Prochaska et al., 1994; Prochaska, Redding, & Evers, 1997); this is often referred to as organizational readiness for change. Again, readiness for change is, in good measure, a function of the school's climate and culture (Armenakis, Harris, & Mossholder, 1993; Beach, 1983; Beckhard & Harris, 1987; Cunningham et al., 2002; Evans, 2001; Maurer, 2001; Pond, Armenakis, & Green, 1984). Fullan (1991) found that those schools whose culture is compatible with change, in general, and with the specific changes involved in the current school improvement project, are most likely to be successful in their improvement effort.

The final step in the planning phase of the school improvement process is to decide to move ahead with implementation, undertake some organizational development prior to implementation, or to terminate the school improvement process, at least for the present time. As with the decisions made to this point in the process, the school's culture and climate may well be major factors in this decision. If extensive changes in culture would be necessary before implementation could be attempted or if the school's climate were not conducive to undertaking a major change effort, it is likely that the decision would be to abort the school improvement process. On the other hand, if the school's culture were largely compatible with the planned changes and if the climate were healthy, these might tip the scale in favor of proceeding either with some organizational development or directly with the implementation of the planned changes.

Interactions in the Implementation Phase

During the implementation phase of most school improvement processes, three major elements take center stage: (a) change, (b) motivation, and (c) professional development. All three affect, and are affected by, the school's climate and culture.

Clearly not all changes are of the same magnitude. It is easier to change a person's perceptions or knowledge than his or her behavior; it is typically easier to change an individual's behavior than that of an organization. In general, the most difficult change would be to change the values, assumptions, and beliefs of an organization in other words, its culture. Consequently, the extent that the school improvement effort depends on changes to the organizational culture has a pronounced influence on the probability of its successful implementation. As discussed earlier, the more deeply held and shared those values, assumptions, and beliefs, the more difficult they are to modify.

The organization's culture clearly shapes the implementation process. Implementation actions must be crafted to conform to, or at least be relatively acceptable to, the existing culture, as much as possible, without negating important aspects of the planned changes. Often the framing, or even sequencing, of aspects of the implementation process can be adjusted to be less threatening to the culture. In other instances, the proposed changes are sufficiently in conflict with the organizational culture as to necessitate cultural shaping or modification. In such cases, it is essential that the timeline for implementation be adjusted accordingly. Cultural change is not something to be attempted in the short term

As the implementation phase unfolds, the organization progresses through several phases (see Evans, 2001), each of which can threaten the stability of the organizational culture. During the unfreezing stage, the organization may suffer anxiety about the coming changes and guilt for feel this anxiety. The cultural safety of the organization may be challenged. The organization often experiences a sense of loss, often of cherished cultural perceptions and behaviors, and at other times, more seriously, of shared values, beliefs, or fundamental assumptions. For the implementation to be successful, the organization and its culture must move from this sense of loss to one of commitment to the new behaviors, attitudes, values, and beliefs.

It is at this stage that organizational climate, and specifically motivation, may assume a significant role. If the climate is healthy and positive in relation to the change(s), implementation is facilitated. If the climate is dysfunctional or negative regarding the change(s), motivation must be improved before it is likely that implementation and institutionalization will be successful.

Often, the lack of motivation can be tied to what Evans (2001) termed the need to "move from old competence to new competence" (p. 56); this is generally best done in schools through staff development. Staff development is readily influenced by the organization's climate and culture. What a joy it can be to be a facilitator of staff development in a school with a healthy, open climate, welcoming to the development of new knowledge, skills, and dispositions. It is a fruitless, thankless role in a school with a negative, closed climate. School culture also plays a significant role in regard to staff development. How deeply is staff development valued? By whom (e.g., subgroups)? How well is it, or the changes expected from it, rewarded? Who are the early adopters of new practices? Who are the late adopters? How is each group treated by their peers and by the organization's leadership?

Some school leaders have attempted to change their school's culture and climate directly through staff development; this is unlikely to be successful other than for the

most insignificant of changes. Over a long period of time, though, culture and climate may be shaped, as an indirect consequence of staff development. As teachers build the new skills to implement the planned improvements, they can gain the self-confidence and success motivation to change the climate. As enough teachers have success with new behaviors, this may change related underlying values, beliefs, and assumptions, i.e., the organizational culture.

The final step of the implementation phase is to move from conflict to consensus, generating widespread support for the change (Evans, 2001, p. 56). Again, this is shaping the culture of the organization. It is essential that most members of the organization not only accept and practice the new behaviors required by the school improvement, but also develop the corresponding values, assumptions, and beliefs. The more deeply rooted and widespread the values, assumptions, and beliefs, the more resistant they are. In cases of significant changes, this process can easily take years, if it is successful at all. This process begins in the implementation phase of the school improvement process, but culminates in the institutionalization phase.

Interactions in the Institutionalization Phase

Simply stated, it is in the institutionalization phase that the organization's culture has transformed to incorporate the behaviors, values, assumptions, and beliefs inherent in the planned school improvement(s). These now become the organization's culture!

When stated so concisely, this may appear to be a far more simple process than it is. As French and Bell (1998) explicated, changes in one aspect of an organization can well necessitate modification of other aspects of the organization before those changes can be institutionalized successfully. Such processes are often referred to as organizational development. Cultural changes may well require changes in the organizational structure, reward systems, technology, or tasks (see Datnow, Hubbard, & Mehan, 2002). Burke (1993), French, Bell, and Zawacki (1999), and Tichy (1983) offered good discussions of the systemic nature of organizational development, whereas Fullan, Miles, and Taylor (1978) provided insight into how these processes work in K-12 schools. The extent to which the culture of a school may be shaped to be compatible with the desired changes and the extent to which all sub-systems of the organization are brought into harmony with both the culture and the changes are essential factors in the institutionalization of those changes. The section that follows offers some insight into how the shaping of organizational culture and climate has been accomplished successfully.

Shaping School Culture and Climate to Facilitate Improvement

Many school leaders have consciously recognized the need to change the climate and/or culture of their school and have set out to do so. In the private sector, some organizations have taken what may be the most direct approach - removing certain members of the organization and selecting and socializing new members of the organization who already have values and belief systems consonant with the desired culture. In schools, however, tenure or continuing contract laws, student and teacher rights, community pressure, and a host of other factors mitigate against this as a feasible approach (see, also, Maehr & Buck, 1993 and Sathe, 1985 for further discussions on the limitations of this approach). This approach to cultural change

clearly falls into the trap identified by Wilkins and Patterson (1985), who sagely noted that many approaches to cultural change are too simplistic and promise too much.

As Wilkins and Patterson (1985) noted, organizational culture changes are generally neither wholly revolutionary nor evolutionary. This recalls Chin and Benne's (1969) three approaches to change: (a) power/coercive; (b) empirical/rational; and (c) normative/re-educative. When applied to changing climates and cultures, all three can be utilized. The first two approaches can be utilized to change behaviors, which both Burke (2002) and Kilman, Saxton, and Serpa (1985) recommended as the starting point in cultural change. However, power/coercive changes are more likely to result in compliance, not true cultural change. Once behavior has been changed, it is necessary to address the deeper, more change-resistant levels of the culture, e.g., values and beliefs. To make changes at these levels, normative/re-educative approaches are needed.

Normative/re-educative approaches to cultural change require extended periods of time and sustained, virtually daily, efforts by those leading the school improvement effort. As many authorities on organizational culture note, one of the primary ways leaders can gradually accomplish normative/re-educative change is simply through the deliberate, consistent attention they focus on specific behaviors, values and fundamental assumptions (Allen, 1985; Deal, 1993; Deal & Peterson, 1993; Harris, 2002; Schein, 1993). Leithwood, Jantzi, and Steinbeck (1999) discussed the importance of clarifying shared beliefs and values and motivating by moral imperatives. Deal and Peterson (1999) and Schein (1985b; 1992) emphasized the importance of clarifying shared beliefs and values and of motivating by moral imperatives. Deal and Peterson (1993) and Schein (1992) added discussions on the essentiality of leaders modeling behaviors and values, consistently. This modeling is especially essential as leaders deal with organizational crises (Schein, 1992) or handle conflict (Deal & Peterson, 1993; Schein, 1992).

As part of this process, individuals within the organization must be repeatedly offered invitations to participate in the new culture, encouraged to experiment with new behaviors in an unthreatening atmosphere that accepts failure as part of the process, and empowered to help shape the culture and the organization (Allen, 1985; Deal & Peterson, 1993; Harris, 2002; Leithwood, Jantzi, & Steinbeck, 1999; Maher & Buck, 1993).

Leaders of school improvement processes can help to change the organizational culture through the carefully selective telling of stories, emphasizing heroes and heroines whose actions exemplify the beliefs, values, and assumptions fundamental to the desired changes (Deal, 1993; Deal & Peterson, 1993; Schein, 1992). Positive stories of heroes and heroines are generally regarded as more effective than negative stories about organizational members or stakeholders who have acted in ways contrary to the desired cultural mores and norms. Deal (1993) extended this storytelling responsibility of leaders to working with the "informal network of priests, gossips, and storytellers" (p. 17) of the school culture.

On a more formal basis, one of the most commonly cited approaches to effecting cultural change in organizations is through the modification or creation of organizational rites and rituals that emphasize and celebrate the major beliefs, values,

and fundamental assumptions associated with the desired school improvement (Deal, 1993; Deal & Kennedy, 1982; Deal & Peterson, 1993; Schein, 1992). Among the organizational subsystems that might be affected by, and affect, the cultural changes are: (a) rewards (Allen, 1985; Schein, 1992); (b) information and communication systems (Allen, 1985; Schein, 1992); (c) training (Allen, 1985); (d) recruitment, selection, and orientation (Allen, 1985; Deal & Peterson, 1993; Schein, 1992); (e) organizational structure and design (Schein, 1992); and (f) formal statements of philosophy, values, creed, goals, or vision (Schein, 1992).

Summary and Closure

School culture and climate are integral components of the school improvement process. They affect decisions throughout all phases of that process. In turn, they are affected by the decisions made in all phases of the process. Although amorphous and complex enough to cause both contradictory and confusing discussions in the professional knowledge base, culture and climate are very real, very powerful forces in organizations. Although difficult to measure precisely, both constructs can be discerned within an organization if the evaluator has sufficient time and access to witness the daily behaviors of members of the organization and probe deeply as to the values, beliefs, and fundamental assumptions underlying those behaviors. Leaders of school improvement processes can utilize the information gained through the assessment of the school's climate and culture to help guide each phase of the change process, from determining the school's readiness for change to selecting the types of improvements most likely to be compatible with the organization's climate and culture, from implementing the improvements to ensuring that they become institutionalized. Despite considerable discussion in the professional knowledge base as to how feasible it is to make significant changes in a school's climate or culture, in some cases it is the climate or culture, itself, which most needs to be changed if true school improvement is to occur. Through judicious use, over time, of power/coercive, rational/empirical, and, primarily, normative/re-educative change strategies, school leaders can shape and develop cultures and climates that are in harmony with, and supportive of, the desired organizational changes.

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Chapter 1 Additional Readings and Research



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THE “CULTURE AUDIT”: A LEADERSHIP TOOL FOR ASSESSMENT AND STRATEGIC PLANNING IN DIVERSE SCHOOLS AND COLLEGES



Fig. 1.1: NCPEA

^{note:} This module has been peer-reviewed, accepted, and sanctioned by the National Council of Professors of Educational Administration (NCPEA) as a significant contribution to the scholarship and practice of education administration. In addition to publication in the Connexions Content Commons, this is published in the **International Journal of Educational Leadership Preparation**, at <http://ijelp.expressacademic.org>, formatted and edited by Theodore Creighton, Laura Farmer, Corrine Sackett, Virginia Tech.

1.1 Introduction



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Schools and colleges around the world must be culturally competent in order to prepare students to succeed in an increasingly diverse and globally interconnected environment. Generally defined, culturally competent educational organizations value diversity in both theory and practice and make teaching and learning relevant and meaningful to students of various cultures (Klotz, 2006). Educational leaders must be equipped with the necessary tools to assess how well policies, programs, and practices align with the needs of diverse groups and prepare people to interact globally. The “culture audit” is a valuable organizational assessment tool to guide strategic planning for diversity and global competence. Potential domains of focus and data collection strategies for schools and colleges are illustrated here. Cultural competence assessment strategies could be included in graduate educational leadership programs to better prepare educational administrators to effectively manage diverse schools and colleges.

1.2 What is a "Culture Audit?"



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Researchers agree that school culture is an important, yet often overlooked, component of school improvement (Freiberg, 1998; Peterson & Deal, 1998). Wagner and Madsen-Copas (2002) stress the value of culture audits in determining the quality and health of school cultures and recommends using a five step auditing process that includes: interviews, observations, surveys, checklists, and presentations to community stakeholders.

The concept of school culture is further complicated by the multiplicity of racial/ethnic cultures that are typically represented in schools and colleges. For this reason, organizational culture assessments are essential to ensuring the development of cultural competence in schools (Lindsey, Robins, & Terrell, 2003). Culture audits examine how diverse cultural perspectives are reflected in the values and behaviors manifested in the overall school culture (National Center for Cultural Competence, 2005).

Just as a financial audit reveals strengths and gaps in financial procedures and practices to inform strategic plans for financial improvement, a culture audit focuses on how well an organization incorporates perspectives of diverse groups to inform comprehensive school improvement.

1.3 Primary Domains of Analysis in School and College Settings



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Practicing educational leaders frequently want to know what a culture audit “really looks like.” While auditing formats may vary depending on the specific school, college, or district, there are some key areas that can be examined to determine strengths and needs.

To help educational leaders visualize how a culture audit might look, the diagram below reflects ten potential domains of focus for conducting culture audits in schools and colleges. The domains are not meant to be exhaustive and may be expanded or reduced to accommodate the needs and interests of the individual organization.

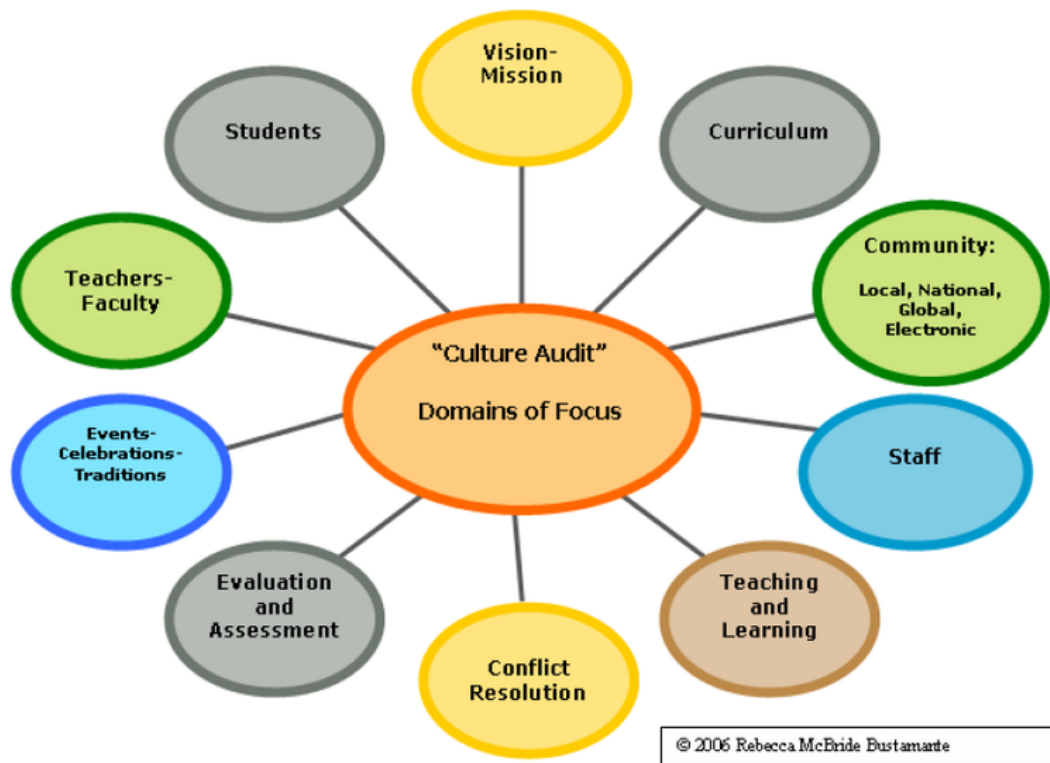


Fig. 1.2: "Culture Audit" Domains of Focus

Based on professional experience, research, and literature on organizational cultural competence and proficiency (Bustamante, 2005), examples of culturally competent practices are listed under each domain to provide a better sense of the kind of factors that can be observed in a culture audit.

I. Vision/Mission

- Stated commitment to diversity.
- Integrated global perspectives.

II. Curriculum

- Literature selections reflect a variety of cultural perspectives.
- Integration of world views, geography, and history.
- Linguistic and content objectives are addressed for second language learners.

III. Students

- Balanced racial/ethnic representation in advanced placement, honors, gifted programs.
- Regular meetings held with randomly selected groups to obtain feedback and consider student "voice" in decision-making.
- Variety of student leadership development opportunities for all students.
- Observed inter-racial/inter-ethnic social integration among students.
- Support programs to promote achievement and retention of lower achieving groups.
- Student-initiated community service.

IV. Teachers/ faculty

- Conscious recruitment of diverse groups.
- Mentoring and support programs for new teachers.
- Vertical and horizontal teacher teaming according to individual strengths, leadership abilities, and interests.
- Conscious integration efforts to diverse teacher teams.
- Professional development that addresses race, culture, and language opportunities and challenges.
- Focused, long term professional development.

V. Teaching and learning

- Differentiated instruction.
- Researched strategies that account for various learning styles.
- Technology integration.
- Connections to student culture and prior knowledge.
- Second language learning and teaching strategies.
- Service learning.

VI. Communities

- Outreach to various local community constituency groups.
- Inclusion of all potential stakeholder groups in community-building forums through use of parent liaisons.
- Parent involvement programs for all culture groups.
- Established national and global ties through partnerships with similar organizations.
- Realization and utilization of the electronic community for relationship building and sourcing best practices.

VII. Conflict Resolution

- Recognition of the inevitability of intercultural conflict.
- Peer mediation and proactive approaches to conflict resolution.
- Practices to ensure classroom and school safety for all.

VIII. Evaluations and Assessments

- Authentic student assessments to complement standardized tests.
- Formative and summative program evaluations.
- 360 degree teacher and administrator evaluations.
- Ongoing organizational assessments aimed at continual improvement.

IX. Staff

- Opportunities for staff input into policies and procedures.
- Professional development opportunities on attitudes and behaviors toward diversity.
- Recognition of informal leadership roles.
- Focus on staff growth and integration.

X. Events/celebrations/traditions

- Examination of organizational traditions to check for exclusive/inclusive practices.
- Diverse representation at events and celebrations.

- Celebrations that reflect various cultures and introduce the community to new cultures.
- Integration of experienced and entry-level personnel in change management.

1.4 Data Collection Approaches



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In conducting a culture audit, data collection methods would ideally include mixed methods that combine traditional quantitative and qualitative methodology. Some suggestions for data collection include:

- Document Analysis of internal/external communications, written curriculum, policies, newsletters, websites, correspondence, brochures, etc.
- Statistical analysis of demographic and achievement data (existing) to ID gaps and need areas.
- Checklists.
- Focus Groups and Interviews with various stakeholder groups (include students).
- Structured Observations of meetings, gatherings, artifacts, décor, social events, to check out actual behavior. Diagrams of informal leaders (teachers, students, staff members) group interactions.
- Surveys combined with other methods to triangulate perceptual data.

Data collection may be periodic or ongoing and may be incorporated into already existing assessments (e.g., school climate surveys, community meetings, etc.). Culture audits do not require extensive time or resources. They require the consideration of culture as a factor in student achievement and overall school improvement.

Educational leaders and organizations must make a paradigm shift in order to develop culturally competent and proficient policies, programs, and practices. The paradigm shift involves recognition of the role of culture in human existence and its influence on organizational and individual values, attitudes, and behaviors. “Culture audits” help make cultural factors in schools more tangible so that appropriate and effective school improvements can be more appropriately targeted.

Click Here to access The School-wide Cultural Competence Observation Checklist (Bustamante and Nelson, 2007; all rights reserved)

1.5 References



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Chapter 2 Change and the Knowledge Base of Education Administration



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Change and the Knowledge Base of Education Administration

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Abstract

This study investigated one school district's transition from a junior high model to a middle school philosophy. Numerous documents were examined and individual interviews and focus group discussions were analyzed to reconstruct the process and strategies used to facilitate the institutionalization of this complex change effort. Participant voices helped weave a rich fabric of events and provided further insights into organizational change. An understanding of change theories, the process of change, and what facilitates and hinders reform are essential components in the knowledge base of educational administration. By providing practical experiences of change, the abstract process of implementing reform can become more concrete for educators who want to significantly alter the outcome of schooling.

Understanding Change: An Essential Component in the Knowledge Base of Educational Administration

For more than two decades educators have been bombarded with pressures and mandates to change schools. Research reports, state requirements, assessment results, and political verbiage have all espoused a critical need for schools to reform. With the recent passage of the No Child Left Behind federal legislation, the reform agenda for education in the United States continues to expand. Many dedicated educators have worked hard to accommodate each request for change. While some school districts may have fallen short in

their attempts, others have accomplished their goals.

This paper provides an example of a successful large-scale reform effort of one school district's transition from a junior high model to a middle school philosophy. This

qualitative study is relevant for learning about deep levels of change, the process and strategies used to implement change, and how distributive leadership, specifically through the interactions of teams, can assist in the process. The voices of selected participants provide readers with rare insight into some of the personal meaning created by individuals who experienced the change. By providing a framework for the process of change and some useful change strategies, current and aspiring educational leaders, policymakers, and students of educational reform can better understand the complexities of second-order change and the intensity of time that is needed to work through the process. An understanding of the complexities of change and what facilitates and hinders school reform is essential knowledge for educational administration. This manuscript provides both a theoretical grounding and practical guidelines for implementing substantial change in organizations.

Related Research

A number of researchers have indicated that implementing change is a more complicated process than is realized by many practitioners in education. In his 1990 book, *The Predictable Failure of Education Reform: Can We Change Course Before It's Too Late?* Sarason stated that significant educational change is almost impossible to accomplish because schools are intractable. He claims that deep levels of change will not occur until educators change the power relationships in schools and delve into the tacit assumptions, attitudes and beliefs that shape the thinking and practices of schooling. In other words, tangible changes may occur on the surface level, but if the deeper paradigm of values, beliefs, and actions of a school's culture are ignored, the school may look outwardly different, but remains virtually the same.

Levy (1986) defined surface level changes as first order change. These changes are characterized by minor adjustments that do not change the core of a system and, therefore, leave its fundamental ways of working untouched. Examples of first-order change in schools include revisions in scheduling, adjustments in communication patterns, routine curriculum up-dates, emphasis in assessment results, and revisions in policies and procedures. First-order changes are visible and, although frustrating at times, these reform efforts usually do not threaten educators, either personally or collectively.

On the other hand, when organizations alter their fundamental ways of working, the result is known as second order change (Hillary, 1990; Levy, 1986; Walzawick, Weakland, & Fisch, 1974). Second order change transforms an organization's culture by redesigning the established structures, roles, basic beliefs, values, vision, and ways of doing things. These changes are more tacit than tangible. When second order change occurs within organizations, it "penetrates [so] deeply into the genetic code . . . that nothing special needs to be done to keep the change changed" (Levy, p.7).

Second order change is risky because its failure to penetrate an organization's genetic code may serve to further strengthen the existing organizational design (Cuban, 1988). Heifetz and Linsky (2002) state that substantive change is a complex and challenging task for leaders because strong resistance is usually present. They state:

To lead is to live dangerously because when . . . you lead people through difficult change, you challenge what people hold dear their daily habits, tools, loyalties, and ways of thinking . . . People push back when you disturb the personal and institutional

equilibrium they know. And, people resist in all kinds of creative and unexpected ways that can get you taken out of the game: pushed aside, undermined, or eliminated (p.2).

During change efforts a number of problems arise and need to be solved. Heifetz and Linsky (2002) instruct leaders of the distinction between two types of solutions: technical and adaptive. Technical solutions are those that can be understood and addressed with current, available knowledge. Adaptive solutions are more challenging because the solutions lie outside the current way of operating. Therefore, when addressing issues of first order change, leaders will use a more technical than an adaptive approach to solving problems. Solutions to problems that occur in second order change are adaptive challenges because they "require difficult conversations and demand experimentation and learning" (p.75).

Fullan (2005) agreed that changing school cultures for the better is difficult but not impossible. He suggested that one way to increase the chances of system transformation and the sustainability of change efforts is to select effective leaders and focus all educators on student achievement as a tool for ongoing improvement. Change naturally produces questions and disagreements. Because reform involves many people in many different positions within the usual bureaucracy of schools, conflict is a predictable by-product of complex educational change. Although some commitments are non-negotiable, "successful districts are collaborative, but they are not always congenial and consensual" (p. 72).

Duffy (2004) suggested that leading system change is challenging because the path of complex change is not a straight line. Therefore, the old concept of managing change is obsolete. Today, "change needs to be navigated, not managed" (p. 22). Duffey also expressed the importance of creating a network of teams to increase participation and accountability and to help leaders facilitate change. However, he advised against abdicating complete control to teams because when bottom-up actions are thwarted, top leadership needs to intervene with its authority to keep the process moving along.

When individuals are involved in either first or second order change, they learn best from peers, if there are opportunities for purposeful exchange (Wheatley 1992). Giving information a "public voice" and reflecting on varying perspectives serves to "amplify" the learning (p. 115). Through dialogue and its collective reflection, personal meaning evolves into shared-meaning and then into collective activity and finally to organizational renewal where generative learning keeps the process evolving.

According to Schwahn and Spady (1998) significant change happen in organizations if five overlapping principles are present. These principles include: (1) a compelling reason to change, (2) ownership in the change effort, (3) leaders that model they are serious about the change, (4) a concrete picture of what the change will look like for them personally, and (5) organizational support for the change.

To assist with the implementation of these highly complex principles, leaders need to identify and develop other leaders who are capable of "reculturing and restructuring" the educational landscape (Fullan, 2005, p. 10). Argyris (1990) warned of the defensiveness in organizations and how defensive behaviors are hindrances to organizational change. He suggested teaching leaders to be open to learning from criticism so they can model that behavior with others.

Ultimately, leadership is a key to the preparation, implementation, and sustainability of significant change. It takes powerful strategies for leaders to build a learning environment in which educators are willing to question their values and beliefs and alter them. How leaders build a trusting environment in which these behaviors are present is illustrated in this article through the comprehensive education and other support provided to participants in preparation for the change.

Methodology

This study examined the history of how one district changed from a junior high model to a middle school philosophy for educating young adolescents in a district of 18,000 students. An analysis of the transition highlights the process of change and the organizational strategies that fostered the evolution of middle schools in this district. An historical account is important in educational research because “organizations cannot be understood apart from their history (Miles & Randolph, 1980, p. 72). Kimberly and Miles (1980) remind researchers that:

In every organization, there is a rich fabric of norms, values, and myths that help to shape and determine the behavior of the organization. Focusing on the questions of where those structures came from and how they developed has implications for an organization's present and future structure and performance. (p.4).

Three major questions guided the inquiry: (1) What change process emerges from the district's journey through second-order change? (2) What strategies facilitate and hinder the process of change? (3) What insights into organizational change can be learned from the perspectives of individuals who participated in the transition from junior high schools to a middle school model?

The school district selected for this study had successfully implemented and institutionalized the middle school philosophy in schools across the district. Numerous documents were examined and individual interviews and focus group discussions were analyzed to reconstruct the process and strategies used during this district's transformation to middle schools. Semi-structured interviews allowed us to probe deeper into participant responses if additional data were needed. By including the voices of participants, we were able to weave a rich, historical fabric of past events and gain insight into what facilitates and hinders the process of comprehensive school reform.

After data were collected and transcribed, each interview was coded by research questions. Responses that were frequently and consistently evident in the data were identified as themes. To ensure confidentiality, the identity of participants and the district in which they worked remains anonymous (Creswell, 1994, p. 148).

Historical Context for Change

In 1909-1910, the junior high school emerged in America to provide schooling for adolescents in grades seven through nine. The “junior” high school was designed as a downward extension of high schools rather than a continuation of the academic and social foundations developed by students in the elementary grades 1-6. School structures were similar to those found in high schools: academic departments, specialized electives, and rigid grouping and promotion standards for students. Course instruction was closely linked with students' future educational and

occupational goals. Teachers individually taught in classrooms and students moved from class to class throughout the school day. For fifty years the junior high school model dominated the school experiences of young adolescents in the United States. "By 1960, junior high schools had increased to the point where about four of every five high school graduates in the United States had attended a junior high school" (Alexander & McEwin, 1989, p.1). Today, the number of junior highs remains plentiful.

In 1961, the Association for Supervision and Curriculum Development (ASCD) joined the growing number of educators who opposed the organizational structure, practices, and philosophy of junior high schools and supported educational experiences that were developmentally responsive to the needs of 10 to 15 year old learners. Advocates of the developmental approach proposed the establishment of schools in the middle, with purposes and structures distinctively unique from those found in high schools. The proposed middle school model was designed around interdisciplinary teams of teachers who collaboratively instruct a shared group of students throughout the day. The new model also included a flexible grouping pattern for students and a variety of exploratory electives (George, et al., 1992).

Over the next three decades, the number of middle schools rapidly increased across the nation. Some schools attempted the change to middle schools but soon retreated to familiar practices and abandoned the idea of reform altogether. Some proclaimed they had changed but, in reality, were altered only on the surface and the junior high philosophy remained embedded within the school's culture. Many other schools were successful in their attempts at reform. This article examines an example of the latter.

Local Context for Change

Within the national context of rapid middle school reform, the district under study hired a superintendent from Ohio, one of the birthplaces of the middle school movement. His experience served as an incentive to study the middle school concept as a possibility for school reform in the district. The school board established an exploratory committee to provide a comprehensive report about middle schools and a proposed plan for implementing the model in the district. After reading the report and implementation plan, the board approved the educational design and value of the middle school for adolescents but decided to delay its implementation.

Finally, after a 7-year delay and three superintendents later, the board approved a two-phase implementation plan. Phase one involved moving all of the district's seventh and eighth graders into schools designated for middle schools and expanding the grade configuration of all high schools to grades 9-12. During Phase Two, the sixth graders would be added to the middle school. Because student enrollment levels in the district had declined from 33,000 to 18,000 students, there was space available to establish middle schools without closing other schools or changing school boundaries. The board designated the next 2 years as a preparation time for the transition and designated the Director of Staff Development as the Middle School Coordinator. Concrete implementation plans began the following summer.

For some parents the change to a middle school structure was welcomed. There were elevated rates of suspensions in the existing junior high schools, and parents increasingly were transferring their children into private schools in the district. For

some educators, the addition of ninth graders to the high schools was a solution to a growing athletic dilemma. One study participant explained:

We were scared to death about the athletic program in the high school. High school enrollments were getting so small. You had a small pool of talent and you also had the threat of being dropped down to Double A. That wasn't discussed publicly, but it was discussed privately. And, if you get the ninth grade into the high school, you get a bigger pool [of talent].

Preparation for Implementation

The two-year preparation period prior to opening the district's middle schools was filled with numerous activities, including the (1) resurrection of the approved middle school design, (2) selection of staff, (3) additional education requirements for participants, (4) visitations to neighboring middle schools, (5) community education, and (6) committee work. These activities were required in addition to each individual's existing responsibilities.

Design

The original philosophical design, approved by the school board seven years earlier, was resurrected for implementation. An examination of the document showed that 9 foundational components were in the middle school design. These components were: (1) teams of teachers working with small groups of students; (2) all teachers teaching reading to all students; (3) exploratory courses in the fine and practical arts; (4) a student advisory program conducted daily by team teachers; (5) instructional time divided into big blocks for flexibility in scheduling; (6) teams of teachers sharing a daily period for instructional planning; (7) interdisciplinary curriculum and teaching; (8) provisions for safety and security; and (9) replacement of an interscholastic sports program with intramural sports.

Staffing

All teachers who wanted to transfer could make a request. Ninth grade teachers were given the option of moving with their students to the high schools. All ninth grade teachers did move to the high school and 75 percent received their choice of assignments. Study participants commented on the impact of these transfers:

We lost a lot of those who really didn't want to be there in the first place. And, I think that was very significant. . . We asked for elementary teachers who would like to be involved and we were able to get some elementary people to come in as seventh and eighth grade teachers to help us in that area.

Some educators who elected to be involved with the middle schools remembered their apprehension because the transition would demand a change in their ways of thinking and working. Study participants recalled some of their initial thoughts:

. . .in the beginning it was something new and we were not sure if we could really handle this revolutionary change because [in junior high] we were isolated according to departments. Now we would have to learn to work with three more people in groups. I had fear of the unknown after doing something a certain way for so many years. And, I was really uneasy about having to teach reading.

In junior high you know exactly what you are going to do at every moment. I mean, everybody left at a certain time. The ball rang. Then I had to get that out of my head and so it's like, I had to be retrained.

It was a mind set for teachers. Changing from junior high into a curriculum of a middle school. It wasn't something that I was looking forward to at the beginning, and then we had some training to let us know about the curriculum itself as to why we needed to switch over.

The responsibilities and expectations for middle administrators also would be different from the junior high model. Only principals and assistant principals who embraced the middle school philosophy were selected. A high priority was placed on those individuals who were collaborative with their peers, demonstrated the skill of listening, and felt comfortable working closely with and learning from teachers and parents. Study participants commented on the selection of middle school administrators:

The leadership in the building is the most important thing. If any one of the principals had been pro-secondary rather than middle school, I don't think the school would look the same. If you were prejudiced against middle school and brought that image back to your faculty, then you didn't last.

Additional Education

The district hired 3 consultants who had worked in school districts that recently had adopted the middle school concepts. Throughout the two-year preparation period, the consultants conducted extensive work-shops for teachers and administrators. The first workshop was in September and focused on interdisciplinary teams. Another two-day workshop was conducted the following February. This session had an extensive agenda. Topics included the nature of the middle school learner, how to run a team meeting, how to plan for interdisciplinary instruction, how to alter instructional techniques, the role of the team in managing student behavior, and the development of a strategic plan for opening the middle schools. One of the consultants remembered the reaction of the teachers during the workshops:

I saw all kinds of facial expressions. When we were talking about how the middle school child is, I saw some people smiling, like yeah, that's what I see [among kids]. And some others that either were skeptics or they were just simply dealing with their own anxieties and uncertainties, and a few gave the impression that 'this too shall pass and I won't be involved.' But, what I also sensed was a willingness to listen. I saw the majority of the people at least willing to entertain that there may be something to this.

In the year prior to the opening of middle schools, teachers were required to enroll in district-funded college courses on middle school curriculum and instruction, diagnostic reading, and reading in the content area. The learning requirement, coupled with the consultants' educational sessions were shared by everyone and served to imprint a common vision of the middle school concept. One of the participants described these requirements:

I think that one of the most difficult things that we did was one of the best things we did. That was to say that everybody was a teacher of reading. That's the only time that

the school system actually mandated that teachers complete six hours work of reading courses. I think that helped the overall program. I know some people who wanted to be in the middle school were not happy with that. I think that [taking reading courses] was a plus in making the transition.

School-Site Visits

Teachers and administrators visited middle schools in their state and elsewhere during the year prior to opening the middle schools. They spent several days at different sites, talking with middle school teachers and principals. They observed the operation of the schools, classroom routines, and middle school students in the context of middle school environments. According to the study participants, these visits resulted in a clearer understanding of the middle school concept in operation:

I think there was uneasiness at first about being a junior high teacher and going to a middle school. But when we got there, we talked to students and teachers and saw what a typical day was like. I mean, I think those experiences helped erase some of those feelings.

I don't know how many visits we made to the schools. Some of it was very exciting in that we saw some things going on in middle school that gave us a concept that we didn't have before. I was geared to a junior high concept.

Community Education

A strategic public relations effort, to educate the parents and community about the transition to middle school, was planned and implemented. Study participants recalled the format and parent concerns in the following ways:

We did presentations in the community . . . to anybody who would have us. That was interesting. We did some presentations in churches, civic groups, flower garden clubs. I mean, it was the strangest mixture you've ever seen. We did presentations to hundreds and we did presentations to nine or ten.

I think it served to alleviate or displace some of the fears and anxieties that all of us had about what was going to transpire teachers and parents. Especially in the area of transportation. And, especially what was going to happen in the locker room. Parents were very, very concerned about physical education. Whether the kids had to strip and go take a shower and this sort of thing. It dispelled some of that.

Parents didn't have too many questions about curriculum. They'd have questions about instructional needs. That was right interesting. Parents would address a concern my child is identified gifted in language arts, but is not doing well in math will the middle school accommodate instructional needs? That was a "biggee" with parents.

Committee Work

During the 2-year preparation year, the teachers and administrators formed committees with different responsibilities. Participation in these groups was voluntary. One committee designed the new student advisory program, and one was responsible for a system to report student progress to parents. Other teachers divided into nine-

week writing teams in each subject area, and another designed the interdisciplinary curriculum. Study participant had this to say:

But I think one thing happened that really made a difference. Teachers on committees had to come back and sell their ideas to the rest of us. Now and then, these teachers had more influence than the principal did because teachers would listen to them because they were involved and could say what was going on.

The involvement of the teacher and administrative staff in the process was critical. We were all in this thing together. The administration had to change. We had to change. Everybody had to change.

Another participant gave a perspective on the impact of the preparation activities on the future middle school teachers. It seemed that the blending of “top-down” and “bottom-up” involvement created an emerging sense of shared ownership as the district transitioned into the middle school model.

We were allowed to go out and visit and see things in action. We had people come in to talk to us about it. We read about middle schools and shared about them and I think that by people at the top not just making all the decisions, we were more a part of the decision making and not just the principals. I think that the teacher involvement was important at that time because there was an emphasis from the central administration that we understood what the change was going to be. They wanted us to study it and understand it before we went into middle schools. They allowed us to develop the program and set the structure that we felt would function in the school.

Final Preparations

In the summer, two months before the opening of middle schools in the district, the consultants conducted a two-day workshop to prepare teachers for that fast-approaching and important fall event. Two workshop topics centered on the immediate, practical concerns of teachers and administrators: getting ready for the first day of school and planning the orientations for parents. Other topics, such as using different instructional strategies in the middle school and organizing a team, were the extensions of earlier workshop sessions.

As September approached, the spotlight was on the middle schools. One study participant spoke about the mixed feelings expressed among teachers across the entire district about the impending openings of the middle schools and their operational success:

People's feelings were half and half. Half were confident. They believed the middle school would work and the other half were skeptical and wanted to wait and see what was going to happen.

Opening the Middle School with Grades 7 and 8

When the first students walked across the lawns and stepped off the buses on that bright September morning, the district's middle school concept became a reality. Study participants reported there was a general sense of excitement among the teachers, administration, support staffs, parents, and students at the middle schools. At a school board meeting in early November, the Middle School Coordinator delivered the first official report on the conditions of middle schools in the district. He

reported positive results of the transition, with teachers characterized as enjoying their new settings and school climates described as excellent. The Coordinator expressed particular pride that “no other school system had initiated the middle school concept with a developmental reading program, a home-based advisory program, and an interdisciplinary instructional program in place from its inception.”

Everyone tried to remain flexible in adjusting to the new middle school learning environment. The two-year preparation time prior to implementation was paying off. Soon the first year was over, without any instructional glitches or discipline challenges. At the end of the first year the Middle School Coordinator again reported to the school board that the district was satisfied with the progress. He acknowledged the hard work of teachers and attributed the success of the transition to the reading program and the flexible blocks of time where teachers were able to help with the social and emotional development of children as well as with their academic needs.

Teachers reported their perceptions of the first year:

It wasn't until you got working in the middle school that you realized what that meant and how to do it. Even though we weren't told, the worst pressure that first year was thinking we had to do everything right. There was so much thrown at us at once and we were professionals and wanted to do it right. We put the pressure on ourselves . . . And, I remember that last day of the first year in middle school, turning everything in, getting that last paycheck, going home, getting in bed, and crying, because of the pressure. It finally, the relief, it was finally over and just all that pressure of doing everything we wanted to do perfectly.

In the middle school that first year, it was like all the problems stopped. I mean, in the junior high we were dealing with discipline situations where students were paralleling high school. Then, middle schools opened and like overnight the problems stopped. We had had a monster and the monster was gone.

I think immediately parents felt that kids were in a safer environment. With the ninth graders out, there were fewer problems associated with that age group, such as smoking, aggressive behavior, drugs, and those kinds of things. I think parents were very happy about what was going on in middle schools. And, parents also saw a change in teachers' attitudes. There was a big increase in parent contact and teachers had time during the day to call parents. Working as a team with parents made the parents more cooperative with us and us more cooperative with them. I think parents were more involved in the middle school than they were in the junior high school.

Administrators commented too:

The role of the principal changed when we implemented middle schools. We weren't dictating everything. We were doing a lot of listening to the teachers and learning about what they needed and using their suggestions. We went from pure management to having to get involved in academics again.

Preparation for the Sixth Graders

Educational preparations for the sixth grade teachers paralleled that for the seventh and eighth grade teachers. The sixth grade teachers enrolled in the same college courses on the characteristics of middle school students, had the same consultant-led

workshops, worked on committees to write an interdisciplinary curriculum, and visited the middle schools in the district and in the state. The district also replicated its public relations efforts. Each middle school held an orientation for the students and their families. Families were included on the newsletter mailing list to increase awareness of the programs and practices in the middle schools. Two of the sixth grade teachers expressed some general thoughts about going to the middle school:

There was some uneasiness, some not knowing what was going to happen, but it was nothing like those [seventh and eighth grade] teachers. And, we had a lot of excitement.

My biggest concern was the team . . . You've got to work with somebody. That scared me. What if I worked with somebody that I can't work with? That's what we [sixth grade teachers] talked a lot about. After one year of intense preparation, the sixth grade teachers and students successfully transitioned into the existing middle schools. The sixth, seventh, and eighth grade configuration that was envisioned in the original middle school plan was finally completed. Study participants remembered their perceptions of the year that sixth grade teachers and students joined the middle schools:

You know, teaching two subjects as opposed to six was heaven.

When the sixth grade teachers moved up, they brought their ideas, but by the same token, the people in these buildings took them under their arms and made them middle school people. No longer in self-contained classroom. We were all part of a team.

We were very successful [in the middle school] because I remember parents were making decisions that they would take their sixth graders back into the public school and out of private schools.

By having the seventh and eighth grades already operating in the school, I'm telling you now; it really softened the impact of getting the sixth grade involved. A two-year grace period to get the seventh and eighth grades running smoothly made all the difference in the attitudes and support level of the parents of the sixth graders too.

The Follow-up

After the sixth graders were integrated into the middle schools, the district appointed a Middle School Evaluation Task Force to assess the results of the full change effort. With three years of implementation completed, all middle school, parents, teachers, and students were surveyed about the effectiveness of academics, discipline, communication, orientation, rules, and school climate. The survey results were impressively positive. However, since then, no further evaluative or progress reports regarding the middle schools were ever made to the school board and middle schools were no longer discussed by the school board as a policy issue. Soon after the survey results were publicized, the district eliminated the position of Middle School Coordinator. As the primary responsibility for middle schools shifted from the district office to school sites, teachers and administrators at each middle school began to guide the on-going evolution of the middle school concepts within their school.

To celebrate the progress of middle schools and to share their learning, the middle school principals invited ten teachers from each middle school to organize a district-wide conference for the opening of the fourth year of the middle schools. The conference included cross-school teams of teachers leading workshops and a luncheon with a keynote speaker. These workshops were a testimony to the growing congruency between the teachers' and the district's understandings of the middle school constructs and concepts. As one observer noted, "Our teachers had become leaders, and outside consultants were no longer needed."

The following year, the district's middle schools successfully reached their five-year, milestone. One of the participants gave reasons for the success:

. . . we had stability in terms of principal leadership and central office leadership. We had agreement and commitment to the vision. We had focus and support for continuing the journey, from the superintendent and all of the district office administrators. For five straight years we had stability.

During the sixth year of implementation, the stability of personnel changed. A number of the teachers and administrators, including the superintendent, retired. When others were hired to replace them, the new-comers were unfamiliar with the core structures, purpose, values, and vision of the district's middle schools. For the newcomer, the core structures were easily learned during the daily, on-the-job interactions; yet, the thinking that grounded the processes remained unexplained. Without a designated person to coordinate their indoctrination into the district's middle school culture, the responsibility for district continuity was left to each school. At approximately the same time as the retirements occurred, the new superintendent and school board members refocused their educational initiatives toward a national agenda to reform curriculum. With the spotlight off the middle schools, some participants wondered if the district would gradually slip back to the junior high model for educating adolescents. To the contrary, because second-order change had altered the deep beliefs about schooling adolescents, the middle school mindset was solidly institutionalized within the district's culture. And, today, the district's middle school operations and philosophy still have the strong support and pride of parents, teachers, and students.

In the next section of this article we will synthesize the process that occurred during this change effort and identify major strategies that facilitated and hindered the institutionalization of middle schools in this district. In the final section we present insights into organizational change that emerged from the perspectives given by participants who were personally involved in the transition.

Results of the Study

Second-Order Change

This district's transition from a junior high philosophy to a middle school model for early adolescent learning is an example of second-order change. As suggested by Levy (1986) and Walzawick, Weakland, and Fisch (1974), the change fostered disequilibrium and ambiguity among participants and led to the development of new concepts and behaviors. The process of deep organizational change caused a reordering of meaning on the district, team, and personal levels, and schooling for adolescents was

transformed. Because the new model of schooling was deeply embedded in the organization's memory, the middle school survived the changes in district leadership and the passage of time.

A close examination of the changes reveals dramatic shifts in the district's core structures, purpose, and values of adolescent learning. A number of examples illustrate this point. An interdisciplinary team structure replaced curricular departments. Teams of teachers shared a daily planning time and determined the daily schedule for their students. Families and school personnel communicated directly, frequently, and in a number of ways, rather than solely through report cards. The purpose changed from a subject-centered junior high with curriculum and practices that mirrored the high school to a student-centered middle school that responded appropriately to the distinct, developmental needs of early adolescents. Interdisciplinary teams of teachers and students were valued and used as the main and essential mechanism for organizing the middle school and supporting the continuous improvement of students and educators in the school. In terms of personal change, teachers' sense of professionalism strengthened and they increased their willingness to be introspective about themselves and their relationship to the school organization.

What Process of Change Emerged?

The district's process of change evolved through three cycles of change: adoption, transformation, and institutionalization. Although the district began to move into the fourth cycle of renewal, it was brief and soon abandoned.

Adoption. During this cycle the district adopted the middle school concepts. The cycle was distinguished by its focus on the preparation for change: the accumulation and clarification of information about middle schools and the practical applications of this model into district schools. The new purpose of the middle schools was clarified for teachers, administrators, parents, and community. Also, numerous activities helped to imprint the concepts into a shared meaning of middle schools.

Transformation. This cycle was distinguished by the experimentation with new structures, values, and purposes (core processes) that resulted in the integration of individual and collective learning. Teachers began working in teams, moved away from junior high practices, and began to alter their personal meaning of early adolescent schooling.

Institutionalization. During this cycle new learning was embedded into the mindsets and routine actions of participants. Teachers increased their mastery in teaching strategies, team leadership, and applications of the core purpose. Also, the junior high philosophy and practices were replaced with a middle school paradigm and the new practices became routine. In other words, the change "penetrated [so] deeply into the genetic code. . .that nothing special need[ed] to be done to keep the change changed" (Levy, 1986, p. 7).

Renewal. When this cycle occurs in a change process, it is distinguished by generative learning. Although the renewal cycle began within the district, it was abandoned. The district-wide middle school conference that was planned and conducted by cross-school interdisciplinary teams at the beginning of the fourth year of implementation

was an effective example of generative learning. However, the event was not repeated. When the middle school director's position was eliminated from the district's budget, no one was appointed to coordinate the on-going learning experiences of middle school teachers and principals, monitor the on-going progress made by schools in the middle, or facilitate the indoctrination of new members into the middle school philosophy. Neither was there anyone to plan generative learning experiences to keep the changes evolving. Therefore, the district did not use the renewal process to stimulate generative learning.

What Strategies Facilitated and Hindered the Process of Change?

Facilitated Change. Two particularly helpful strategies for facilitating change were the (1) adoption of a philosophy and prescriptive model for middle schools and (2) site visits to middle schools in action. These strategies provided participants with a compelling reason to change and concrete ideas and a clear and visible representation of what the change would look like and the participants' personal responsibilities within that context (Schwahn & Spady, 1998).

Other strategies that facilitated the district's change from a junior high to a middle school model can be categorized into four general areas: acquisition of knowledge, use of teams, time to prepare, and district support and trust of school personnel. Specific strategies that fall within these categories are listed here:

Acquisition of Knowledge

- extensive educational workshops provided for teachers and administrators on practical topics that related to middle schooling
- advice, assistance, and education from consultants who had experienced the process
- site visits to neighboring middle schools
- high involvement of teachers and administrators community education
- an initial assessment of the middle school's effectiveness after three years.

Use of Teams

- establishment and use of teams for workgroups, leadership, interdisciplinary planners, student discipline decisions, and networks for understanding
- committee work.

Time to Prepare

- 2-year preparation time for 7th and 8th grade teachers
- 1-year preparation time for 6th grade teachers.

District Support and Trust

- district office support for funding of travel, materials, consultants, substitute teachers and coursework
- commitment by district to the middle school philosophy
- care in selecting teachers and administrators for the middle school
- shift of the numerous responsibilities for change from the district level to the middle school teams and administrators

- confidence and trust in the ability of teachers to learn, make competent decisions, give advice, and implement the middle school model.

Hindered Change. Once the implementation plan for middle schools was approved by the school board, the district was flexible, responsive, and supportive throughout the preparation and implementation of the plan. Although strong resistance is usually present during substantive change (Heifetz & Linsky, 2002), the resistance was lessened because the district allowed junior high teachers a choice of teaching at the middle school level or not. Therefore, hindrances during the adoption, transformation, and institutionalization cycles were few or non-existence. However, a follow-up plan for the implementation of middle schools did not exist. After middle schools were established and institutionalized in the district, it was the lack of strategies that hindered the district's movement into the renewal/regenerative cycle of change. These "missing strategies" are provided below:

- lack of a planned process for reflection on what was being learned and why
- lack of on-going assessments of middle schools after the initial assessment that followed the first 3 years of implementation
- dismissal of the Middle School Director's position without delegating someone else the responsibility to coordinate and facilitate the continued development of middle school practices and the learning of teachers and administrators
- no system in place to monitor improvement; determine the needs of teachers, administrators, and students; and/or highlight best practices across the district's middle schools
- no provisions for the coordinated induction of new personnel into the middle schools to learn the reasons behind the structures and practices
- a shift of school board interests and district resources from a focus on middle schools to a focus on curriculum reform. Maintaining an interest in both middle schools and curriculum reform would have been more helpful than taking an either/or approach.

Insights into Organizational Change

A number of insights can be gleaned from this district's journey through second-order change. Two are highlighted and discussed here.

Insight #1. Appropriately educated teams can be an effective mechanism for change. The findings of this study indicate that teams were the major organizing structure that ensured the successful transition to middle schools in the district. Team members did not agree on everything, but they developed similar philosophies about middle schools and a common purpose. Members of teams supported each other's personal transition from disequilibrium to understanding, and brought new knowledge and purposeful ex-changes into the learning context. The networking within and among teams provided a synergy that fostered and facilitated change throughout the district and increased the high personal involvement of teachers and administrators in the change process. Teams were the major vehicles through which teachers learned from their peers and, through purposeful dialogue, developed shared meaning about school-aged adolescents and their instructional and emotional needs. Wheatley (1992) affirms that the reconstruction of meaning is essential for change because meaning is the "strange attractor" toward which all action is directed.

Insight #2. Change occurs as new meaning is constructed from new knowledge, engendered by the context in which the change occurs. Change is not about instituting a new program. A new program may be the outcome of change, but substantive change is about the evolution of altered mental models that frame and reframe thinking. New knowledge and new experiences are prerequisites to the construction of new meaning and the reframing of one's thinking. To change schools, the opportunity to learn must be available to participants. The context in which learning takes place is significant because as the context shifts, new knowledge will emerge and new meaning will be constructed.

In this district's change from junior highs to middle schools, many opportunities to learn and acquire knowledge were available to participants: workshops, site visits, university courses, and team discussions, to name a few. As the district shifted from junior high schools to a middle school model, the context was altered. As the altered context combined with the new knowledge about middle schools, new meaning was constructed and the mental models of schooling for adolescents were altered. Within this altered context, altered meaning and altered mental models produced new ways of thinking, acting, and working within the district, demonstrating the results of successful second-order change. These changes were consistent with the theories of second-order change as espoused by Hillary, 1990; Levy, 1986; Walzawick, Weakland, & Fisch, 1974.

Summary

Schools are complex systems and changing them is a complex process, with solutions that, according to Heifetz and Linsky (2002), are both technical and adaptive. An imposed agenda by local, state, or national policymakers may result in some minor adjustments, but little will change for school-aged youth unless, as Sarason (1990) suggests, the deeper levels of school cultures are penetrated and examined.

The results of this study suggest that schools take at least five years to adapt, transform, and institutionalize a major change effort. Substantive change requires time to educate participants about what is being changed and time to implement strategies that facilitate and sustain change efforts. Shorter timelines that are expected by the general public, school board members, and other policy makers are counterproductive to sustaining change. Although this study examined changes in middle schools, the process of deep change at other school levels, most likely, will follow a similar process and use similar strategies, whether initiated at the district or school levels. Comprehending change theories and understanding how these theories guide the implementation of substantial change are essential components in the knowledge base for educational administration.

Failure to change schools is often attributed to the incompetence of educators to alter the outcomes of schooling. We suggest that the lack of deep levels of school reform is actually the failure of policymakers, school board members, and educational leaders to fully understand the different levels of change, recognize the cycles of the change process, and comprehend the strategies needed to facilitate and sustain second-order change.

Data from this study clearly confirm that the demands and expectations for current and future educational leaders expand far beyond the knowledge and skills needed

for instructional leadership alone. In this regard, the assertion by Fullan (2002) is appropriately stated: "The role of the principal as instructional leader is too narrow a concept to carry the weight of the kinds of reforms that will create the schools that we need for the future" (p.17).

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Chapter 3 K-12 Leadership and the Educational Administration Curriculum: A Theory of Preparation



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Fig. 3.1: NCPEA

note: This module has been peer-reviewed, accepted, and sanctioned by the National Council of the Professors of Educational Administration (NCPEA) as a scholarly contribution to the knowledge base in educational administration.

How did educational administration become the brunt of so much negative press, and why is it perceived to have failed so miserably in the eyes of so many? What is it that teachers, principals, and superintendents do not know and cannot do in their professional role that fuels this ongoing debate about poorly run schools and weak leadership? How does one reconcile the positive view of education as an equalizing force in America and the cynical view of education as an institution out of step with present day needs? Are educational administration professors and graduate programs so out of touch with the P-12 schools that the training received through university programs is only marginally utilitarian to those who lead America's schools? The Levine (2005) quote above, and his basic report, illustrates that the quality of university-based administrator preparation programs are considered to be a primary weakness in the nation's educational systems. University-based programs in educational administration have been undergoing scrutiny and have been encouraged to improve even by essentially educational organizations such as the National Council for the Accreditation of Teacher Education (NCATE), the National Policy Board for Educational Administration (NPBEA) and the related Interstate School Leadership Licensure Consortium (ISLLC), and various derivative groups. However, the questions remain: how did we get to the present; what knowledge base should the curriculum reflect and; what, in fact, does a good program look like, and how should our programs change?

The programs that will emerge over the next twenty-five years will not be exotic or be formulated by accreditation bodies or by university planners. They will emerge from the foundation of the profession which is well documented; grounded in

practical, cultural, and educational experience; and from knowledge gained by observing successful schools.

The History

Three constructs in the history of educational administration have evolved during its formative development and each helps point to the possible future of the profession and to the programming that supports the training of educational leaders (see Culbertson, 1988; Murphy, 1992). These constructs are:

1. Educational administration evolved out of a need to operate schools under a set of practical and applied administrative skills.
2. The bureaucratization of educational organizations during the 19th and 20th centuries required specialized professional knowledge in order to become and to succeed as an educational leader.
3. The academic, scientific, and theory basis for educational administration provided educational leaders with advanced tools, conceptual frameworks, and contemporary and theoretical knowledge required to lead educational organizations.

The supervision and administration of education in the early 1800's was professionally unskilled; an extension of the men who governed within the local community. There was a job to be done and supervision of the local school fell to someone in the community. A description of the Agent for District #10 in Waterboro, Maine circa 1820 is provided by Knights and Waterhouse (2006) and offers a glimpse into the practical role of administrator:

1. In the beginning of the organized school system, each district had one officer called the School Agent. Each town had a Superintending School Committee composed of not less than 3 persons. Each county had one school officer. The county officers constituted the Board of Education of the State.
2. The district agents were elected annually by the voters in an open town meeting, or by the districts in their separate capacities.
3. It was the duty of the district Agent to: call district meetings, see that the school house was kept in repair, furnish fuel and utensils for the school, employ teachers, and return annually to the assessors in the town, a list of scholars in the town and district.
4. If there was not a suitable school in the district, or if the spring rains or the winter snow was too heavy to keep the school open, it was up to the agent to provide a room usually in his own home, where school could be kept. For this he was paid \$50.00 a year. By 1891 wages for the Agent had increased to \$110.00 per year. The agent system remained in effect until about 1894. (p. 8)

Just as the one room school was an evolutionary step in the American system of education, the role of Agent evolved into the educational leader, and then into principal and finally superintendent. There was knowledge to be gained about running a school, information to be stored, and a collection of skills, behaviors, attitudes, and professional qualities that, when combined in the right mix, addressed the needs of a community, its children, and the slowly evolving and expanding educational organization.

There was no classically trained educational leader (like the classically trained teachers of Latin) to supervise the one room school. An interest in education and experience in practical matters were applied to the local school as community members emerged from their fields, stores, and factories to use native common sense to organize the school for learning. Prince (1901) identified a statute passed by Massachusetts in 1789 as "the first legal recognition of any function of supervision beyond the employment and examination of teachers" when towns were granted the authority to employ "a special committee to look after the schools" (p. 150). It took another thirty-seven years to require some form of supervision by committee when a law passed in 1826 extended the provision from granting to requiring every community in Massachusetts to form a supervisory committee to handle the affairs of the local school (p. 150). Today's superintendent and principal are the evolutionary descendants of the agent and supervisor who volunteered to handle the duties of keeping the school running and functional.

The Past Begets the Future

At its outset, the field of educational administration focused on superintendent preparation (which encompassed the role of principal). The scope of the field was narrow because its mission was clear. Preparation programs evolved out of the need to manage schools and supervise teachers. It was still a nation of rural one room schools organized by the local community, and managed by a teacher who often wore the hats of teacher, superintendent, principal, janitor, counselor, and mentor to children. Again, Massachusetts saw the need for improved management of the local school district. In "1827 each district was authorized to be represented by a man elected either by the town or district who was endowed with authority to employ the teacher" (p. 150).

Prince (1901) noted that the evolution of a specialized role for school leadership culminated when Massachusetts authorized towns and city councils to require the school committee "to appoint a of public schools who under the direction and control of said committee, shall have the care and supervision of the schools" (p. 152). By 1879 the idea of a "full or nearly full time" superintendent with supervisory skills in education was commonplace in Massachusetts cities.

The need to train educational administrators for tasks that were unique to the educational enterprise only accelerated during the mid-1800's. Prince (1901) explained the Massachusetts experience in developing supervisory leadership as precedent setting and would spread to other states [which it did]. He further explained the evolution of supervision as having two periods in Massachusetts "one in which the people in their fidelity to local self-government kept the immediate management of the schools in their own hands" and second, the realization by these same local communities that they needed to "give into the hands of educational experts the direction of that part of the work of the schools which required professional knowledge and skill" (p. 157). The recognition, one hundred and thirty years ago, on the part of these communities to separate professional from practical created the need for professional training.

As long as schools were locally controlled, small in size, and organizationally unsophisticated, the skill to run them resided with the men who ran the local

businesses, the preachers who ministered to the community, and the teachers who wore the hat of teacher and administrator. There was, and continues to be even in modern organizations, the practical concerns of running schools efficiently, with common sense, and with skill. When schools began growing into educational bureaucracies, it required administrative skill beyond the ability of most individuals in the local community. The specialized role of educational administrator superintendent and principal became important to the success of the school district because it became clear that training and experience were necessary. Training and skill as an administrator and educational leader crystallized in the late 1800's with the first university-based class to train school administrators, developed at the University of Michigan in 1879.

The Professionalization of Educational Administration: Early Training

In 1879 William H. Payne accepted a professorship at the University of Michigan after having served as a superintendent of schools in nearby Adrian, Michigan. Payne (1886) designed a curriculum devoted to the training of teachers in a then newly approved program: *The Science and the Art of Teaching*. He pointed out that the program was “new not only to this University, but, in its scope and purpose, was new to the universities of this country” (p. 337). As a part of a program of study devoted to teaching, he developed the first course on the topic of educational administration. By 1884 a course entitled *School Supervision* was taught at the University of Michigan which was supplemented by Payne's own *Chapters on School Supervision*: a text he authored. Payne's course embraced “general school management; the art of grading and arranging courses of study; the conduct of institutes, etc. Recitations and lectures” (p. 343). The chapter headings of the text outlined reading topics which became instructor lectures. Note that more than a third of the book was devoted to explaining and defining the role and power of the superintendent:

Chapter I The Nature and Value of Superintendence

Chapter II The Superintendent's Powers defined and some of his General Duties discussed

Chapter III The Superintendent's Powers defined and some of his General Duties discussed (continued)

Chapter IV The Superintendent's Powers defined and some of his General Duties discussed (continued)

Chapter V The Art of Grading Schools

Chapter VI The Art of Grading Schools (concluded)

Chapter VII Reports, Records, and Blanks

Chapter VIII Examinations

The content of the book reflects the time in which it was written. *Chapters on School Supervision* was prescriptive in its approach to administration and dogmatic in its educational thinking. It was, however, a milestone for educational administration in that Payne acted upon an emerging need to train schoolmen for administrative roles. Payne can be credited for putting into the university curriculum a course of study that

began the slow rise of educational administration to an academic, university-based discipline. As Payne (1886) wrote, "Graduates of the university are called to supervise the more important public schools of the state. Why should they not have the opportunity to learn the theory of school supervision?" (p. 336).

The need for supervisory leadership did not result in a rush to establish programs in educational administration during the last quarter of the 19th century. Woodrow Wilson (1886), an assistant professor and future president promoted, in *The Study of Administration*, the idea of administration as a science and field worthy of study. His essay is representative of the industrial as well as educational environment that identified the need for administrative training programs. He wrote that, "The object of administrative study is to rescue executive methods from the confusion and costliness of empirical experiment and set them upon foundations laid deep in stable principle" (p. 8). This was a canon for what Wilson envisioned as a university program of preparation. This essay spurred the effort to examine the skill required to administer a growing school bureaucracy. Yet, it was not until the early 1900's that educational administration became a truly established university-based program of study and achieved a recognized professional acceptance when Columbia University offered a doctoral degree with an emphasis in educational administration.

The Preparation of Educational Administrators: A Profession

The topic of administration emerged at Columbia with a curriculum consisting of courses that would fit comfortably into an educational administration curriculum today. The Columbia University course catalog of 1903-1904 illustrates that a sequence of four courses School Administration, Practicum, Seminar, and Practicum were offered. The first course in the sequence was School Administration. Its content looked at:

Forms of educational control, as national, state, municipal, and private; the growth of school supervision; functions of school boards, superintendent, principal; school buildings construction, heating, ventilation, lighting, sanitation, and equipment; playgrounds; relation of supervising officers to school boards, principals, teachers, pupils, janitors, parents, and citizens; school management grading, promotions, examinations, records, prizes, and other incentives; courses of study from the standpoint of the superintendent; the school as a social organization; libraries, museums, other culture forces, and community co-operation. Students will have the opportunity of studying the administration of the Teachers College schools and visiting schools in the vicinity. (p. 59)

The subsequent Seminar and Practicum courses addressed topics that included:

1. The organization and administration of the public school systems in the United States with special reference to city school systems.
 2. The present conditions in education at home and abroad.
 3. Each student will be required to make an independent study of some state school system and to present to the class from time to time the results of his investigation.
- (Teachers College Bulletin, pp. 57-64)

Early training programs focused on the nature of schooling, the nature of education, and the work of administering an expanding educational enterprise. It is clear,

however, that the technical core of educational administration was elevated by applying professional level knowledge to this increasingly complex educational system. The first doctorates in educational administration were conferred in 1905 at Teachers College Columbia University and significantly, Elwood Cubberley, one of the recipients, would help to advance the field of educational administration through his work and writing. Cubberley's book *Public School Administration* (1916), would become one of the most widely used training textbooks and championed school supervision as "a new profession, and one which in time will play a very important part in the development of American life" (p. 130).

Educational Administration as a University-Based Program

Educational administration programs took a common sense approach to the knowledge of supervision, educational leadership, administration and management. This could be viewed as an extension of local needs and the growing professional body of knowledge that emanated from the industrial bureaucratization of education. This was especially evident in cities as layers of bureaucracy and a system of education required professional oversight similar to that of a growing business.

During the early twentieth century business titans of the era held out the idealized success of their own corporations and leveraged local communities, states, and the nation to address perceived educational shortcomings by pressuring for specific educational outcomes: cheap education, practical knowledge (noted as less academic rigor), and scientific management. The twentieth century American K-12 curriculum reflected corporate America's needs for a trained and pliable workforce and the development of an educational structure that addressed teaching, learning, and administration as an extension of the industrial organization (see Callahan, 1962). The field of educational administration was now a university-based program of study that took up the challenge to train schoolmen for their professional roles with a corporate orientation to managing schools. The foundation for educational administration was finally in place. It reflected applied and practical solutions to the administration of schools by a growing number of professional men oriented to business solutions for education. It was not an academic, theory based, rarified ivory tower approach to administration.

According to Iannacone (1976) educational administration programs in the early twentieth century were "relatively centralized with the dominance of practice over preparation and research" (p. 5). It was not until the middle of the twentieth century that the field made a conscious and focused effort to alter the dominance of practice over academic and professional knowledge. The dominance of practice in the training of educational administration continued through the first half of the twentieth century which prompted Iannacone to further claim that, "The research produced during the twenty five year period [1925-1950] when educational administration was dominated by practitioner influence shaped by municipal reform was trivial, atheoretical and useless as a scientific base to guide practice, training or future research however useful it may have been in fostering certain administrative-political agendas" (p. 19).

The frustration of a profession that was dominated by practical and applied skill during the first half of the 20th century led to the reform of preparation programs during the 1950's. This reform extolled the importance of research, theory, and

academically grounded preparation for educational leaders. This set the stage for the next important movement within the field of educational administration.

The Behavioral, Scientific, and Theory Basis for Educational Administration

During the late 1940's and early 1950's the field, in its attempt to become more theory driven, embraced a rational scientific method that was an extension of its environment the university. The belief and expectation grew that every school administrator should be grounded in the science of administration and the theory of administration. "With the emergence of theory based research influenced by the social and behavioral sciences in the 1950s programs required change" (Iannacone, 1976, p. 22). This put pressure on programs of preparation to change from being primarily focused on the applied to being more scholarly and academic. By 1960 the field began a shift that emphasized a more academic preparation which, in turn, "increased the conflict between the practice and research as we in the United States move deeper into the political revolution in education" (p. 29).

The field began the twentieth century with a focus on applied knowledge, increased emphasis on the development of professional knowledge throughout the first half of the century and then embraced academic training at mid-century. The training of educational administrators was now, conceptually, a three way framework of practice, professional knowledge, and academic scholarship. The problem for the profession was in attaining a balance that served both those in practice and those in the professoriate, including the professional organizations associated with each. The debate over balance in preparation programs intensified. The last fifty years has seen one long conversation circling around relevance, knowledge base, research, relevance, theory development, scholarly activity, and relevance.

Culbertson (1964) wrote in the National Society for the Study of Education's publication *Behavioral Science and Educational Administration*, "During this century, growth in preparatory programs for administrators has been matched by the development of significant foundations for a science of administration" (p. 329). Haskew, in a later chapter of the same text addressed the scientific and theory based field of educational administration that was then emerging as "clearly distinguishable from mere extension of precedent patterns" that characterized the profession through the first decades of its existence as a university program of study (p. 333). He outlined the basic frame of future programs where:

The ideational core of response is the conscious application of intelligence and inquiry to administration as a specialized function of institutionalized education. Collateral with the core is strong support of the method of science as the method of inquiry and for the creation of a theory-based discipline to undergird the art-science of professional practice of the school administrator. (p. 334)

Culbertson's (1964) summary of change in the profession during the mid 1950's is instructive as to how educational administration would be reoriented around the behavioral sciences.

More recently, the 'new science' of administration has contributed significantly to a research orientation in preparatory programs by clearly distinguishing between values and facts, by developing more adequate theories to encompass the complex variables

in administration, and by recognizing the major significance of a multidisciplinary approach to the study of administration. (p. 310)

The Future of Educational Administration: What Educational Leaders Should Know and Do

Today the field of educational administration is fragmented by its own fractured approach to educational administration program improvement. The field is now in the spotlight, with the rest of education, because of the central role it plays in adjusting to the future. It appears that educational administration programs, our universities, and K-12 educators will remain in this spotlight due to the critical role education plays in the social and economic well being of this, and every other, nation. There is great pressure from universities to show value added student outcomes given these programs are an extension of the state. It is clear in the first decade of the twenty-first century that government has come to expect measurable outcomes and improved student achievement from teachers and educational administrators. A practical orientation to training can only carry the school administrator to a limited level of knowledge, skill, and understanding. Most would agree it is not enough to lead education into the future.

In 2006 educational administration struggles to find a balance between an academic program of study and a practitioner oriented program of study. "For survival in the university, academic legitimacy is needed by the program, especially its faculty" (p. 23). Yet, the demands of the future and the practitioner world pressure educational administrator preparation programs to adapt and change as never before.

The die was cast when educational administration became a university-based program of study within the university culture of scholarship. The cleavage between practitioner and scholar began when educational administration became a university-based program of study in the early 1900's and persists to the present day. The University Council for Educational Administration (UCEA) became the home organization for professors who saw their roles as more academic while the National Council of Professors of Educational Administration (NCPEA) became the home for those professors who saw their roles as more practitioner oriented. In fact, educational administration encompasses both practice and scholarship and every professor of educational administration knows and understands this aspect of the business. Yet, there continues to be a drift to one program preparation viewpoint or to another. There is no practical reason for perpetuating this divide within the university-based field of educational administration.

Levine is the most recent critic of educational administration. In his study *Educating School Leaders* (2005), the field of educational administration is excoriated for its weak curriculum and lack of rigor. "This study found the overall quality of educational administration programs in the United States to be poor: The majority of programs range from inadequate to appalling, even at some of the countries leading universities" (p. 32). He further makes the point that states have sought alternative routes for administrator training:

Because the programs have failed to establish quality controls, states have developed alternative routes for people to enter school leadership careers, and major school systems have embraced them. Because traditional educational administration

programs have not prepared school leaders for their jobs, new providers have sprung up to compete with them. Because they have failed to embrace practice and practitioners, their standing has fallen, and school systems have created their own leadership programs. All of these changes are likely to accelerate (p. 68)

The field of educational administration has trained many administrators over the past one hundred years but failed to gain credibility for what it does and how it does it. In understanding the criticism of educational administration and the preparation of school leaders, it must be understood that the field itself is under attack because of weak preparation in a number of areas. It is not any one component that twists in the wind for reform; it is all of the parts of educational administration programming that remain entrenched in the university-based preparation program model. The criticism of educational administration over a 50 year period is laden with admonishments to improve the quality of preparation in the areas of student admission, faculty expertise and knowledge, appropriate curriculum, university and college financial support of the program, student and faculty research, assessment of progress through the program, kinds of degrees and the purpose of the program and the orientation toward training a practitioner or a researcher (see for example Levine, 2005, Murphy, 1992, Achilles, 2005, Farquhar & Piele 1972).

Highly skilled and able administrators are crucial if educational success is to be attained no matter who trains or where training occurs. The issue of training is no the question. The issue in question is how to train highly skilled and able administrators given present conditions and our professional will to address problems of practice. If university-based preparation is inadequate, then we should support efforts to open the market and create competition, provided that the competition is as effective as what now exists. Generally, our harshest critics follow criticism with statements admonishing schools of education and educational administration programs to take the lead in improving leadership training. It is a criticism that is old, frequently repeated, and tiresome. The programs now in existence are the best we have and Universities are not keeping the good students from applying. It is time to take the best we have and design in the quality that is demanded.

Educational Administration: The Next Iteration

What professors of educational administration should consider in program development is a curriculum based on the conditions which now exist in schools and those that will exist in the future. Achilles (2005) describes the known problems in preparation programs, problems that date back fifty years, and suggests that one can be assured that future programs will be an extension of the past. This is an acknowledgement that educational administration has built a deep foundation around its own theory of preparation which is clear and evident in every discussion about preparation.

The strongest contemporary call for a re-examination of the field began with the publication of *Leaders for America's Schools, a Report of the National Commission on Excellence in Educational Administration* (1987). The report outlined a number of recommendations that were made with the stated desire to restructure "the national understanding of the requirements for educational leadership of the future" (p. xvii). What has been called for by many who are critical of leadership preparation is some

combination of a rethinking of the interrelated components that make up a program of study? Generally, these components were outlined by Murphy (1992) as issues in need of new perspectives:

1. Recruitment and Selection
2. Program Content
3. Delivery System
4. Standards of Performance
5. Certification and Employment (p. 79-108)

Haller, Brent and McNamara (1997) claimed that educational leadership pre-service training “had little or no influence on the attributes that characterize effective schools” (p. 222). Further, they spurred a debate, and then a response, to the challenge that confronted educational administration programs. “We believe the burden of proof now rests with those who would claim that existing pre-service programs have the effects they presumed to have or that tinkering with delivery systems is all that is required to ensure those effects are forthcoming” (p. 227).

Murphy (1992) wrote that preparation programs during the first half of the twentieth century focused on teaching a discrete knowledge base which “consisted of rough-hewn principles of practice couched in terms of prescriptions” and that the second half of the century saw a focus on applying the knowledge of social science to the applied world of educational administration (p. 140). Murphy claimed that the focus on discrete knowledge acquisition around a defined knowledge base did not, and does not, represent what practitioners needed to know and be able to do in order to be successful as practicing educational leaders. It is in developing a theory of educational administration preparation that some theory building and parameters are outlined for all educational administration preparation programs.

Hamel and Prahalad (1994) described the greatest challenge to every organization as having the ability to identify and transcend the boundaries of current knowledge. As they say, “The well-worn aphorism what you do not know can hurt you is entirely apropos” (p. 56). What professors of educational administration know is that the past informs but does not clarify how knowledge can improve the present or the future. The development and transformation of programs in educational administration begins with an honest appraisal of a theory that is grounded in practice and is informed by professional and scholarly knowledge.

A Theory of Program Preparation

Most educational administration preparation programs in the United States have a similar history. To-day's programs are more alike than different, regardless of university Carnegie classification, type of student, or variations in curriculum. The approximately 500 programs in the United States generally have a similar goal: provide quality pre-service leadership preparation.

While some disagreement exists relative to details, the elements of quality program preparation are fairly straightforward. Identifying these elements and explaining how they can be improved has not provided sufficient motivation to universally elevate preparation programs to a level of performance that satisfies accrediting bodies,

deans, professional associations, and the external public. As professors of educational administration we are in a position to address the concerns.

First, there is no accepted theory of program preparation in educational administration. It does exist, informally, in the debate between providing a curriculum that emphasizes training as a practitioner or a curriculum affording the education background of a scholar. As noted, the NCPEA and the UCEA are symbolic of this fragmentation. NCPEA historically has had strong representation from practitioner oriented professors (and institutions): an orientation that still exists, but with greater and growing attention to scholarship. One of the reasons for the founding of UCEA in the 1950's was to elevate the scholarly and academic profile of the profession and the practitioner. Neither approach has elevated the academic standing of the profession. While variations in curriculum should be encouraged, an archetypical milieu should be recognized that encompasses all quality programs and focuses on quality preparation that blends practical, professional, and academic knowledge.

Conceptually, one can suggest that three general domains shape educational administration preparation. These are illustrated in Figure 1 with associated constructs: practical, professional, and academic knowledge.

A theory of educational administration preparation curriculum domains.

Practical Knowledge Professional Knowledge Academic Knowledge
Each domain represents body of knowledge within the educational administration curriculum.
Educational administration preparation programs have struggled to determine the appropriate balance between each knowledge domain.
The National Council of Professors of Educational Administration (NCPEA) membership is oriented toward more practical and professional knowledge preparation.
The University Council of Educational Administration (UCEA) membership is oriented toward more professional and academic knowledge preparation

Practical knowledge is the general knowledge that one brings to educational leadership through a lifetime of learning, experience in another professional setting, general training, or general common sense ability. Skills that one might be able to transfer from one setting to another might include, for example, consensus and teambuilding ability, management of personnel, collective negotiation skills, or financial acumen. A person may have skill in developing and maintaining relationships, or understand aspects of educational leadership in the area of law, finance, or community issues because of interest or professional training. Whatever common practical knowledge one brings to the job of educational leader can be found in the training of many professions. This is the kind of knowledge that school boards might find attractive in a leader from another professional setting. One might think

that leadership is leadership and that those individuals who can transfer these skills from one setting to another will find success in educational administration. It is the reason school boards look to retired military leaders as superintendents. The belief is that many leadership skills can be transferred to the educational setting.

Professional knowledge is the accumulation of information an educational leader acquires, for example, about education law, state and federal policies, school board procedures, state funding formulas, how to conduct teacher evaluations, handling discipline procedures for suspension, working with state department officials on revising the state testing program and the like. Knowledge for doing one's administrative job has become more complex under the weight of mandates, societal expectations, parent demands, and student needs. Knowing the professional role, and having the professional knowledge to perform in that role, is the gateway into administration. It is the value added ability one brings to an educational position. It is the craft knowledge that is acquired during one's career and is not easily transferable.

Murphy (2005) described the post World War II orientation of educational administration toward the behavioral sciences as a "clamoring for more scientifically based underpinnings for the profession" (p. 157). This clamoring for a more scientific and academic program reinforced and established the third domain of the Theory of Educational Administration Preparation. The academic domain altered the profession of educational administration at the university level as professors not only established the academic domain as a critical component of the curriculum, but saw their own role, as a professor in the academic community, shifting to emphasize research and scholarship as a professional expectation and requirement. Moore (1964) described the professor of educational administration as:

A new breed of leader in school administration. Typically, he is on the faculty of a multipurpose university which prepares school administrators, he is a student of the behavioral sciences, and he is an interpreter of research applied to educational processes and institutions. (p. 23)

This is an apt description of a professor of educational administration in 1964 and in 2006.

These three domains, then, in very broad terms and over the course of the 20th century, influenced professional preparation through the development of a curriculum that reflected courses taught by professors oriented to one, some, or all of these domains. However, this predominantly umbrella orientation, or as Donmoyer (1999) described it the big tent did not provide an adequate depth to inform the profession about what educational leaders should know and be able to do.

The lack of a recognized knowledge base spanning all three areas troubled both professors and practitioners. A perceived and actual dearth of information about critical knowledge in each domain led to what became the 50 year dialog about the lack of a knowledge base and the weak underpinnings for standards by which to guide programs preparing principals and superintendents. The standards problem has a history going back to 1950 when the Cooperative Program in Educational Administration (CPEA) was formed. During its existence between 1950 and 1960, CPEA struggled for a purpose as UCEA and NCPEA emerged as the primary professional

organizations in the field. However, one can trace early conversations about improving administrator training programs to this short lived organization.

It was at this time that the NCATE approached CPEA with a proposal to study what would become “criteria for the accreditation of graduate programs of study which prepare school administrators” (Moore, 1964, p. 27). As Moore (1964) described the work of this group he noted that, “Perhaps the most significant work of the Committee revolved around the establishment (through political/professional sanctions) of standards for the preparation of school administrators” (p. 27). It is noteworthy as well, to recognize the founding of the UCEA as an outgrowth of the CPEA. The Kellogg Foundation, which had supported CPEA's founding as a consortium of eight elite universities, agreed to extend funding to include an original group of thirty-three universities with the purpose “to improve the training of school administrators, stimulate and coordinate research, and distribute materials resulting from research and training activities” (Campbell, Fleming, Newell, Bennion, 1987, p. 14).

Although one might consider the development of the ISLLC standards a framework and starting point for educational administration curriculum development it was, in actuality, a logical extension of work, and thought, that had gone on for more than thirty years within the field. The overall effect of the ISLLC standards focused on program development and the articulation of what principals should know and be able to do. They also brought some national uniformity to the standards movement. On the whole, the standards addressed preparation at the pre-service level. They were minimal expectations/requirements that established a framework that informed university programs preparing educational leaders at the Master's degree level. Below table reflects these factors.

Practical Knowledge Professional knowledge Academic Knowledge
Educational Administration Standards: Interstate School Leaders Licensure Consortium (ISLLC)
Standards to guide the content of the educational administration preparation program to focus the curriculum circa 2006 until revised per contemporary thinking and practice.
knowledge Base in Educational Administration
the Knowledge base in educational administration is the accumulated practical, professional, and academic knowledge relevant to the preparation of educational leaders. The field draws particularly from behavioral science (i.e., political science, sociology, psychology, anthropology, history, and economics) and business management.

Table 3.1: Educational adminidtration preparation to guide curriculum development

One must keep in mind that the ISLLC standards are a snap-shot of an era and must continue to be revised to reflect contemporary thinking as school, society, and education evolve and change. They are limited in their scope to reflect and not define the complete knowledge base of educational administration. They address what the profession considers to be entry level skills, abilities, and knowledge. They do not encompass the entire knowledge base and do not address, in depth, areas that one expects to find in a specialist or doctoral degree.

The Interstate School Leaders Licensure Consortium (ISLLC) standards moved educational administration preparation to consider contemporary ideas about leadership and learning. As Murphy (2005) stated, "(T)he objective of the ISLLC has been to yoke the Standards to important leverage points for change. The goal has been to generate the critical support necessary to move school administration out of its 100-year orbit and then to reposition the profession around leadership for learning" (p. 180). These standards are applied (enforced some would say) on preparation programs through state and national accreditation programs.

The ISLLC standards focused educational administration preparation at the master's degree level and gave programs a lens to view the curriculum for pre-service content. The other side of the argument is that they dumbed down the curriculum and reduced the educational administration program to a narrow interpretation of the knowledge base. More damning to English (2005) is that the ISLLC standards have no grounding in research to validate what they guide principals to know and do. One must take the view that having these standards was the culmination of a long march by the field to better frame what principals should know and be able to do. Although many might disagree over which standards are more or less important, it is clear that standards helped provide clarity for professors of educational administration as they planned programs and individual lessons.

The lack of a knowledge base in educational administration has created consternation for fifty years. The development of ISLLC standards and subsequent dissemination through accreditation by NCATE quieted the knowledge base discussion but did not displace the question of need or the importance of accessing knowledge within the field. As Creighton and Young (2005) stated, "The problem is not so much an absence of a KB, but more that it is incomplete and unorganized, existing in a hodgepodge of textbooks and education journals, and of limited access. What is needed now is the assembly of the KB in one central location, authored by and representative of all professors and practitioners (and other educators), and freely accessible in several languages to all in the world" (p. 136).

Summary

The preparation of school leaders has had a long history: a history entwined, unfortunately, with sharp criticism. Over time, preparation programs have been called upon to answer this criticism and restructure in ways that capture more than one perspective in program delivery. Three perspectives seem to have emerged from the historical background: Practical Knowledge from our earliest beginnings, Professional Knowledge as the field emerged, and Academic Knowledge reflective of university scholarship demands in more recent time. These are all legitimate concerns and should be addressed in a curriculum that is adequate for students by addressing

general topics, but topics that have specific content substance. Even the standards movement is reflective of the need to integrate these three perspectives in our programs. We must become more proactive in improving our individual preparation programs and responding to criticism. We are the professionals and the programs we deliver should reflect our understanding of the knowledge base. We only have to have the will. Does our profession have the will?

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Chapter 4 Theories of Educational Management



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Fig. 4.1: NCPEA

note: This module has been peer-reviewed, accepted, and sanctioned by the National Council of the Professors of Educational Administration (NCPEA) as a scholarly contribution to the knowledge base in educational administration.

The process of deciding on the aims of the organization is at the heart of educational management. In some settings, aims are decided by the principal, often working in association with senior colleagues and perhaps a small group of lay stakeholders. In many schools, however, goal setting is a corporate activity undertaken by formal bodies or informal groups.

School aims are strongly influenced by pressures from the external environment. Many countries have a national curriculum and these often leave little scope for schools to decide their own educational aims. Institutions may be left with the residual task of interpreting external imperatives rather than determining aims on the basis of their own assessment of student need. The key issue here is the extent to which school managers are able to modify government policy and develop alternative approaches based on school-level values and vision. Do they have to follow the script, or can they ad lib?

4.1 Distinguishing Educational Leadership and Management



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The concept of management overlaps with two similar terms, leadership and administration. “Management” is widely used in Britain, Europe, and Africa, for example, while “administration” is preferred in the United States, Canada, and Australia. “Leadership” is of great contemporary interest in most countries in the developed World. Dimmock (1999) differentiates these concepts whilst also acknowledging that there are competing definitions:

School leaders [experience] tensions between competing elements of leadership, management and administration. Irrespective of how these terms are defined, school leaders experience difficulty in deciding the balance between higher order tasks designed to improve staff, student and school performance (leadership), routine maintenance of present operations (management) and lower order duties (administration). (p. 442)

Administration is not associated with “lower order duties” in the U.S. but may be seen as the overarching term, which embraces both leadership and management. Cuban (1988) provides one of the clearest distinctions between leadership and management.

By leadership, I mean influencing others actions in achieving desirable ends Managing is maintaining efficiently and effectively current organisational arrangements I prize both managing and leading and attach no special value to either since different settings and times call for varied responses.

Leadership and management need to be given equal prominence if schools are to operate effectively and achieve their objectives. “Leading and managing are distinct, but both are important The challenge of modern organisations requires the objective perspective of the manager as well as the “ashes of vision and commitment wise leadership provides” (Bolman & Deal, 1997, p. xiii-xiv).

The English National College for School Leadership.

The contemporary emphasis on leadership rather than management is illustrated starkly by the opening of the English National College for School Leadership (NCSL) in November 2000. NCSL’s stress on leadership has led to a neglect of management. Visionary and inspirational leadership are advocated but much less attention is given to the structures and processes required to implement these ideas successfully. A fuller discussion of the NCSL may be found in Bush (2006).

4.1.1 The Significance of the Educational Context



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Educational management as a field of study and practice was derived from management principles first applied to industry and commerce, mainly in the United States. Theory development largely involved the application of industrial models to educational settings. As the subject became established as an academic field in its own right, its theorists and practitioners began to develop alternative models based on their observation of, and experience in, schools and colleges. By the 21st century the main theories, featured in this chapter, have either been developed in the educational context or have been adapted from industrial models to meet the specific requirements of schools and colleges. Educational management has progressed from being a new field dependent upon ideas developed in other settings to become an established field with its own theories and research.

4.2 Conceptualising Educational Management



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Leadership and management are often regarded as essentially practical activities. Practitioners and policy-makers tend to be dismissive of theories and concepts for their alleged remoteness from the “real” school situation. Willower (1980, p. 2), for example, asserts that “the application of theories by practicing administrators [is] a difficult and problematic undertaking. Indeed, it is clear that theories are simply not used very much in the realm of practice.” This comment suggests that theory and practice are regarded as separate aspects of educational leadership and management. Academics develop and refine theory while managers engage in practice. In short, there is a theory/ practice divide, or “gap” (English, 2002):

The theory-practice gap stands as the Gordian Knot of educational administration. Rather than be cut, it has become a permanent fixture of the landscape because it is embedded in the way we construct theories for use . . . The theory-practice gap will be removed when we construct different and better theories that predict the effects of practice. (p. 1, 3)

4.3 The Relevance of Theory to Good Practice



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If practitioners shun theory then they must rely on experience as a guide to action. In deciding on their response to a problem they draw on a range of options suggested by previous experience with that type of issue. However, “it is wishful thinking to assume that experience alone will teach leaders everything they need to know” (Copland et al, 2002, p. 75).

Teachers sometimes explain their decisions as just “common sense.” However, such apparently pragmatic decisions are often based on implicit theories. When a teacher or a manager takes a decision it reflects in part that person's view of the organization. Such views or preconceptions are coloured by experience and by the attitudes engendered by that experience. These attitudes take on the character of frames of reference or theories, which inevitably influence the decision-making process.

Theory serves to provide a rationale for decision-making. Managerial activity is enhanced by an explicit awareness of the theoretical framework underpinning practice in educational institutions. There are three main arguments to support the view that managers have much to learn from an appreciation of theory, providing that it is grounded firmly (Glaser & Strauss, 1967) in the realities of practice:

1. Reliance on facts as the sole guide to action is unsatisfactory because all evidence requires interpretation. Theory provides “mental models” (Leithwood et al, 1999, p. 75) to help in understanding the nature and effects of practice.

2. Dependence on personal experience in interpreting facts and making decisions is narrow because it discards the knowledge of others. Familiarity with the arguments and insights of theorists enables the practitioner to deploy a wide range of experience and understanding in resolving the problems of today. An understanding of theory also helps reduce the likelihood of mistakes occurring while experience is being acquired.
3. Experience may be particularly unhelpful as the sole guide to action when the practitioner begins to operate in a different context. Organizational variables may mean that practice in one school or college has little relevance in the new environment. A broader awareness of theory and practice may be valuable as the manager attempts to interpret behaviour in the fresh situation.

Of course, theory is useful only so long as it has relevance to practice in education. Hoyle (1986) distinguishes between theory-for-understanding and theory-for-practice. While both are potentially valuable, the latter is more significant for managers in education. The relevance of theory should be judged by the extent to which it informs managerial action and contributes to the resolution of practical problems in schools and colleges.

4.3.1 The Nature of Theory



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There is no single all-embracing theory of educational management. In part this reflects the astonishing diversity of educational institutions, ranging from small rural elementary schools to very large universities and colleges. It relates also to the varied nature of the problems encountered in schools and colleges, which require different approaches and solutions. Above all, it reflects the multifaceted nature of theory in education and the social sciences: "Students of educational management who turn to organisational theory for guidance in their attempt to understand and manage educational institutions will not find a single, universally applicable theory but a multiplicity of theoretical approaches each jealously guarded by a particular epistemic community" (Ribbins, 1985, p. 223).

The existence of several different perspectives creates what Bolman and Deal (1997, p. 11) describe as "conceptual pluralism: a jangling discord of multiple voices." Each theory has something to offer in explaining behaviour and events in educational institutions. The perspectives favoured by managers, explicitly or implicitly, inevitably influence or determine decision-making.

Griffiths (1997) provides strong arguments to underpin his advocacy of "theoretical pluralism." "The basic idea is that all problems cannot be studied fruitfully using a single theory. Some problems are large and complex and no single theory is capable of encompassing them, while others, although seemingly simple and straightforward, can be better understood through the use of multiple theories . . . particular theories are appropriate to certain problems, but not others" (Griffiths, 1997, p. 372).

4.3.2 The Characteristics of Theory



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Most theories of educational leadership and management possess three major characteristics:

1. Theories tend to be normative in that they reflect beliefs about the nature of educational institutions and the behaviour of individuals within them. Simkins (1999) stresses the importance of distinguishing between descriptive and normative uses of theory. "This is a distinction which is often not clearly made. The former are those which attempt to describe the nature of organisations and how they work and, sometimes, to explain why they are as they are. The latter, in contrast, attempt to prescribe how organisations should or might be managed to achieve particular outcomes more effectively" (p. 270).
2. Theories tend to be selective or partial in that they emphasize certain aspects of the institution at the expense of other elements. The espousal of one theoretical model leads to the neglect of other approaches. Schools and colleges are arguably too complex to be capable of analysis through a single dimension.
3. Theories of educational management are often based on, or supported by, observation of practice in educational institutions. English (2002, p. 1) says that observation may be used in two ways. First, observation may be followed by the development of concepts, which then become theoretical frames. Such perspectives based on data from systematic observation are sometimes called "grounded theory." Because such approaches are derived from empirical inquiry in schools and colleges, they are more likely to be perceived as relevant by practitioners. Secondly, researchers may use a specific theoretical frame to select concepts to be tested through observation. The research is then used to "prove" or "verify" the efficacy of the theory (English, 2002, p. 1).

Models of Educational Management: An Introduction

Several writers have chosen to present theories in distinct groups or bundles but they differ in the models chosen, the emphasis given to particular approaches and the terminology used to describe them. Two of the best known frameworks are those by Bolman and Deal (1997) and Morgan (1997).

In this chapter, the main theories are classified into six major models of educational management (Bush, 2003). All these models are given significant attention in the literature of educational management and have been subject to a degree of empirical verification. Table 1 shows the six models and links them to parallel leadership models. The links between management and leadership models are given extended treatment in Bush (2003).

Management model	Leadership model
Formal	Managerial
Collegial	Participative
Political	Transactional
Subjective	Post-modern
Ambiguity	Contingency
Cultural	Moral

Table 4.1: Typology of management and leadership models (adapted from Bush and Glover 2002)

Formal Models

Formal model is an umbrella term used to embrace a number of similar but not identical approaches. The title "formal" is used because these theories emphasize the official and structural elements of organizations:

Formal models assume that organisations are hierarchical systems in which managers use rational means to pursue agreed goals. Heads possess authority legitimised by their formal positions within the organisation and are accountable to sponsoring bodies for the activities of their organisation (Bush, 2003, p. 37).

This model has seven major features:

1. They tend to treat organizations as systems. A system comprises elements that have clear organisational links with each other. Within schools, for example, departments and other sub-units are systemically related to each other and to the institution itself.
2. Formal models give prominence to the official structure of the organization. Formal structures are often represented by organization charts, which show the authorized pattern of relationships between members of the institution.
3. In formal models the official structures of the organization tend to be hierarchical. Teachers are responsible to department chairs who, in turn, are answerable to principals for the activities of their departments. The hierarchy thus represents a means of control for leaders over their staff.
4. All formal approaches typify schools as goal-seeking organizations. The institution is thought to have official purposes, which are accepted and pursued by members of the organization. Increasingly, goals are set within a broader vision of a preferred future for the school (Beare, Caldwell, & Millikan, 1989).
5. Formal models assume that managerial decisions are made through a rational process. Typically, all the options are considered and evaluated in terms of the goals of the organization. The most suitable alternative is then selected to enable those objectives to be pursued.

6. Formal approaches present the authority of leaders as a product of their official positions within the organization. Principals' power is positional and is sustained only while they continue to hold their posts.

In formal models there is an emphasis on the accountability of the organization to its sponsoring body. Most schools remain responsible to the school district. In many centralised systems, school principals are accountable to national or state governments. In decentralised systems, principals are answerable to their governing boards.

(Adapted from Bush, 2003, p. 37-38).

These seven basic features are present to a greater or lesser degree in each of the individual theories, which together comprise the formal models. These are:

- structural models;
- systems models;
- bureaucratic models;
- rational models;
- hierarchical models.

A full discussion of each of these sub-models appears in Bush (2003).

4.4 Managerial Leadership



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The type of leadership most closely associated with formal models is “managerial.”

Managerial leadership assumes that the focus of leaders ought to be on functions, tasks and behaviours and that if these functions are carried out competently the work of others in the organisation will be facilitated. Most approaches to managerial leadership also assume that the behaviour of organisational members is largely rational. Authority and influence are allocated to formal positions in proportion to the status of those positions in the organisational hierarchy. (Leithwood et al, 1999, p. 14)

Dressler's (2001) review of leadership in Charter schools in the United States shows the significance of managerial leadership: “Traditionally, the principal's role has been clearly focused on management responsibilities”(p. 175). Managerial leadership is focused on managing existing activities successfully rather than visioning a better future for the school.

4.4.1 The Limitations of Formal Models



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The various formal models pervade much of the literature on educational management.

They are normative approaches in that they present ideas about how people in organizations ought to behave. Levacic et al (1999) argue that these assumptions underpin the educational reforms of the 1990s, notably in England:

A major development in educational management in the last decade has been much greater emphasis on defining effective leadership by individuals in management posts in terms of the effectiveness of their organisation, which is increasingly judged in relation to measurable outcomes for students . . . This is argued to require a rational-technicist approach to the structuring of decision-making. (p. 15)

There are five specific weaknesses associated with formal models:

1. It may be unrealistic to characterize schools and colleges as goal-oriented organizations. It is often difficult to ascertain the goals of educational institutions. Formal objectives may have little operational relevance because they are often vague and general, because there may be many different goals competing for resources, and because goals may emanate from individuals and groups as well as from the leaders of the organisation. Even where the purposes of schools and colleges have been clarified, there are further problems in judging whether objectives have been achieved. Policy-makers and practitioners often rely on examination performance to assess schools but this is only one dimension of the educational process.
2. The portrayal of decision-making as a rational process is fraught with difficulties. The belief that managerial action is preceded by a process of evaluation of alternatives and a considered choice of the most appropriate option is rarely substantiated. Much human behaviour is irrational and this inevitably influences the nature of decision-making in education. Weick (1976, p. 1), for example, asserts that rational practice is the exception rather than the norm.
3. Formal models focus on the organization as an entity and ignore or underestimate the contribution of individuals. They assume that people occupy preordained positions in the structure and that their behaviour reflects their organizational positions rather than their individual qualities and experience. Greenfield (1973) has been particularly critical of this view (see the discussion of subjective models, below). Samier (2002, p. 40) adopts a similar approach, expressing concern "about the role technical rationality plays in crippling the personality of the bureaucrat, reducing him [sic] to a cog in a machine."
4. A central assumption of formal models is that power resides at the apex of the pyramid. Principals possess authority by virtue of their positions as the appointed leaders of their institutions. This focus on official authority leads to a view of institutional management which is essentially top down. Policy is laid down by senior managers and implemented by staff lower down the hierarchy. Their acceptance of managerial decisions is regarded as unproblematic. Organizations with large numbers of professional staff tend to exhibit signs of tension between the conflicting demands of professionalism and the hierarchy. Formal models assume that leaders, because they are appointed on merit, have the competence to issue appropriate instructions to subordinates. Professional organizations have a different ethos with expertise distributed widely within the institution. This may come into conflict with professional authority.

5. Formal approaches are based on the implicit assumption that organizations are relatively stable. Individuals may come and go but they slot into predetermined positions in a static structure. "Organisations operating in simpler and more stable environments are likely to employ less complex and more centralised structures, with authority, rules and policies as the primary vehicles for coordinating the work" (Bolman & Deal, 1997, p. 77). Assumptions of stability are unrealistic in contemporary schools. March and Olsen (1976, p.21) are right to claim that "Individuals find themselves in a more complex, less stable and less understood world than that described by standard theories of organisational choice."

4.4.2 Are Formal Models Still Valid?



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These criticisms of formal models suggest that they have serious limitations. The dominance of the hierarchy is compromised by the expertise possessed by professional staff. The supposed rationality of the decision-making process requires modification to allow for the pace and complexity of change. The concept of organizational goals is challenged by those who point to the existence of multiple objectives in education and the possible conflict between goals held at individual, departmental and institutional levels. "Rationalistic-bureaucratic notions . . . have largely proven to be sterile and to have little application to administrative practice in the "real world" (Owens & Shakeshaft, 1992, p. 4)

Despite these limitations, it would be inappropriate to dismiss formal approaches as irrelevant to schools and colleges. The other models discussed in this chapter were all developed as a reaction to the perceived weaknesses of formal theories. However, these alternative perspectives have not succeeded in dislodging the formal models, which remain valid as partial descriptions of organization and management in education. Owens and Shakeshaft (1992) refer to a reduction of confidence in bureaucratic models, and a "paradigm shift" to a more sophisticated analysis, but formal models still have much to contribute to our understanding of schools as organisations.

Collegial Models

4.4.3 Central Features of Collegial Models



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Collegial models include all those theories that emphasize that power and decision-making should be shared among some or all members of the organization (Bush, 2003):

Collegial models assume that organizations determine policy and make decisions through a process of discussion leading to consensus. Power is shared among some

or all members of the organization who are thought to have a shared understanding about the aims of the institution. (p. 64)

Brundrett (1998) says that “collegiality can broadly be defined as teachers conferring and collaborating with other teachers” (p. 305). Little (1990) explains that “the reason to pursue the study and practice of collegiality is that, presumably, something is gained when teachers work together and something is lost when they do not” (p. 166).

Collegial models have the following major features:

1. They are strongly normative in orientation. “The advocacy of collegiality is made more on the basis of prescription than on research-based studies of school practice” (Webb & Vulliamy, 1996, p. 443).
2. Collegial models seem to be particularly appropriate for organizations such as schools and colleges that have significant numbers of professional staff. Teachers have an authority of expertise that contrasts with the positional authority associated with formal models. Teachers require a measure of autonomy in the classroom but also need to collaborate to ensure a coherent approach to teaching and learning (Brundrett, 1998, p. 307). Collegial models assume that professionals also have a right to share in the wider decision-making process. Shared decisions are likely to be better informed and are also much more likely to be implemented effectively.
3. Collegial models assume a common set of values held by members of the organization. These common values guide the managerial activities of the organization and are thought to lead to shared educational objectives. The common values of professionals form part of the justification for the optimistic assumption that it is always possible to reach agreement about goals and policies. Brundrett (1998, p. 308) goes further in referring to the importance of “shared vision” as a basis for collegial decision-making.
4. The size of decision-making groups is an important element in collegial management. They have to be sufficiently small to enable everyone to be heard. This may mean that collegiality works better in elementary schools, or in sub-units, than at the institutional level in secondary schools. Meetings of the whole staff may operate collegially in small schools but may be suitable only for information exchange in larger institutions. The collegial model deals with this problem of scale by building-in the assumption that teachers have formal representation within the various decision-making bodies. The democratic element of formal representation rests on the allegiance owed by participants to their constituencies (Bush, 2003, p. 67).
5. Collegial models assume that decisions are reached by consensus. The belief that there are common values and shared objectives leads to the view that it is both desirable and possible to resolve problems by agreement. The decision-making process may be elongated by the search for compromise but this is regarded as an acceptable price to pay to maintain the aura of shared values and beliefs. The case for consensual decision-making rests in part on the ethical dimension of collegiality. Imposing decisions on staff is considered morally repugnant, and inconsistent with the notion of consent.

(Bush, 2003, p. 65-67)

4.4.4 Participative Leadership



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Because policy is determined within a participative framework, the principal is expected to adopt participative leadership strategies. Heroic models of leadership are inappropriate when influence and power are widely distributed within the institution. "The collegial leader is at most a "first among equals" in an academic organisation supposedly run by professional experts . . . the collegial leader is not so much a star standing alone as the developer of consensus among the professionals who must share the burden of the decision." (Baldrige et al, 1978, p. 45)

While transformational leadership is consistent with the collegial model, in that it assumes that leaders and staff have shared values and common interests (Bush, 2003, p. 76), the leadership model most relevant to collegiality is "participative leadership," which "assumes that the decision-making processes of the group ought to be the central focus of the group" (Leithwood et al, 1999, p. 12). This is a normative model, underpinned by three criteria (Leithwood et al, 1999):

- Participation will increase school effectiveness.
- Participation is justified by democratic principles.
- Leadership is potentially available to any legitimate stakeholder. (p. 12)

Sergiovanni (1984) claims that a participative approach succeeds in "bonding" staff together and in easing the pressures on school principals. "The burdens of leadership will be less if leadership functions and roles are shared and if the concept of leadership density were to emerge as a viable replacement for principal leadership" (p. 13).

4.4.5 Limitations of Collegial Models



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Collegial models have been popular in the academic and official literature on educational management since the 1980s. However, their critics point to a number of limitations:

1. Collegial models are so strongly normative that they tend to obscure rather than portray reality. Precepts about the most appropriate ways of managing educational institutions mingle with descriptions of behaviour. While collegiality is increasingly advocated, the evidence of its presence in schools and colleges tends to be sketchy and incomplete. "The collegial literature often confuses descriptive and normative enterprises . . . The collegial idea of round table decision making does not accurately reflect the actual processes in most institutions" (Baldrige et al, 1978, p. 33).

2. Collegial approaches to decision-making tend to be slow and cumbersome. When policy proposals require the approval of a series of committees, the process is often tortuous and time consuming. Participants may have to endure many lengthy meetings before issues are resolved. This requires patience and a considerable investment of time. Several English primary school heads interviewed by Webb and Vulliamy (1996) refer to the time-consuming nature of meetings where “the discussion phase seemed to go on and on” (p. 445) and “I felt we weren't getting anywhere” (p. 446).
3. A fundamental assumption of democratic models is that decisions are reached by consensus. It is believed that the outcome of debate should be agreement based on the shared values of participants. In practice, though, teachers have their own views and may also represent constituencies within the school or college. Inevitably these sectional interests have a significant influence on committees' processes. The participatory framework may become the focal point for disagreement between factions.
4. Collegial models have to be evaluated in relation to the special features of educational institutions. The participative aspects of decision-making exist alongside the structural and bureaucratic components of schools and colleges. Often there is tension between these rather different modes of management. The participative element rests on the authority of expertise possessed by professional staff but this rarely trumps the positional authority of official leaders or the formal power of external bodies. Brundrett (1998) claims that “collegiality is inevitably the handmaiden of an ever increasingly centralised bureaucracy” (p. 313)
5. Collegial approaches to school and college decision-making may be difficult to sustain because principals remain accountable to various external groups. They may experience considerable difficulty in defending policies that have emerged from a collegial process but do not enjoy their personal support. Brundrett (1998) is right to argue that “heads need to be genuinely brave to lend power to a democratic forum which may make decisions with which the head teacher may not themselves agree” (p. 310).
6. The effectiveness of a collegial system depends in part on the attitudes of staff. If they actively support participation then it may succeed. If they display apathy or hostility, it seems certain to fail. Wallace (1989) argues that teachers may not welcome collegiality because they are disinclined to accept any authority intermediate between themselves and the principal.
7. Collegial processes in schools depend even more on the attitudes of principals than on the support of teachers. Participative machinery can be established only with the support of the principal, who has the legal authority to manage the school. Hoyle (1986) concludes that its dependence on the principal's support limits the validity of the collegiality model.

4.4.5.1 Contrived Collegiality



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Hargreaves (1994) makes a more fundamental criticism of collegiality, arguing that it is being espoused or “contrived” by official groups in order to secure the implementation of national or state policy. Contrived collegiality has the following features (Hargreaves, 1994):

- Administratively regulated rather than spontaneous.
- Compulsory rather than discretionary.
- Geared to the implementation of the mandates of government or the principal.
- Fixed in time and place.
- Designed to have predictable outcomes. (p. 195-196)

Webb and Vulliamy (1996) argue that collegial frameworks may be used for essentially political activity, the focus of the next section of this chapter (Webb & Vulliamy, 1996):

The current climate . . . encourages head teachers to be powerful and, if necessary, manipulative leaders in order to ensure that policies and practices agreed upon are ones that they can wholeheartedly support and defend. (p. 448)

4.4.6 Is Collegiality an Unattainable Ideal?



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Collegial models contribute several important concepts to the theory of educational management. Participative approaches are a necessary antidote to the rigid hierarchical assumptions of the formal models. However, collegial perspectives underestimate the official authority of the principal and present bland assumptions of consensus, which often cannot be substantiated. Little (1990) following substantial research in the United States, concludes that collegiality “turns out to be rare” (p.187). Collegiality is an elusive ideal but a measure of participation is essential if schools are to be harmonious and creative organisations.

Political Models

4.4.7 Central Features of Political Models



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Political models embrace those theories that characterize decision-making as a bargaining process. Analysis focuses on the distribution of power and influence in organizations and on the bargaining and negotiation between interest groups. Conflict is regarded as endemic within organizations and management is directed towards the regulation of political behaviour (Bush, 2003):

Political models assume that in organizations policy and decisions emerge through a process of negotiation and bargaining. Interest groups develop and form alliances in pursuit of particular policy objectives. Conflict is viewed as a natural phenomenon and power accrues to dominant coalitions rather than being the preserve of formal leaders. (p. 89)

Baldrige's (1971) research in universities in the U.S. led him to conclude that the political model, rather than the formal or collegial perspectives, best captured the realities of life in higher education.

Political models have the following major features:

1. They tend to focus on group activity rather than the institution as a whole. Ball (1987) refers to "baronial politics" (p. 221) and discusses the nature of conflict between the leaders of subgroups. He adds that conflict between "barons" is primarily about resources and power.
2. Political models are concerned with interests and interest groups. Individuals are thought to have a variety of interests that they pursue within the organization. In talking about "interests," we are talking about pre-dispositions embracing goals, values, desires, expectations, and other orientations and inclinations that lead a person to act in one way rather than another (Morgan, 1997, p. 61).
3. Political models stress the prevalence of conflict in organizations. Interest groups pursue their independent objectives, which may contrast sharply with the aims of other subunits within the institution and lead to conflict between them. "Conflict will always be present in organisations . . . its source rests in some perceived or real divergence of interests" (Morgan, 1997, p. 167).
4. Political models assume that the goals of organizations are unstable, ambiguous and contested. Individuals, interest groups and coalitions have their own purposes and act towards their achievement. Goals may be disputed and then become a significant element in the conflict between groups (Bolman & Deal, 1991): The political frame . . . insists that organizational goals are set through negotiations among the members of coalitions. Different individuals and groups have different objectives and resources, and each attempt to bargain with other members or coalitions to influence goals and decision-making process. (p. 190)
5. As noted above, decisions within political arenas emerge after a complex process of bargaining and negotiation. "Organisational goals and decisions emerge from ongoing processes of bargaining, negotiation, and jockeying for position among members of different coalitions" (Bolman & Deal, 1991, p. 186).
6. The concept of power is central to all political theories. The outcomes of the complex decision-making process are likely to be determined according to the relative power of the individuals and interest groups involved in the debate. "Power is the medium through which conflicts of interest are ultimately resolved. Power influences who gets what, when and how . . . the sources of power are rich and varied" (Morgan, 1997, p. 170-171).

Sources of Power in Education

Power may be regarded as the ability to determine the behaviour of others or to decide the outcome of conflict. Where there is disagreement it is likely to be resolved according to the relative resources of power available to the participants. There are

many sources of power but in broad terms a distinction can be made between authority and influence. Authority is legitimate power, which is vested in leaders within formal organizations. Influence depends on personal characteristics and expertise.

There are six significant forms of power relevant to schools and colleges:

1. **Positional power.** A major source of power in any organization is that accruing to individuals who hold an official position in the institution. Handy (1993, p. 128) says that positional power is “legal” or “legitimate” power. In schools, the principal is regarded as the legitimate leader and possesses legal authority.
2. **Authority of expertise.** In professional organizations there is a significant reservoir of power available to those who possess appropriate expertise. Teachers, for example, have specialist knowledge of aspects of the curriculum. “The expert . . . often carries an aura of authority and power that can add considerable weight to a decision that rests in the balance” (Morgan, 1997, p. 181).
3. **Personal power.** Individuals who are charismatic or possess verbal skills or certain other characteristics may be able to exercise personal power. These personal skills are independent of the power accruing to individuals by virtue of their position in the organization (Bolman & Deal, 1991).
4. **Control of rewards.** Power is likely to be possessed to a significant degree by individuals who have control of rewards. In education, rewards may include promotion, good references, and allocation to favoured classes or groups. Individuals who control or influence the allocation of these benefits may be able to determine the behaviour of teachers who seek one or more of the rewards.
5. **Coercive power.** The mirror image of the control of rewards may be coercive power. This implies the ability to enforce compliance, backed by the threat of sanctions. “Coercive power rests on the ability to constrain, to block, to interfere, or to punish” (Bolman & Deal, 1991, p. 196).

Control of resources. Control of the distribution of resources may be an important source of power in educational institutions, particularly in self-managing schools. Decisions about the allocation of resources are likely to be among the most significant aspects of the policy process in such organisations. Control of these resources may give power over those people who wish to acquire them.

Consideration of all these sources of power leads to the conclusion that principals possess substantial resources of authority and influence. However, they do not have absolute power. Other leaders and teachers also have power, arising principally from their personal qualities and expertise. These other sources of power may act as a counter-balance to the principal's positional authority and control of rewards.

4.4.7.1 Transactional Leadership



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The leadership model most closely aligned with political models is that of transactional leadership. “Transactional leadership is leadership in which relationships with teachers are based upon an exchange for some valued resource. To the teacher,

interaction between administrators and teachers is usually episodic, short-lived and limited to the exchange transaction" (Miller & Miller, 2001, p. 182).

This exchange process is an established political strategy. As we noted earlier, principals hold power in the form of key rewards such as promotion and references. However, they require the co-operation of staff to secure the effective management of the school. An exchange may secure benefits for both parties to the arrangement. The major limitation of such a process is that it does not engage staff beyond the immediate gains arising from the transaction. Transactional leadership does not produce long-term commitment to the values and vision promoted by school leaders.

The Limitations of Political Models

Political models are primarily descriptive and analytical. The focus on interests, conflict between groups, and power provides a valid and persuasive interpretation of the decision-making process in schools. However, these theories do have four major limitations:

1. Political models are immersed so strongly in the language of power, conflict and manipulation that they neglect other standard aspects of organizations. There is little recognition that most organizations operate for much of the time according to routine bureaucratic procedures. The focus is heavily on policy formulation while the implementation of policy receives little attention. The outcomes of bargaining and negotiation are endorsed, or may falter, within the formal authority structure of the school or college.
2. Political models stress the influence of interest groups on decision-making. The assumption is that organizations are fragmented into groups, which pursue their own independent goals. This aspect of political models may be inappropriate for elementary schools, which may not have the apparatus for political activity. The institutional level may be the center of attention for staff in these schools, invalidating the political model's emphasis on interest group fragmentation.
3. In political models there is too much emphasis on conflict and a neglect of the possibility of professional collaboration leading to agreed outcomes. The assumption that teachers are engaged in a calculated pursuit of their own interests underestimates the capacity of teachers to work in harmony with colleagues for the benefit of their pupils and students.
4. Political models are regarded primarily as descriptive or explanatory theories. Their advocates claim that these approaches are realistic portrayals of the decision-making process in schools and colleges. There is no suggestion that teachers should pursue their own self-interest, simply an assessment, based on observation, that their behaviour is consistent with a political perspective. Nevertheless, the less attractive aspects of political models may make them unacceptable to many educationists for ethical reasons.

4.4.8 Are Political Models Valid?



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Political models provide rich descriptions and persuasive analysis of events and behaviour in schools and colleges. The explicit recognition of interests as prime motivators for action is valid, as are the concepts of conflict and power. For many teachers and school leaders, political models fit their experience of day-to-day reality in schools. Lindle (1999), a school administrator in the United States, argues that it is a pervasive feature of schools.

Subjective Models

4.4.9 Central Features of Subjective Models



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Subjective models focus on individuals within organizations rather than the total institution or its subunits. These perspectives suggest that each person has a subjective and selective perception of the organization. Events and situations have different meanings for the various participants in institutions. Organizations are portrayed as complex units, which reflect the numerous meanings and perceptions of all the people within them. Organizations are social constructions in the sense that they emerge from the interaction of their participants. They are manifestations of the values and beliefs of individuals rather than the concrete realities presented in formal models (Bush, 2003):

Subjective models assume that organizations are the creations of the people within them. Participants are thought to interpret situations in different ways and these individual perceptions are derived from their background and values. Organizations have different meanings for each of their members and exist only in the experience of those members. (p. 113)

Subjective models became prominent in educational management as a result of the work of Thomas Greenfield in the 1970s and 1980s. Greenfield was concerned about several aspects of systems theory, which he regarded as the dominant model of educational organizations. He argues that systems theory is “bad theory” and criticizes its focus on the institution as a concrete reality (Greenfield, 1973):

Most theories of organisation grossly simplify the nature of the reality with which they deal. The drive to see the organisation as a single kind of entity with a life of its own apart from the perceptions and beliefs of those involved in it blinds us to its complexity and the variety of organisations people create around themselves. (p. 571)

Subjective models have the following major features:

1. They focus on the beliefs and perceptions of individual members of organizations rather than the institutional level or interest groups. The focus on individuals rather than the organization is a fundamental difference between subjective and

formal models, and creates what Hodgkinson (1993) regards as an unbridgeable divide. "A fact can never entail a value, and an individual can never become a collective" (p. xii).

2. Subjective models are concerned with the meanings placed on events by people within organizations. The focus is on the individual interpretation of behaviour rather than the situations and actions themselves. "Events and meanings are loosely coupled: the same events can have very different meanings for different people because of differences in the schema that they use to interpret their experience" (Bolman & Deal, 1991, p. 244).
3. The different meanings placed on situations by the various participants are products of their values, background and experience. So the interpretation of events depends on the beliefs held by each member of the organization. Greenfield (1979) asserts that formal theories make the mistake of treating the meanings of leaders as if they were the objective realities of the organization. "Too frequently in the past, organisation and administrative theory has . . . taken sides in the ideological battles of social process and presented as `theory'" (p. 103), the views of a dominating set of values, the views of rulers, elites, and their administrators.
4. Subjective models treat structure as a product of human interaction rather than something that is fixed or predetermined. The organization charts, which are characteristic of formal models, are regarded as fictions in that they cannot predict the behaviour of individuals. Subjective approaches move the emphasis away from structure towards a consideration of behaviour and process. Individual behaviour is thought to reflect the personal qualities and aspirations of the participants rather than the formal roles they occupy. "Organisations exist to serve human needs, rather than the reverse" (Bolman & Deal, 1991, p. 121).
5. Subjective approaches emphasize the significance of individual purposes and deny the existence of organizational goals. Greenfield (1973) asks "What is an organisation that it can have such a thing as a goal?" (p. 553). The view that organizations are simply the product of the interaction of their members leads naturally to the assumption that objectives are individual, not organizational (Bush, 2003, p. 114-118).

4.4.10 Subjective Models and Qualitative Research



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The theoretical dialectic between formal and subjective models is reflected in the debate about positivism and interpretivism in educational research. Subjective models relate to a mode of research that is predominantly interpretive or qualitative. This approach to enquiry is based on the subjective experience of individuals. The main aim is to seek understanding of the ways in which individuals create, modify and interpret the social world which they inhabit.

The main features of interpretive, or qualitative, research echo those of the subjective models:

1. They focus on the perceptions of individuals rather than the whole organisation. The subject's individual perspective is central to qualitative research (Morrison, 2002, p. 19).
2. Interpretive research is concerned with the meanings, or interpretations, placed on events by participants. "All human life is experienced and constructed from a subjective perspective" (Morrison, 2002, p. 19).
3. Research findings are interpreted using "grounded" theory. "Theory is emergent and must arise from particular situations; it should be "grounded" on data generated by the research act. Theory should not proceed research but follow it" (Cohen et al, 2000, p. 23).

4.4.11 Postmodern Leadership



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Subjective theorists prefer to stress the personal qualities of individuals rather than their official positions in the organization. The subjective view is that leadership is a product of personal qualities and skills and not simply an automatic outcome of official authority.

The notion of post-modern leadership aligns closely with the principles of subjective models. Keough and Tobin (2001, p. 2) say that "current postmodern culture celebrates the multiplicity of subjective truths as defined by experience and revels in the loss of absolute authority." They identify several key features of postmodernism (Keough & Tobin, 2001):

- Language does not reflect reality.
- Reality does not exist; there are multiple realities.
- Any situation is open to multiple interpretations.
- Situations must be understood at local level with particular attention to diversity.

(p. 11-13)

Sackney and Mitchell (2001) stress the centrality of individual interpretation of events while also criticising visionary leadership. "Leaders must pay attention to the cultural and symbolic structure of meaning construed by individuals and groups . . . postmodern theories of leadership take the focus off vision and place it squarely on voice" (p. 13-14). Instead of a compelling vision articulated by leaders, there are multiple voices, and diverse cultural meanings.

4.4.11.1 The Limitations of Subjective Models



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Subjective models are prescriptive approaches in that they reflect beliefs about the nature of organizations. They can be regarded as "anti-theories" in that they emerged as a reaction to the perceived limitations of the formal models. Although subjective models introduce several important concepts into the theory of educational management, they have four significant weaknesses, which serve to limit their validity:

1. Subjective models are strongly normative in that they reflect the attitudes and beliefs of their supporters. Willower (1980) goes further to describe them as "ideological." "[Phenomenological] perspectives feature major ideological components and their partisans tend to be true believers when promulgating their positions rather than offering them for critical examination and test" (p. 7).
2. Subjective models comprise a series of principles rather than a coherent body of theory: "Greenfield sets out to destroy the central principles of conventional theory but consistently rejects the idea of proposing a precisely formulated alternative" (Hughes & Bush, 1991, p. 241).
3. Subjective models seem to assume the existence of an organization within which individual behaviour and interpretation occur but there is no clear indication of the nature of the organization. Organizations are perceived to be nothing more than a product of the meanings of their participants. In emphasizing the interpretations of individuals, subjective theorists neglect the institutions within which individuals behave, interact and derive meanings.
4. Subjective theorists imply that meanings are so individual that there may be as many interpretations as people. In practice, though, these meanings tend to cluster into patterns, which do enable participants and observers to make valid generalizations about organizations. "By focussing exclusively on the 'individual' as a theoretical . . . entity, [Greenfield] precludes analyses of collective enterprises. Social phenomena cannot be reduced solely to 'the individual'" (Ryan, 1988, p. 69-70).
5. Subjective models they provide few guidelines for managerial action. Leaders are expected to acknowledge the individual meanings placed on events by members of organizations. This stance is much less secure than the precepts of the formal model.

4.4.11.1 The Importance of the Individual



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The subjective perspective offers some valuable insights, which act as a corrective to the more rigid features of formal models. The focus on individual interpretations of events is a useful antidote to the uniformity of systems and structural theories. Similarly, the emphasis on individual aims, rather than organizational objectives, is an important contribution to our understanding of schools and colleges.

Subjective models have close links with the emerging, but still weakly defined, notion of post-modern leadership. Leaders need to attend to the multiple voices in their organisations and to develop a "power to," not a "power over," model of leadership. However, as Sackney and Mitchell (2001) note, "we do not see how postmodern leadership . . . can be undertaken without the active engagement of the school principal" (p. 19). In other words, the subjective approach works only if leaders wish it to work, a fragile basis for any approach to educational leadership.

Greenfield's work has broadened our understanding of educational institutions and exposed the weaknesses of the formal models. However, it is evident that subjective models have supplemented, rather than supplanted, the formal theories Greenfield set out to attack.

4.4.11.2 Central Features of Ambiguity Models



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Ambiguity models stress uncertainty and unpredictability in organizations. These theories assume that organizational objectives are problematic and that institutions experience difficulty in ordering their priorities. Sub-units are portrayed as relatively autonomous groups, which are connected only loosely with one another and with the institution itself. Decision-making occurs within formal and informal settings where participation is fluid. Ambiguity is a prevalent feature of complex organizations such as schools and is likely to be particularly acute during periods of rapid change (Bush, 2003):

Ambiguity models assume that turbulence and unpredictability are dominant features of organizations. There is no clarity over the objectives of institutions and their processes are not properly understood. Participation in policy making is fluid as members opt in or out of decision opportunities. (p. 134)

Ambiguity models are associated with a group of theorists, mostly from the United States, who developed their ideas in the 1970s. They were dissatisfied with the formal models, which they regarded as inadequate for many organizations, particularly during phases of instability. The most celebrated of the ambiguity perspectives is the “garbage can” model developed by Cohen and March (1986). March (1982) points to the jumbled reality in certain kinds of organization:

Theories of choice underestimate the confusion and complexity surrounding actual decision making. Many things are happening at once; technologies are changing and poorly understood; alliances, preferences, and perceptions are changing; problems, solutions, opportunities, ideas, people, and outcomes are mixed together in a way that makes their interpretation uncertain and their connections unclear. (p. 36)

The data supporting ambiguity models have been drawn largely from educational settings, leading March and Olsen (1976) to assert that “ambiguity is a major feature of decision making in most public and educational organizations” (p. 12).

Ambiguity models have the following major features:

There is a lack of clarity about the goals of the organization. Many institutions are thought to have inconsistent and opaque objectives. It may be argued that aims become clear only through the behaviour of members of the organization (Cohen & March, 1986):

The organization appears to operate on a variety of inconsistent and ill-defined preferences. It can be described better as a loose collection of changing ideas than as a coherent structure. It discovers preferences through action more often than it acts on the basis of preferences. (p. 3)

Educational institutions are regarded as typical in having no clearly defined objectives. Because teachers work independently for much of their time, they may

experience little difficulty in pursuing their own interests. As a result schools and colleges are thought to have no coherent pattern of aims.

Ambiguity models assume that organizations have a problematic technology in that their processes are not properly understood. In education it is not clear how students acquire knowledge and skills so the processes of teaching are clouded with doubt and uncertainty. Bell (1980) claims that ambiguity infuses the central functions of schools.

Ambiguity theorists argue that organizations are characterized by fragmentation. Schools are divided into groups which have internal coherence based on common values and goals. Links between the groups are more tenuous and unpredictable. Weick (1976) uses the term "loose coupling" to describe relationships between sub-units. "Loose coupling . . . carries connotations of impermanence, dissolvability, and tacitness all of which are potentially crucial properties of the 'glue'" (p. 3) that holds organizations together.

Client-serving bodies, such as schools, fit the loose coupling metaphor much better than, say, car assembly plants where operations are regimented and predictable. The degree of integration required in education is markedly less than in many other settings, allowing fragmentation to develop and persist.

Within ambiguity models organizational structure is regarded as problematic. Committees and other formal bodies have rights and responsibilities, which overlap with each other and with the authority assigned to individual managers. The effective power of each element within the structure varies with the issue and according to the level of participation of committee members.

Ambiguity models tend to be particularly appropriate for professional client-serving organizations. The requirement that professionals make individual judgements, rather than acting in accordance with managerial prescriptions, leads to the view that the larger schools and colleges operate in a climate of ambiguity.

Ambiguity theorists emphasize that there is fluid participation in the management of organizations. "The participants in the organization vary among themselves in the amount of time and effort they devote to the organization; individual participants vary from one time to another. As a result standard theories of power and choice seem to be inadequate." (Cohen & March, 1986, p. 3).

A further source of ambiguity is provided by the signals emanating from the organization's environment. In an era of rapid change, schools may experience difficulties in interpreting the various messages being transmitted from the environment and in dealing with conflicting signals. The uncertainty arising from the external context adds to the ambiguity of the decision-making process within the institution.

Ambiguity theorists emphasize the prevalence of unplanned decisions. The lack of agreed goals means that decisions have no clear focus. Problems, solutions and participants interact and choices somehow emerge from the confusion.

The rational model is undermined by ambiguity, since it is so heavily dependent on the availability of information about relationships between inputs and outputs

between means and ends. If ambiguity prevails, then it is not possible for organizations to have clear aims and objectives. (Levacic, 1995, p. 82)

Ambiguity models stress the advantages of decentralization. Given the complexity and unpredictability of organizations, it is thought that many decisions should be devolved to subunits and individuals. Weick (1976) argues that devolution enables organizations to survive while particular subunits are threatened (Bush, 2003):

If there is a breakdown in one portion of a loosely coupled system then this breakdown is sealed off and does not affect other portions of the organization . . . A loosely coupled system can isolate its trouble spots and prevent the trouble from spreading. (p. 135-141)

The major contribution of the ambiguity model is that it uncouples problems and choices. The notion of decision-making as a rational process for finding solutions to problems is supplanted by an uneasy mix of problems, solutions and participants from which decisions may eventually emerge. "In the garbage can model, there is no clear distinction between means and ends, no articulation of organizational goals, no evaluation of alternatives in relation to organizational goals and no selection of the best means" (Levacic, 1995, p. 82)

4.4.11.2.1 Contingent Leadership



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In a climate of ambiguity, traditional notions of leadership require modification. The contingent model provides an alternative approach, recognizing the diverse nature of school contexts and the advantages of adapting leadership styles to the particular situation, rather than adopting a "one size fits all" stance. Yukl (2002) claims that "the managerial job is too complex and unpredictable to rely on a set of standardised responses to events. Effective leaders are continuously reading the situation and evaluating how to adapt their behaviour to it" (p. 234). Contingent leadership depends on managers "mastering a large repertoire of leadership practices" (Leithwood, Jantzi, & Steinbach, 1999, p. 15).

4.4.11.3 The Limitations of Ambiguity Models



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Ambiguity models add some important dimensions to the theory of educational management. The concepts of problematic goals, unclear technology and fluid participation are significant contributions to organizational analysis. Most schools and colleges possess these features to a greater or lesser extent, so ambiguity models should be regarded primarily as analytical or descriptive approaches rather than normative theories. The ambiguity model appears to be increasingly plausible but it does have four significant weaknesses:

1. It is difficult to reconcile ambiguity perspectives with the customary structures and processes of schools and colleges. Participants may move in and out of

decision-making situations but the policy framework remains intact and has a continuing influence on the outcome of discussions. Specific goals may be unclear but teachers usually understand and accept the broad aims of education.

2. Ambiguity models exaggerate the degree of uncertainty in educational institutions. Schools and colleges have a number of predictable features, which serve to clarify the responsibilities of their members. Students and staff are expected to behave in accordance with standard rules and procedures. The timetable regulates the location and movement of all participants. There are usually clear plans to guide the classroom activities of teachers and pupils. Staff are aware of the accountability patterns, with teachers responsible ultimately to principals who, in turn, are answerable to local or State government. Educational institutions are rather more stable and predictable than the ambiguity perspective suggests: "The term organised anarchy may seem overly colourful, suggesting more confusion, disarray, and conflict than is really present" (Baldrige et al, 1978, p. 28).
3. Ambiguity models are less appropriate for stable organizations or for any institutions during periods of stability. The degree of predictability in schools depends on the nature of relationships with the external environment. Where institutions are able to maintain relatively impervious boundaries, they can exert strong control over their own processes. Popular schools, for example, may be able to insulate their activities from external pressures.
4. Ambiguity models offer little practical guidance to leaders in educational institutions. While formal models emphasize the head's leading role in policy-making and collegial models stress the importance of team-work, ambiguity models can offer nothing more tangible than contingent leadership.

Ambiguity or Rationality?

Ambiguity models make a valuable contribution to the theory of educational management. The emphasis on the unpredictability of organizations is a significant counter to the view that problems can be solved through a rational process. The notion of leaders making a considered choice from a range of alternatives depends crucially on their ability to predict the consequences of a particular action. The edifice of the formal models is shaken by the recognition that conditions in schools may be too uncertain to allow an informed choice among alternatives.

In practice, however, educational institutions operate with a mix of rational and anarchic processes. The more unpredictable the internal and external environment, the more applicable is the ambiguity metaphor: "Organizations . . . are probably more rational than they are adventitious and the quest for rational procedures is not misplaced. However, . . . rationalistic approaches will always be blown off course by the contingent, the unexpected and the irrational" (Hoyle, 1986, p. 72).

Cultural Models

4.4.11.4 What Do We Mean By Culture?



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Cultural models emphasize the informal aspects of organizations rather than their official elements. They focus on the values, beliefs and norms of individuals in the organization and how these individual perceptions coalesce into shared organizational meanings. Cultural models are manifested by symbols and rituals rather than through the formal structure of the organization (Bush, 2003):

Cultural models assume that beliefs, values and ideology are at the heart of organizations. Individuals hold certain idea and value-preferences, which influence how they behave and how they view the behaviour of other members. These norms become shared traditions, which are communicated within the group and are reinforced by symbols and ritual. (p. 156).

Beare, Caldwell, and Millikan (1992) claim that culture serves to define the unique qualities of individual organizations: "An increasing number of . . . writers . . . have adopted the term "culture" to define that social and phenomenological uniqueness of a particular organisational community . . . We have finally acknowledged publicly that uniqueness is a virtue, that values are important and that they should be fostered" (p. 173).

4.4.11.5 Societal Culture



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Most of the literature on culture in education relates to organizational culture and that is also the main focus of this section. However, there is also an emerging literature on the broader theme of national or societal culture. Walker and Dimmock (2002) refer to issues of context and stress the need to avoid decontextualized paradigms (p. 1) in researching and analyzing educational systems and institutions.

Dimmock and Walker (2002) provide a helpful distinction between societal and organizational culture:

Societal cultures differ mostly at the level of basic values, while organizational cultures differ mostly at the level of more superficial practices, as reflected in the recognition of particular symbols, heroes and rituals. This allows organizational cultures to be deliberately managed and changed, whereas societal or national cultures are more enduring and change only gradually over longer time periods.

Societal culture is one important aspect of the context within which school leaders must operate. They must also contend with organizational culture, which provides a more immediate framework for leadership action.

4.5 Central Features of Organizational Culture



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1. It focuses on the values and beliefs of members of organizations. “Shared values, shared beliefs, shared meaning, shared understanding, and shared sensemaking are all different ways of describing culture . . . These patterns of understanding also provide a basis for making one's own behaviour sensible and meaningful” (Morgan, 1997, p. 138).
2. The cultural model focuses on the notion of a single or dominant culture in organizations but this does not necessarily mean that individual values are always in harmony with one another. “There may be different and competing value systems that create a mosaic of organizational realities rather than a uniform corporate culture” (Morgan, 1997, p. 137). Large, multipurpose organizations, in particular, are likely to have more than one culture (Schein, 1997, p. 14).
3. Organizational culture emphasizes the development of shared norms and meanings. The assumption is that interaction between members of the organization, or its subgroups, eventually leads to behavioural norms that gradually become cultural features of the school or college.
4. These group norms sometimes allow the development of a monoculture in a school with meanings shared throughout the staff – “the way we do things around here.” We have already noted, however, that there may be several subcultures based on the professional and personal interests of different groups. These typically have internal coherence but experience difficulty in relationships with other groups whose behavioural norms are different.
5. Culture is typically expressed through rituals and ceremonies, which are used to support and celebrate beliefs and norms. Schools are rich in such symbols as assemblies, prize-givings and corporate worship”Symbols are central to the process of constructing meanin.” (Hoyle, 1986, p. 152).
6. Organizational culture assumes the existence of heroes and heroines who embody the values and beliefs of the organization. These honoured members typify the behaviours associated with the culture of the institution. Campbell-Evans (1993, p. 106) stresses that heroes or heroines are those whose achievements match the culture: “Choice and recognition of heroes . . . occurs within the cultural boundaries identified through the value filter . . . The accomplishments of those individuals who come to be regarded as heroes are compatible with the cultural emphases” (Bush, 2003, p. 160-162).

4.5.1 Moral Leadership



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Leaders have the main responsibility for generating and sustaining culture and communicating core values and beliefs both within the organization and to external stakeholders (Bush, 1998, p. 43). Principals have their own values and beliefs arising from many years of successful professional practice. They are also expected to

embody the culture of the school or college. Schein (1997) argues that cultures spring primarily from the beliefs, values and assumptions of founders of organizations. However, it should be noted that cultural change is difficult and problematic. Hargreaves (1999) claims that “most people’s beliefs, attitudes and values are far more resistant to change than leaders typically allow” (p. 59-60).

The leadership model most closely linked to organizational culture is that of moral leadership. This model assumes that the critical focus of leadership ought to be on the values, beliefs and ethics of leaders themselves. Authority and influence are to be derived from defensible conceptions of what is right or good (Leithwood et al, 1999, p. 10).

Sergiovanni (1984) says that “excellent schools have central zones composed of values and beliefs that take on sacred or cultural characteristics” (p. 10). The moral dimension of leadership is based on “normative rationality; rationality based on what we believe and what we consider to be good” (Sergiovanni, 1991):

Moral leadership is consistent with organizational culture in that it is based on the values, beliefs and attitudes of principals and other educational leaders. It focuses on the moral purpose of education and on the behaviours to be expected of leaders operating within the moral domain. It also assumes that these values and beliefs coalesce into shared norms and meanings that either shape or reinforce culture. The rituals and symbols associated with moral leadership support these values and underpin school culture. (p. 326)

4.5.1.1 Limitations of Organizational Culture



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Cultural models add several useful elements to the analysis of school and college leadership and management. The focus on the informal dimension is a valuable counter to the rigid and official components of the formal models. By stressing the values and beliefs of participants, cultural models reinforce the human aspects of management rather than their structural elements. The emphasis on the symbols of the organization is also a valuable contribution to management theory while the moral leadership model provides a useful way of understanding what constitutes a values-based approach to leadership. However, cultural models do have three significant weaknesses:

1. There may be ethical dilemmas because cultural leadership may be regarded as the imposition of a culture by leaders on other members of the organization. The search for a monoculture may mean subordinating the values and beliefs of some participants to those of leaders or the dominant group. Morgan (1997, p. 150-51) refers to “a process of ideological control” and warns of the risk of “manipulation.”
2. The cultural model may be unduly mechanistic, assuming that leaders can determine the culture of the organization (Morgan, 1997). While they have influence over the evolution of culture by espousing desired values, they cannot ensure the emergence of a monoculture. As we have seen, secondary schools

and colleges may have several subcultures operating in departments and other sections. This is not necessarily dysfunctional because successful subunits are vital components of thriving institutions.

3. The cultural model's focus on symbols such as rituals and ceremonies may mean that other elements of organizations are underestimated. The symbols may misrepresent the reality of the school or college. Hoyle (1986, p. 166) refers to "innovation without change." Schools may go through the appearance of change but the reality continues as before.

4.5.1.1.1 Values and Action



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The cultural model is a valuable addition to our understanding of organizations. The recognition that school and college development needs to be preceded by attitudinal change is salutary, and consistent with the maxim that teachers must feel "ownership" of change if it is to be implemented effectively. "Since organization ultimately resides in the heads of the people involved, effective organizational change always implies cultural change" (Morgan, 1997, p. 150).

Cultural models also provide a focus for organizational action, a dimension that is largely absent from the subjective perspective. Leaders may adopt a moral approach and focus on influencing values so that they become closer to, if not identical with, their own beliefs. In this way, they hope to achieve widespread support for or "ownership" of new policies. By working through this informal domain, rather than imposing change through positional authority or political processes, heads and principals are more likely to gain support for innovation. An appreciation of organizational culture is an important element in the leadership and management of schools and colleges.

Conclusion

4.5.2 Comparing the Management Models



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The six management models discussed in this chapter represent different ways of looking at educational institutions. Each screen offers valuable insights into the nature of management in education but none provides a complete picture. The six approaches are all valid analyses but their relevance varies according to the context. Each event, situation or problem may be understood by using one or more of these models but no organization can be explained by using only a single approach. There is no single perspective capable of presenting a total framework for our understanding of educational institutions. "The search for an all-encompassing model is simplistic, for no one model can delineate the intricacies of decision processes in complex organizations such as universities and colleges" (Baldrige et al, 1978, p. 28).

The formal models dominated the early stages of theory development in educational management. Formal structure, rational decision-making and "top-down"

leadership were regarded as the central concepts of effective management and attention was given to refining these processes to increase efficiency. Since the 1970s, however, there has been a gradual realization that formal models are “at best partial and at worst grossly deficient” (Chapman, 1993, p. 215).

The other five models featured in this volume all developed in response to the perceived weaknesses of what was then regarded as “conventional theory.” They have demonstrated the limitations of the formal models and put in place alternative conceptualizations of school management. While these more recent models are all valid, they are just as partial as the dominant perspective their advocates seek to replace. There is more theory and, by exploring different dimensions of management, its total explanatory power is greater than that provided by any single model.

Collegial models are attractive because they advocate teacher participation in decision-making. Many principals aspire to collegiality, a claim that rarely survives rigorous scrutiny. The collegial framework all too often provides the setting for political activity or “top-down” decision-making (Bush, 2003).

The cultural model's stress on values and beliefs, and the subjective theorists' emphasis on the significance of individual meanings, also appear to be both plausible and ethical. In practice, however, these may lead to manipulation as leaders seek to impose their own values on schools and colleges.

The increasing complexity of the educational context may appear to lend support to the ambiguity model with its emphasis on turbulence and anarchy. However, this approach provides few guidelines for managerial action and leads to the view that “there has to be a better way.”

The six models differ along crucial dimensions but taken together they do provide a comprehensive picture of the nature of management in educational institutions. The below figure compares the main features of the six models.

Elements of management	Formal	Collegial	Political	Subjective	Ambiguity	Cultural
Level at which goals are determined	Institutional	Institutional	Sub-unit	Individual	Unclear	Institutional or sub-unit
Process by which goals are determined	Set by leaders	Agreement	Conflict	Problematic May be imposed by leaders	Unpredictable	Based on Collective value
Relationship between goals and decisions	Decisions based on goals	Decisions based on agreed goals	Decisions based on goals of dominant coalition	Individual behavior based on personal goals	Decisions unrelated to goals	Decisions based on the goals of the organisation or its sub-units
Nature of decision process	Rational	Collegial	Political	Personal	Garbage can	Rational within a framework of values
Nature of structure	Objective reality hierarchical	Objective reality lateral	Setting for sub-unit activity	Constructed through	Problematic	Physical manifestation of culture

Table 4.2: Main features of the six models

				human interaction		
Links with environment	May be “closed” or “open” Principal accountable	Accountability blurred by shared decision making	Unstable external bodies portrayed as interest groups	Source of individual meanings	Source of uncertainty	Source of values and beliefs
Style of leadership	Principal establishes goals and initiates policy	Principal seeks to promote consensus	Principal is both participant and mediator	Problematic May be perceive as a form of control	Maybe tactical or unobtrusive	Symbolic
Related leadership model	Managerial	Participative	Transactional	Postmodern	Contingent	Moral

Table 4.2: Main features of the six models

4.5.3 Attempts at Synthesis



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Each of the models discussed in this volume offers valid insights into the nature of leadership and management in schools and colleges. Yet all the perspectives are limited in that they do not give a complete picture of educational institutions.

“Organizations are many things at once! They are complex and multifaceted. They are paradoxical. That's why the challenges facing management are so difficult. In any given situation there may be many different tendencies and dimensions, all of which have an impact on effective management” (Morgan, 1997, p. 347).

The inadequacies of each theory, taken singly, have led to a search for a comprehensive model that integrates concepts to provide a coherent analytical framework. Chapman (1993) stresses the need for leaders to develop this broader perspective in order to enhance organizational effectiveness: “Visionary and creative leadership and effective management in education require a deliberate and conscious attempt at integration, enmeshment and coherence” (p. 212).

Enderud (1980), and Davies and Morgan (1983), have developed integrative models incorporating ambiguity, political, collegial and formal perspectives. These syntheses are based on the assumption that policy formation proceeds through four distinct phases which all require adequate time if the decision is to be successful. These authors assume an initial period of high ambiguity as problems, solutions and participants interact at appropriate choice opportunities. This anarchic phase serves to identify the issues and acts as a preliminary sifting mechanism. If conducted properly it should lead to an initial coupling of problems with potential solutions.

The output of the ambiguous period is regarded as the input to the political phase. This stage is characterized by bargaining and negotiations and usually involves relatively few participants in small, closed committees. The outcome is likely to be a broad measure of agreement on possible solutions.

In the third collegial phase, the participants committed to the proposed solution attempt to persuade less active members to accept the compromise reached during the political stage. The solutions are tested against criteria of acceptability and feasibility and may result in minor changes. Eventually this process should lead to agreed policy outcomes and a degree of commitment to the decision.

The final phase is the formal or bureaucratic stage during which agreed policy may be subject to modification in the light of administrative considerations. The outcome of this period is a policy which is both legitimate and operationally satisfactory (Bush, 2003, p. 193).

Theodossin (1983, p. 88) links the subjective to the formal or systems model using an analytical continuum. He argues that a systems perspective is the most appropriate way of explaining national developments while individual and subunit activities may be understood best by utilizing the individual meanings of participants:

Theodossin's analysis is interesting and plausible. It helps to delineate the contribution of the formal and subjective models to educational management theory. In focusing on these two perspectives, however, it necessarily ignores the contribution of other approaches, including the cultural model, which has not been incorporated into any of the syntheses applied to education

The Enderud (1980), and Davies and Morgan (1983), models are valuable in suggesting a plausible sequential link between four of the major theories. However, it is certainly possible to postulate different sets of relationships between the models. For example, a collegial approach may become political as participants engage in conflict instead of seeking to achieve consensus. It is perhaps significant that there have been few attempts to integrate the management models since the 1980s.

4.5.4 Using Theory to Improve Practice



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The six models present different approaches to the management of education and the syntheses indicate a few of the possible relationships between them. However, the ultimate test of theory is whether it improves practice. There should be little doubt about the potential for theory to inform practice. School managers generally engage in a process of implicit theorising in deciding how to formulate policy or respond to events. Facts cannot be left to speak for themselves. They require the explanatory framework of theory in order to ascertain their real meaning.

The multiplicity of competing models means that no single theory is sufficient to guide practice. Rather, managers need to develop “conceptual pluralism” (Bolman & Deal, 1984, p. 4) to be able to select the most appropriate approach to particular issues and avoid a unidimensional stance: “Managers in all organizations. . . can increase their effectiveness and their freedom through the use of multiple vantage points. To be locked into a single path is likely to produce error and self-imprisonment” (p. 4).

Conceptual pluralism is similar to the notion of contingent leadership. Both recognize the diverse nature of educational contexts and the advantages of adapting leadership styles to the particular situation rather than adopting a “one size fits all” stance. Appreciation of the various models is the starting point for effective action. It provides a “conceptual tool-kit” for the manager to deploy as appropriate in addressing problems and developing strategy.

Morgan (1997, p. 359) argues that organizational analysis based on these multiple perspectives comprises two elements:

- A diagnostic reading of the situation being investigated, using different metaphors to identify or highlight key aspects of the situation.
- A critical evaluation of the significance of the different interpretations resulting from the diagnosis.

These skills are consistent with the concept of the “reflective practitioner” whose managerial approach incorporates both good experience and a distillation of

theoretical models based on wide reading and discussion with both academics and fellow practitioners. This combination of theory and practice enables the leader to acquire the overview required for strategic management.

While it is widely recognized that appreciation of theory is likely to enhance practice, there remain relatively few published accounts of how the various models have been tested in school or college-based research. More empirical work is needed to enable judgements on the validity of the models to be made with confidence. The objectives of such a research programme would be to test the validity of the models presented in this volume and to develop an overarching conceptual framework. It is a tough task but if awareness of theory helps to improve practice, as we have sought to demonstrate, then more rigorous theory should produce more effective practitioners and better schools.

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Chapter 5 Combining Forces in the Development of Programs and Services: Bringing Education, Government, and Nonprofit Agencies Together



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Note: This MODULE has been peer-reviewed, accepted, and sanctioned by the National Council of Professors of Educational Administration (NCPEA) as a scholarly contribution to the knowledge base in educational administration.

Since *A Nation At Risk* in the early 1980s, the general public along with governmental, educational, and the business community have called for changes and improvement in educational systems at all levels. These calls for change have been directed toward improvement in programs ranging from early childhood education to university programs. In recent years, public and private agencies have been developing non-traditional public education formats such as charter schools, school/business internships and partnerships, contract schools, K-14 partnerships, school-to-work programs, or attempting to expand on already existing private educational opportunities through vouchers and tax exemptions. Some of these calls for change and restructuring have been directed at university programs in both the areas of teacher preparation and the training of school administrators (Milstein and Associates, 1993; Murphy & Hallinger, 1995; Newman & Wehlage, 1995) and have been incorporated into the most recent reauthorization of the Elementary and Secondary Education Act, No Child Left Behind (U.S. Government, 2001).

Administrative theory as traditionally taught in educational administration preparation programs is rooted in organizational management and leadership theory and in the social sciences. Theoretical frame-works that can be found in texts utilized in educational administration preparation programs include: systems theory, human resource management, organizational change and development, total quality management, power and politics, decision-making, general management and leadership skills, visioning, teaming, and organizational culture, to name only a few. These theoretical constructs form a foundation for understanding organizational administration in general and educational administration in particular. Examples of this can be found in books and articles by authors such as Bolman & Deal (2004), Cunningham & Cordeiro (2000), Hersey & Blanchard (1984), Hoy & Miskel (1996), Kimbrough & Nunnery (1988), Lunenburg & Ornstein (2000), Morgan (1986), Sergiovanni (1995), Seyfarth (1999), Silver, (1983), and Yukl (2002). These cited authors only touch the tip of the iceberg in published works on educational administration. Additionally, professors in educational leadership and administration programs

regularly incorporate the works of such well known organizational and social science theorists as Argyris, Barnard, Bass, Bennis, Demming, Drucker, Etzioni, Fayol, Fiedler, Galbraith, House, Kanter, Katz & Kahn, Kotter, Kouzes & Posner, Likert, Maslow, McGregor, Mintzberg, Peters, Pfeffer, Schein, Senge, Stogdill, Taylor, Vaill, Vroom, and Webber among others.

Following *A Nation at Risk*, some academicians have challenged the rationale of applying general organizational leadership and social science theories to the preparation and development of school leaders. Subsequently, there has been an emphasis on preparing school administrators to be instructional leaders, with researchers and writers emphasizing the uniqueness and importance of curriculum and instructional knowledge for school administrators (Sergiovanni, Burlingame, Coombs, and Thurston, 1999; Starratt, 1996). Yet, as Leithwood (1992) notes:

"Instructional leadership" is an idea that has served many schools well throughout the 1980s and 1990s. But in light of current restructuring initiatives designed to take schools into the 21st century, "instructional leadership" no longer appears to capture the heart of what school administration will have to become. (p. 8)

Public education is one portion of a complex system of society that extends far beyond the walls of the schoolhouse. The administration of educational institutions is impacted and influenced by businesses, communities, governmental agencies, laws, special interest and not-for-profit groups, and the general citizenry. The demand of these groups to improve the quality of public education and prepare students for the world of work beyond school is becoming more intense each year. The development of state and national standards, public charter schools, and schools-of-choice across the nation has placed the school administrator in a position of competition and accountability heretofore unknown. Demands by businesses, parents, community groups, legislation, and federal and state governments have forced the school administrator to listen to and collaborate more closely with social service providers and governmental agencies. These economic, social, and political pressures and changes require "leadership that is so completely revolutionary that it challenges all our old paradigms" (McFarland, Senn & Childress, 1994, p. 29). The importance of this statement is supported by Beyer & Ruhl-Smith (2000) when they state, "This opinion is shared by a cross-section of leaders representing business, education, government, entertainment, and other for-profit and not-for-profit sectors"(p. 35).

Dissatisfaction with present educational leadership has resulted in school districts hiring business and military leaders to fill school administration positions. These actions have been supported by the premise that successful leadership skills in the military and the business sector are easily transferable to the leadership of schools. Rodriguez (2000) states, "consensus among educators supports the development of programs that train future administrators to work in collaborative and interdisciplinary settings (p. 65). An example of such a collaborative effort is an international educational program entitled, "Collaborative Educational Programs for the Americas" (CEPA). The CEPA program is one example of an interdisciplinary group of professionals in law enforcement, education, and the military working together. CEPA develops educational programs that focus on "the establishment of collaborative partnerships to deal with the challenges of educational and social reform" (Rodriguez, 2000, p. 66). More recently, the City of Chicago Mayor Richard

Daley announced an initiative in which the Chicago Public Schools are exploring a charter school format that will combine the expertise and educational personnel of private schools with that of the public schools to offer an alternative educational opportunity for public school students. The reform plan will lean heavily on the private sector for ideas, funding, and management (Dell'Angela & Washburn, 2004; Grossman, K. N., 2004)).

By 2010 the mayor intends to re-create more than 10 percent of the city's schools one-third as charter schools, one third as independently operated contract schools and the remainder as small schools run by the district (Dell'Angela & Washburn, 2004).

Movements and programs such as those mentioned above, begin to blur the lines that have traditionally separated schools, businesses, nonprofit organizations, and governmental agencies. The lack of leadership preparation to meet the challenges of such collaborative educational endeavors should be a major concern of educational reform efforts.

5.1 Preparation Programs



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Universities can and should be instrumental in thinking "out of the box" in the development of school administrator preparation programs (Peterson and Finn, 1985). The University of Michigan-Dearborn is taking the lead in innovative program development by combining the organizational worlds of the service sector through the integration of preparation programs in educational administration and public administration. The combination of educational, governmental, and nonprofit agencies working together is something that occurs in school districts across the United States daily, as well as on an international basis. Researchers have observed that combining the efforts of these agencies is a successful method of school improvement. As stated by Newmann & Wehlage, (1995) in their study of successful school restructuring:

To build the organizational capacity required to promote student learning of high intellectual quality, schools need support from beyond their walls. We found a wide variety of external agents attempting to help schools restructure. They included state legislatures, district administrators, universities, unions, professional organizations, foundations, courts, parents, and the federal government. In the schools we studied, districts, states, parents, and private nonprofit organizations working for educational reform-we call them independent developers-were the most active and influential. (p. 41)

Incorporating the preparation of educational administrators in a program that combines multiple entities of the service sector creates an atmosphere and educational setting for students that promotes greater mutual understanding of the functions of each sector and enhances the ability of these future leaders to work more efficiently and effectively together. Bolman and Deal (1991) support the importance of preparing leaders with multiple perspectives when they state,

Leaders fail when they take too narrow a view of the context in which they are working. Unless they can think flexibly about organizations and see them from multiple angles, they will be unable to deal with the full range of issues that they will inevitably encounter. (p. 450)

This broader view of organizational leadership can be utilized to improve educational administration preparation programs, educational systems as a whole, and ultimately student learning. Universities must "provide innovative programs and curriculum that will prepare educational leaders who have the courage, knowledge, and skills it will take to lead tomorrow's schools" (Lambert, 1995, p.6).

5.2 The Masters of Public Administration Program



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The Masters of Public Administration (MPA) program at the University of Michigan-Dearborn, prepares leaders for educational, government, and nonprofit organizations. The interdisciplinary and experimental nature of the program requires both structure and flexibility in course development, offerings, and in class-room instruction. The Masters of Public Administration is a 30 (minimum) credit hour program divided into three parts: (1) Core and Information Systems, (2) Specialty Courses, (3) Internships, and (4) Assessment Seminar.

The courses are cross-listed between educational administration and public administration. The core courses are: Introduction to Administration; Principalship /Leadership and Administration; Administration of Human Resources; School Budgeting and Finance/Administration of Financial Resources; and Information Systems and Statistics for Administrators. All MPA students (educational administration, nonprofit, and public sector) are required to complete an Assessment Seminar near the conclusion of their program. The seminar is a capstone course and is structured to permit the students in the program to synthesize their specialized coursework and to examine problems common to the various specialties.

The Government/Public Sector program requires completion of the MPA Core, specialty requirements, electives appropriate to administration in the public sector, and the MPA Assessment Seminar. Students must select 13 credits of courses from the specialty areas of leadership, finance, human resources, planning, analysis, and evaluation with approval of a public sector faculty advisor. The program is structured to follow the National Association of Schools of Public Affairs and Administration (NASPAA) guidelines. An internship may be required if the student is unable to present evidence of prior experience in public administration.

The program in Nonprofit Leadership requires completion of the MPA core as described above, specialty requirements, electives appropriate to the Nonprofit Leadership Program, and the MPA Assessment Seminar. The design of the program is consistent with the guidelines established by the American Society of Association Executives. A Nonprofit Leadership Certificate is available and is consistent with the certification process established by the American Society of Association Executives and has been endorsed by the Michigan Society of Association Executives. Eligibility

for the certificate requires completion of the MPA Core, eight (8) credit hours specialty requirements: Public Relations for the Nonprofit and Public Sectors, Fundraising, Strategic Planning and Needs Assessment, and Program Evaluation. The remaining electives are chosen with approval of the nonprofit faculty advisor. An internship with a nonprofit organization may be required if the student is unable to present evidence of prior experience.

Eligibility for the MPA degree and certificate in Educational Administration includes completion of the core courses, specialty requirements in school and community relations, legal and regulatory issues, curriculum deliberation and development, program evaluation, applications of technology for organizational administration, and an internship in elementary or secondary school administration. Students must also complete the MPA Assessment Seminar. A 20 credit hour certificate-only program is available to students already holding a masters' degree and desiring a certificate in elementary or secondary school administration. The program consists of the MPA core (minus the statistics course), plus administrative law, school/community relations, curriculum development, and an internship. A certificate in Central Office Administration is also available. Candidates for this certificate are required to complete an additional 15 credit hours beyond the MPA degree or 20 credit hour certificate-only program in appropriate course work including Strategic Planning and Needs Assessment, Labor Relations, Fund Accounting, and Policy Analysis & Development along with appropriate electives from the public administration and/or education graduate degree offerings with approval of the educational administration advisor. An internship in central office administration is also required for this certificate. In addition to the MPA coursework in educational administration described above, candidates must hold a valid State of Michigan teaching certificate and have a minimum of three years classroom teaching experience. Upon successful completion of the program, the candidate will receive a certificate from the University of Michigan-Dearborn, School of Education.

5.2.1 Meeting Standards



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Standards for educational administration preparation programs and professional practice are a topic of intense interest continually being discussed by professional organizations and university preparation programs across the nation. Numerous articles, books, and presentations have addressed the topic of applied standards such as those by Beyer & Ruhl-Smith (2000), Capasso & Daresh (2001), Hoyle, English, & Steffy, (1998), Murphy, Hawley, & Young (2005), and Wilmore, E. L. (2002). The State of Michigan does not offer a certificate in school administration. From 1995 to 2004, the educational administration strand of the public administration program was developed and patterned after previous Michigan Department of Education (MDE) program standards for school administrators, which were eliminated by the State in 2000, and the National Policy Board for Educational Administration Knowledge and Skill Base for School Principals (NPBEA, 1993). Both the required and elective courses in the MPA program addressed the NPBEA essential knowledge and skills base for

effective school principals (Thompson, 1993). In 2004, the Michigan Department of Education (MDE) approved a new set of program standards for the preparation of school principals. This program is patterned after two specific sets of existing national standards. First, is the Interstate School Leader Licensure Consortium Standards for School Leaders (ISLLC) (Council of Chief State School Officers, 1996) which specifically address the topics of leadership and vision, instruction and student academic success, allocation of resources, school and community relations, ethics, and the political, social, legal, and cultural context of leading schools. The Technology Standards for School Administrators (TSSA, 2004), is the second set of standards incorporated into the new MDE preparation guidelines. These are defined as:

- I. Leadership and Vision - Educational leaders inspire a shared vision for comprehensive integration of technology and foster an environment and culture conducive to the realization of that vision.
- II. Learning and Teaching - Educational leaders ensure that curricular design, instructional strategies, and learning environments integrate appropriate technologies to maximize learning and teaching.
- III. Productivity and Professional Practice - Educational leaders apply technology to enhance their professional practice and to increase their own productivity and that of others.
- IV. Support, Management, and Operations - Educational leaders ensure the integration of technology to support productive systems for learning and administration.
- V. Assessment and Evaluation - Educational leaders use technology to plan and implement comprehensive systems of effective assessment and evaluation.
- VI. Social, Legal, and Ethical Issues - Educational leaders understand the social, legal, and ethical issues related to technology and model responsible decision-making related to these issues (TSSA, 2004).

The educational administration portion of the MPA program has been revised to meet the Michigan Department of Education Program Standards for the Preparation of School Principals (Michigan Department of Education, 2004). This preparation program is based on the ISLLC Standards and Technology Standards for School Administrators, as described above, with the addition of an internship requirement in a school setting providing the educational administration student with the opportunity to apply the newly acquired knowledge and skills to practice:

1. A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is and supported by the school community.
2. A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

3. A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.
4. A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.
5. A school administrator is an educational leader who promotes the success of the students by acting with integrity, fairness, and in an ethical manner.
6. A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political social, economic, legal, and cultural context.
7. A school administrator is an educational leader who understands and comprehensively applies technology to advance student achievement.
8. A school administrator is an educational leader who synthesizes and applies knowledge and best practices and develops skills through substantial, sustained, standards-based work in real settings to advance student achievement (Michigan Department of Education, 2004).

5.2.2 Student Reactions



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There are a variety of reactions and opinions from students in the MPA program to the integration of students and course materials from the educational, public, and nonprofit sectors. Some students immediately see the value of the interdisciplinary nature of the program and its applicability to the world of work. Others see the importance only after graduation when they are actively involved in administrative positions. While in the program, some students express dislike of the interdisciplinary course content and in-class discussions and activities, and would prefer to have instruction and materials relate specifically to their area of interest. Instructors remain cognizant of these desires and make every attempt to address the needs of each group through the use of examples, case studies, group projects, and class discussions. Once students graduate from the program and are involved in the application of new knowledge and skills to practice on a daily basis, the usefulness of blending the disciplines together begins to be recognized. As part of an MPA program review conducted in 2004, a graduate student survey was conducted and open-ended responses were solicited. Following are graduate responses related to the interdisciplinary nature of the program:

- “This program was of value to me because of its wide and broad applicability. Additionally, because the program was so broad-based it attracted students from many different sectors. This was valuable to all of us in the program because it exposed each of us to arenas of public administration with which we were not familiar. This added to and increased our learning.” (Assistant Principal)

- “The MPA program fosters personal friendship and professional relationships. Since the graduates of the program are from the public, education, and non-profit sectors, a great network is created. If I need information pertaining to another sector, I know I can call a fellow graduate for assistance.” (City Administrator)
- “The MPA program at the University of Michigan-Dearborn provides an incredibly well rounded experience for those seeking to enlarge the scope of their knowledge, skills, and experiences as it applies to public organizations. I found great value in the way the program included the varied backgrounds of all of the individuals in the program.” (Assistant Principal)
- “Pedagogically, the classes at UM-D contained a very informative instructional basis. This combined with a very diverse and eclectic student base, allowed me to see real world aspects of public administration from a wide variety of backgrounds and viewpoints. These benefits have been extremely useful in my field of endeavors.” (Police Sergeant and Community College Adjunct Professor)
- “The sharing of ideas from my peers with diverse backgrounds enhanced the learning experience.” (Public Relations Consultant)
- “My MPA degree helped me get my two positions as instructor of political science (at a college and a university) and as a freshman dean (at a college). It is certainly a degree I drew upon regularly (as a city council member and as mayor)”. (Mayor)
- “Valuable instruction in leadership, organizational development, labor relations and financial management; Learning with a diverse student body; A school where teachers and students learn from each other.” (Assistant to the Chancellor and Director of Equity & Affirmative Action)
- “UM-D is unique in bridging the gap between theory and practical experience. Classmates brought `real world' situations into the classroom while instructors shaped theoretical implications of administration.” (Assistant Principal)
- “I found the combination business and education environment stimulating and informative. Working with people from diverse backgrounds affords a more real-world look into administrative issues and has prepared me to be more empathetic with parents of school-aged children” (Educator)
- “The challenging coursework and diverse backgrounds of classmates provided a solid foundation from which to launch a new career.” (Executive Director-University Campus Recreation)
- “Michigan-Dearborn's MPA program provided me with a knowledge base, which I was able to apply across a variety of professional experiences.” (Technical Analyst)
- “The MPA program did an excellent job training me to be a leader in the non-profit sector. I would recommend this program (and have numerous times) to any person who has the drive and desire to become a leader in the nonprofit, educational, or government sector.” (University Director of Development)

Student responses assist MPA program faculty in curricular, instructional, and program assessment. This on-going process of program development and course preparation is helpful in meeting the wide variety of students the program serves. Philosophical issues become a matter of discussion among MPA faculty and course content, development, and materials are regularly reviewed in an effort to ensure that each program's requirements and student needs are being addressed.

5.2.3 Conclusion



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Developing a quality innovative program is not an easy task. It is an ongoing process that requires creativity, flexibility, collaboration, reflection, analysis, and response to public, institutional, and student concerns. There is a great deal of overlap and hence commonality in professional standards among the three disciplines. It is important for program faculty and instructors to be cognizant of similarities and differences between standards and ensure that required knowledge and skills are addressed and assessed. The foundational knowledge presented in the MPA program is regularly recommended and required of anyone in a leadership position, whether it is in education, government, a nonprofit organization, or in the corporate world. Educational, non-profit, government, and for-profit organizations are not isolated in the world beyond academia. Members of these organizations interact, work together, and depend upon each other on a regular basis. What better way can there be than to prepare these future leaders together and for professors to model the integration and interactions in practice? The University of Michigan-Dearborn is doing just that in their Masters of Public Administration program.

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Chapter 6 Step-Up-To-Excellence: A Change Navigation Protocol for Transforming School Systems



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Fig. 6.1: NCPEA

^{note:} This module has been peer-reviewed, accepted, and sanctioned by the National Council of the Professors of Educational Administration (NCPEA) as a scholarly contribution to the knowledge base in educational administration.

This article presents a protocol change leaders can use to navigate whole-system change in their school districts. The information describing the protocol will help change leaders in school districts and policymakers interested in whole-district change answer the question, “How do we transform our entire school system”? The protocol is called Step-Up-To-Excellence (SUTE; Duffy, 2002, 2003, 2004a, 2004b, 2004c).

Every time SUTE is presented to an audience there is at least one person who calls out some “yes, buts” statements questioning whether the protocol is practical, doable, or valid. Three “yes, buts” that are frequently heard and responses to them are found near the end of this article.

The Need for Whole-District Transformation

Rolling across America is a long train called “The School Improvement Express.” The triple societal engines of standards, assessment, and accountability are pulling it. The lead engine goes by the name “The No Child Left Behind Engine That Could.” The rolling stock is composed of school systems and a myriad of contemporary school improvement models, processes, and desirable outcomes. The train has once again come to a stop at a broad and deep abyss that goes by the name “The Canyon of Systemic School Improvement.” On the far side of the abyss lies the “Land of High Performance.” The riders on the train want to go there. In fact, they have wanted to go there for years but have failed to make the crossing, and so they keep returning here to the edge of the abyss to stare across with longing in their hearts wondering how they will ever traverse it.

Standing at the edge of this great abyss, some educators see a threat while others see an opportunity. Some see an impossible crossing, while others see just another

puzzle to be solved. Meanwhile, the pressure in the three great “engines” for setting standards, assessing student learning, and holding educators accountable for results continues to build and shows no sign of dissipating. The “engineers” have their hands on the brakes but they can feel the pressure of the engine trying to edge the train forward, which feels like having one foot on the brake of a car while stepping on the gas with the other foot.

Even though the train has rolled across a lot of ground and although its passengers have done good things along the way, there they stand one more time looking out over the abyss wondering how in the world they will get to the other side. Some of those standing at the edge say, “Impossible, can't be done.” Others say, “We've been here before and failed then.” Still others stand there and theorize about the complexity of crossing such a canyon. “It's so hard to define the boundaries of the canyon. Just what is a system, what does it mean, is it this or is it that? We need this, this, this, and that or we'll never cross,” they suggest, but then they take no action to do what is needed. Still others, looking backward at the long train say, “What's behind us is the future. What we have done in the past is what we should continue to do.”

There is a significant and pressing need to cross the “canyon of systemic school improvement” (e.g., see Houlihan & Houlihan, 2005). One way to make the crossing is found in the Step-Up-To-Excellence (SUTE) protocol described below. Before examining the protocol, let us consider the traditional approach to managing change in organizations.

The Traditional Approach to Managing Change

The traditional approach to managing change was developed by Kurt Lewin (1951). It is illustrated in the below figure. What Lewin said is that to change a system, people first envision a desired future. Then, they assess the current situation and compare the present to the future looking for gaps between what is and what is desired. Next, they develop a transition plan composed of long range goals and short term objectives that will move their system straight forward toward its desired future. Along the way there will be some unanticipated events that emerge, but it is assumed that the “strength” of anticipatory intentions (goals, objectives, strategic plans) will keep those unexpected events under control and thereby keep the system on a relatively straight change-path toward the future. The problem with this approach is that it does not work in contemporary organizations.

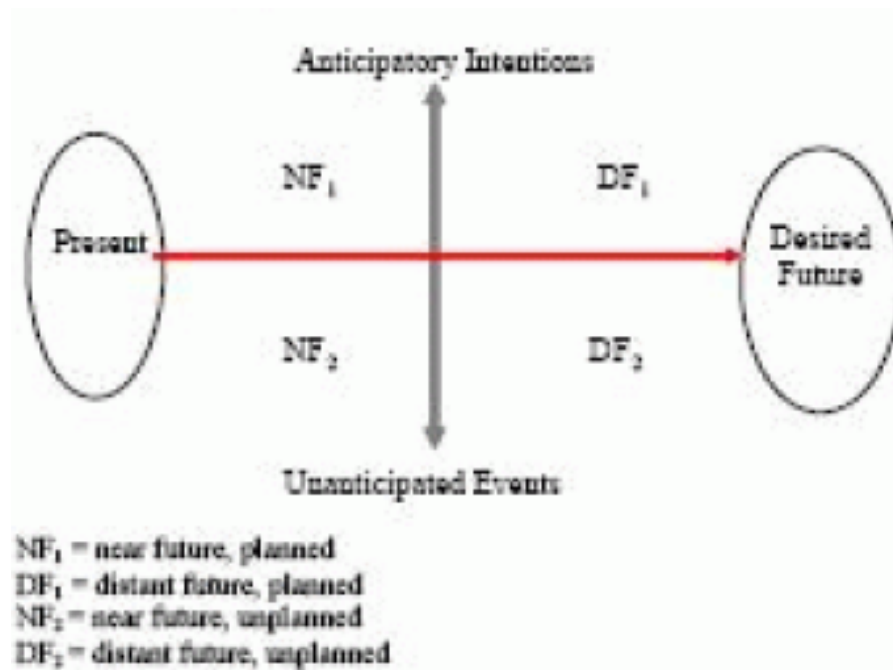


Fig. 6.2: The traditional change-path straight forward to the future

Instead of the “straightforward-to-the-future” as a supposition represented in the [Figure 6.2](#), the complexities of contemporary society and the pressures for rapid change, combined with an increasing number of unanticipated events and unintended consequences during change, have created three winding change-paths: Path 1: improve an organization's relationships with its environment; Path 2: improve its core and supporting work processes; and Path 3: improve its internal social infrastructure. These winding change-paths are illustrated in the [Figure 6.3](#).

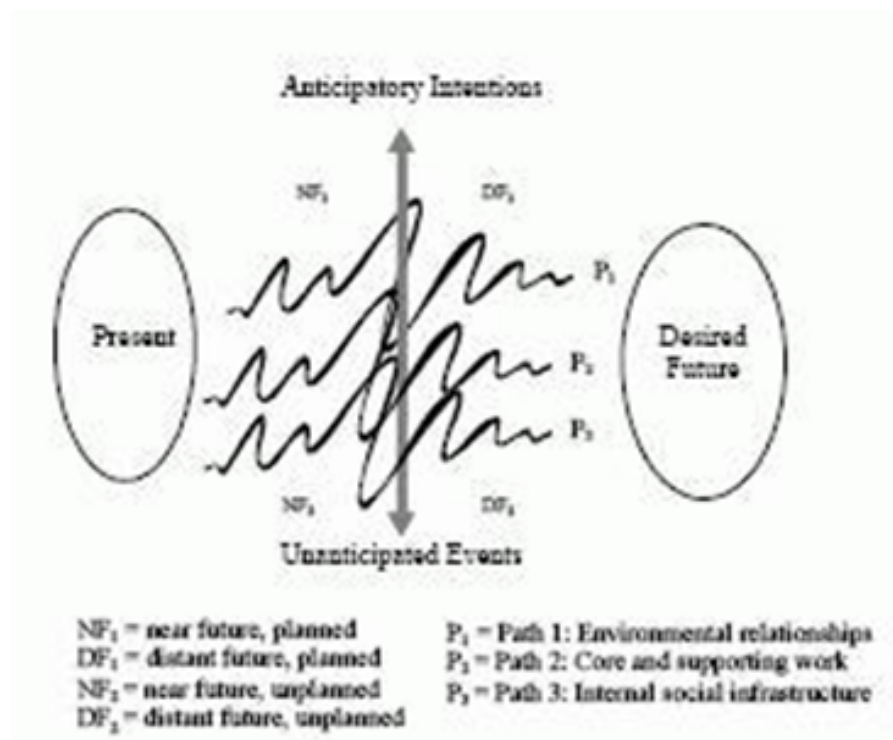


Fig. 6.3: Today's Nonlinear Change-paths in Complex Organizations

If change leaders assume that there is a single strategic path from the present to the future that is relatively straight forward when there are actually three winding paths, then as change leaders try to transform their system they will soon be off the true paths and lost. To see how they would be off the true paths (the three winding paths) trace your finger along the assumed straight path in the [Figure 6.4](#). Wherever the straight path leaves the winding paths, you will be off course and lost. When of course and lost, people will revert back to their old ways, thereby enacting Jean-Baptiste Alphonse Karr's (n. d.) often quoted French folk wisdom, "The more things change, the more they stay the same."

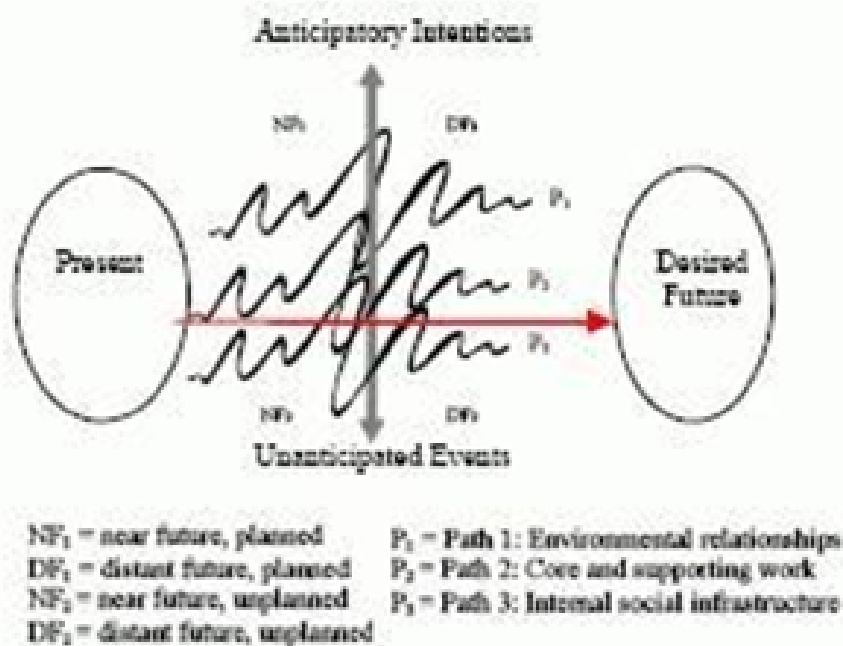


Fig. 6.4: Assuming a straight change-path means you're off the true paths and lost

To move an entire school system along the three paths identified above, change leaders need a whole-system transformation protocol that will help them locate and navigate the three nonlinear paths to higher student, teacher and staff, and whole-district learning.

Three Paths to Improvement

Over the past 50 years a lot has been learned about how to improve entire systems. One of the core principles of whole-system change is that three sets of key organizational variables must be improved simultaneously (e.g., see Pasmore, 1988). These three sets of variables are characterized as change-paths in the protocol presented below. Let us examine the topography of each of these change-paths before exploring the change protocol.

Path 1: Improve a District's Relationship with Its External Environment

A school district is an open system. An open system is one that interacts with its environment by exchanging a valued product or service in return for needed resources. If change leaders want their district to become a high performing school system they need to have a positive and supporting relationship with stakeholders in

their district's external environment. But they cannot wait until they transform their district to start working on these relationships. They need positive and supporting relationships shortly before they begin making important changes within their district. So, they have to improve their district's relationships with key external stakeholders as they prepare their school system to begin its transformation journey.

Path 2: Improve a District's Core and Supporting Work Processes

Core work is the most important work of any organization. In school districts, the core work is a sequenced instructional program (e.g., often a preK-12th grade instructional program) conjoined with classroom teaching and learning (Duffy, 2002; Duffy, 2003). Core work is maintained and enriched by supporting work. In school districts, supporting work roles include administrators, supervisors, education specialists, librarians, cafeteria workers, janitors, bus drivers, and others. Supporting work is important to the success of a school district, but it is not the most important work. Classroom teaching and learning is the most important work and it must be elevated to that status if a school system wants to increase its overall effectiveness.

When trying to improve a school system, both the core and supporting work processes must be improved. Further, the entire work process (e.g., preK-12th grade) must be examined and improved, not just parts of it (e.g., not just the middle school, not just the language arts curriculum, or not just the high school). One of the reasons the entire work process must be improved is because of a systems improvement principle expressed as "upstream errors flow downstream" (Pasmore, 1988). This principle reflects the fact that mistakes made early in a work process flow downstream, are compounded, and create more problems later on in the process; for example, consider a comment made by a high school principal when he first heard a description of this principle. He said, "Yes, I understand. And, I see that happening in our district. Our middle school program is being 'dumbed-down' and those students are entering our high school program unprepared for our more rigorous curriculum. And, there is nothing we can do about it." Upstream errors always flow downstream.

Improving student learning is an important goal of improving the core and supporting work processes of a school district. But focusing only on improving student learning is a piecemeal approach to improvement. A teacher's knowledge and literacy is probably one of the more important factors influencing student learning. So, taking steps to improve teacher learning must also be part of any school district's improvement efforts to improve student learning.

Improving student and teacher learning is an important goal of improving work in a school district. But this is still a piecemeal approach to improving a school district. A school district is a knowledge-creating organization and it is, or should be, a learning organization. Professional knowledge must be created and embedded in a school district's operational structures and organizational learning must occur if a school district wants to develop and maintain the capacity to provide children with a quality education. So, school system learning (i.e., organizational learning) must also be part of a district's improvement strategy to improve its core and supporting work.

Path 3: Improve a District's Internal "Social Infrastructure"

Improving work processes to improve learning for students, teachers and staff, and the whole school system is an important goal but it is still a piecemeal approach to change. It is possible for a school district to have a fabulous curriculum with extraordinarily effective instructional methods but still have an internal social “infrastructure” (which includes organization culture, organization design, communication patterns, power and political dynamics, reward systems, and so on) that is de-motivating, dissatisfying, and demoralizing for teachers. De-motivated, dissatisfied, and demoralized teachers cannot and will not use a fabulous curriculum in remarkable ways. So, in addition to improving how the work of a district is done, improvement efforts must focus simultaneously on improving a district's internal social “infrastructure.”

The social infrastructure of a school system needs to be redesigned at the same time the core and supporting work processes are redesigned. Why? Because it is important to assure that the new social infrastructure and the new work processes complement each other. The best way to assure this complementarity is to make simultaneous improvements to both elements of a school system.

Hopefully, this three-path metaphor makes sense because the principle of simultaneous improvement is absolutely essential for effective system wide improvement (e.g., see Emery, 1977; Pasmore, 1988; Trist, Higgin, Murray, & Pollack, 1963). In the literature on systems improvement this principle is called joint optimization (Cummings & Worley, 2001, p. 353).

The Change Protocol: Step-Up-To-Excellence

Step-Up-To-Excellence (SUTE) is a whole-system transformation protocol especially constructed to help educators navigate the three paths toward whole-district transformation described above. This protocol combines for the first time proven and effective tools for whole-system improvement in school districts. Although these tools have been used singly and effectively for more than 40 years, they never have been combined to provide educators with a comprehensive, unified, systematic, and systemic protocol for redesigning entire school systems. The protocol is illustrated in the [Figure 6.5](#).

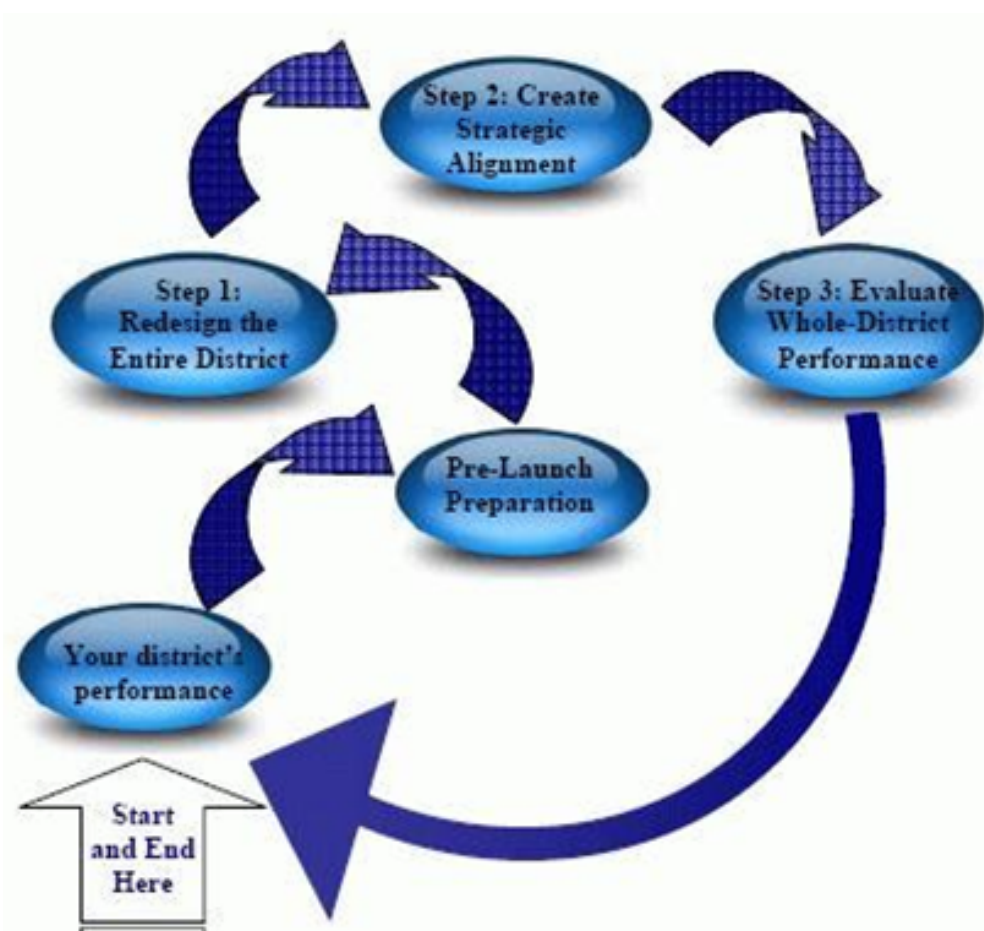


Fig. 6.5: Step-Up-To-Excellence

SUTE is an innovative approach to creating and sustaining whole-system change in school districts. The change navigation protocol for implementing SUTE is described below. The protocol also links the theory of system wide organization improvement to proven tools for improving whole-systems and innovative methods for improving knowledge work. The phrase “proven tools” is not used frivolously. Tools integrated into SUTE have years of research and successful experience supporting their effectiveness. Two of these tools are Merrelyn Emery's Search Conference and Participative Design Workshop (Emery, 2006; Emery & Purser, 1996). A third tool that can be used instead of Emery's Search Conference is Weisbord and Jano's Future Search (in Schweitz & Martens with Aronson, 2005). A fourth tool is Harrison Owen's (1991, 1993) Open Space Technology. Elements of Dannemiller's Real Time Strategic Change (Dannemiller & Jacobs, 1992; Dannemiller-Tyson Associates, 1994) also have been blended into SUTE. Another set of tools incorporated into SUTE is from field of socio-technical systems (STS) design (e.g., van Eijnatten, Eggermont, de Goffau, & Mankoe, 1994; Pava, 1983a, 1983b).

Concepts and Principles Underpinning the SUTE Change Protocol

The unit of change for SUTE is an entire school system. This is an essential principle that forms the foundation of the SUTE protocol. The rationale for this principle can be drawn from teachings as old as the Bible where it was said, “As a body is one though it has many parts, and all the parts of the body, though many, are one body . . .if one part suffers, all the parts suffer with it; if one part is honored, all the parts share the

joy" (1 Corinthians 12:12, 12:26). In much the same way, a school district is one system even though it is composed of many "parts."

Although a school district is a system, the dominant approach to improving school districts is not systemic; rather, it is based on the principles of school-based management, which aims to improve one-school-at-a-time or one-program-at-a-time. Many of the best current and past education reform programs are limited in their scope of impact because they focus almost exclusively on changing what happens inside single schools and classrooms. This focus is not misguided. Schools and classrooms are where changes need to happen. School-based reform must continue. But, it needs to evolve to a different level because this focus is insufficient for producing widespread, long-lasting district-wide improvements.

The one-school-at-a-time approach creates piecemeal change. Piecemeal change inside a school district is an approach that at its worst does more harm than good and at its best is limited to creating pockets of "good" within school districts. When it comes to improving schooling in a district, however, creating pockets of good is not good enough. Whole school systems need to be improved.

If history offers any guidance for the future, one consequence of piecemeal change is that good education change programs that attempt to improve student learning will come and go, largely with mediocre results. When there is success, it will be isolated in "pockets of excellence." Regarding this phenomenon, Michael Fullan (in Duffy, 2002) said,

What are the 'big problems' facing educational reform? They can be summed up in one sentence: School systems are overloaded with fragmented, ad hoc, episodic initiatives [with] lots of activity and confusion. Put another way, change even when successful in pockets, fails to go to scale. It fails to become systemic. And, of course, it has no chance of becoming sustained. (p. ix)

Many believe that change in school districts is piecemeal, disconnected, and non-systemic. Jack Dale, Maryland's Superintendent of the Year for 2000 and the current superintendent of the Fairfax County Public Schools in Virginia commented on the problem of incremental, piecemeal change. He said piecemeal change occurs as educators respond to demands from a school system's environment. He asked (in Duffy, 2002),

How have we responded? Typically, we design a new program to meet each emerging need as it is identified and validated.... The continual addition of discrete educational programs does not work.... Each of the specialty programs developed have, in fact, shifted the responsibility (burden) from the whole system to expecting a specific program to solve the problem. (p. 34)

Another person who commented on the ineffectiveness of piecemeal change was Scott Thompson, Assistant Executive Director of the Panasonic Foundation, a sponsor of district-wide change. In talking about piecemeal change, Thompson (2001) said, "The challenge [of school improvement], however, cannot be met through isolated programs; it requires a systemic response. Tackling it will require fundamental changes in the policies, roles, practices, finances, culture, and structure of the school system" (p. 2).

Regarding the inadequacies of the one-school-at-a-time approach, Lew Rhodes (1997), a former assistant executive director for the American Association of School Administrators said,

It was a lot easier 30 years ago when John Goodlad popularized the idea of the school building as the fundamental unit of change.... But now it is time to question that assumption not because it is wrong but because it is insufficient. Otherwise, how can we answer the question: 'If the building is the primary unit at which to focus change efforts, why after 30 years has so little really changed?' (p. 19)

Focusing school improvement only on individual school buildings and classrooms within a district also leaves some teachers and children behind in average and low performing schools. Leaving teachers and students behind in average or low performing schools is a subtle, but powerful, form of discrimination. School-aged children and their teachers, families, and communities deserve better. It is morally unconscionable to allow some schools in a district to excel while others celebrate their mediocrity or languish in their desperation. Entire school districts must improve, not just parts of them.

There are two additional consequences of piecemeal change within school systems. First, piecemeal improvements are not and never will be widespread; second, piecemeal improvements are not and cannot be long-lasting. Widespread and long-lasting improvements require district-wide change led by courageous, passionate, and visionary leaders who recognize the inherent limitations of piecemeal change and who recognize that a child's educational experience is the cumulative effect of his or her "education career" in a school district.

The SUTE Change Protocol

SUTE is a three-step process preceded by a Pre-Launch Preparation phase and it is cyclical. ¹The SUTE journey proceeds as follows:

- Pre-Launch Preparation
- Step 1: Redesign the entire school district
- Step 2: Create strategic alignment
- Step 3: Evaluate the performance of the entire school district
- Recycle to Pre-Launch Preparation

Pre-Launch Preparation

One of the most common reasons for the failed transformation efforts is the lack of good preparation and planning (Kotter, 1996). What happens during the preparation phase will significantly influence the success (or failure) of a district's transformation journey. So change leaders have to take the time to do these activities in a carefully considered manner. Quick fixes almost always eventually fail even though they may produce an immediate illusion of improvement.

The early Pre-Launch Preparation activities are conducted by the superintendent of schools and several hand-picked subordinates. All of these people comprise a "pre-

1. The first version of SUTE was called Knowledge Work Supervision (KWS). It was first described in Duffy (1995, 1996). KWS evolved into Step-Up-To-Excellence in Duffy (2002) and it had 5 steps. Recently, using feedback from the field, the protocol was improved by reducing the protocol to 3 steps as described in this article.

launch team.” The superintendent may also wish to include one or two trusted school board members on this small starter team. It is also important to know that this small team is temporary and it will not lead the transformation journey that will be launched later in the preparation phase. This team only has one purpose to complete early activities to prepare the district for whole-system change.

There are many pre-launch preparation activities (see Duffy 2003, 2004c). They are all important. Some of the tasks should be initiated simultaneously (e.g., building political support among internal and external stakeholders while simultaneously scouting-out “best-practices” and funding sources to support the change process). Others need to be sequenced (e.g., assess and document the need for the district to change followed by the development of clear and powerful public relations messages about that need followed by a Community Engagement Conference followed by a District Engagement Conference).

Research (Sirkin, Keenan & Jackson, 2005) suggests there are four key factors that affect the success or failure of a transformation effort. These factors must be addressed during the Pre-Launch Preparation phase. Sirkin, Keenan and Jackson call these the “hard factors of change.” They are:

- Duration: the amount of time needed to complete the transformation initiative;
- Integrity: the ability of the change leadership teams to complete the transformation activities as planned and on time; which is directly affected by the team members' knowledge and skills for leading a transformation journey;
- Commitment: the level of unequivocal support for the transformation demonstrated by senior leadership as well as by employees;
- Effort: the amount of effort above and beyond normal work activities that is needed to complete the transformation.

Let us look at each of these factors more closely.

- Hard Factor #1: Duration. There is a common assumption that transformation efforts that require longer timelines are more likely to fail. Contrary to this common assumption Sirkin, Keenan, and Jackson's (2005) research suggests that long-term transformation efforts that are evaluated frequently are more likely to succeed than short-term projects that are not evaluated. It seems that the frequent use of formative evaluation during a transformation journey has a significant positive effect on the success of that journey.
- Hard Factor #2: Integrity. The question this factor addresses is “Can we rely on the change leadership teams that we create to facilitate the transformation journey effectively and successfully”? The importance of the answer to this question cannot be understated. The success of a district's transformation journey will be directly affected by the knowledge and skills of the people who staff the various change leadership teams that must be chartered and trained to provide change leadership. Change leaders need to get their district's best people on these teams, where “best” means smart, articulate, influential, and unequivocally committed to the transformation goals.
- Hard Factor #3: Commitment. Transformational change must be led from the top of a school district. The superintendent must not only provide verbal support for

the transformation but he or she must also demonstrate behavioral support by participating in transformation activities.

Initial commitment to the transformation must also be present among approximately 25% of a district's faculty and staff. This cadre of supporters is called a "critical mass." Block's (1986) discussion of political groups in organizations offered a useful way to identify who does and does not support leadership in organizations. His model can be modified to identify who does and does not support a school district's transformation journey.

Block used two dimensions (vertical and horizontal) to identify five political groups in organizations. When adapted to support a district's transformation journey, the vertical axis of his model would be the level of agreement about the district's transformation goals. The horizontal axis would represent the level of trust between and among people in the district. The intersection of these two axes creates five political groups:

Allies: high goal agreement and high trust;

Opponents: low goal agreement, but high trust it may be possible to convert these people into allies; Bedfellows: high goal agreement, but low to moderate levels of trust;

Adversaries: low agreement on goals and low trust who will probably never be converted to allies or bedfellows. Fencesitters: these people cannot decide where they stand on the goal of transforming their school district. They usually have a wait and see attitude toward the changes that are being proposed.

Block offered political strategies for working with each group. These strategies can be used during the Pre-Launch Preparation phase to build internal and external political support for a district's transformation journey.

- **Hard Factor #4: Effort.** When planning the transformation of a school district change leaders some-times do not realize or do not know how to deal with the fact that faculty and staff are already busy with their day-to-day responsibilities (see objection #3 at the end of this article). If in addition to these existing responsibilities faculty and staff are asked to join the change leadership teams that are required to transform their district their level of resistance toward the transformation journey will increase.

Sirkin, Keenan and Jackson (2005, p. 6) suggested that ideally the workload of key employees (i.e., those who have direct change leadership responsibilities) should not increase more than 10% during a transformation effort. Beyond the 10% limit resources for change will be overstretched, employee morale will plummet, and interpersonal and inter-group conflict will increase. Therefore, decisions must be made about how to manage the workload of the people who are invited to join the change leadership teams that are formed for the SUTE journey.

Making a launch/do not launch decision. At some point the pre-launch team will decide if their school system is ready or not ready to launch a full-scale transformation journey; that is, they will make a "launch/don't launch" decision. If a launch decision is made, then a new leadership team is chartered and trained to provide strategic leadership for the duration of the transformation journey. This team, because of its purpose, is called a Strategic Leadership Team and it is staffed by the

superintendent and several others, including teachers and building administrators appointed to the team by their peers (not by the superintendent). This team also appoints and trains a Change Navigation Coordinator who provides daily, tactical leadership for the SUTE journey.

Near the end of the Pre-Launch Preparation phase, the Strategic Leadership Team and Change Navigation Coordinator organize and conduct a 3-day Community Engagement Conference that can bring into a single room hundreds of people from the community who then self-organize into smaller discussion groups around topics related to the district's transformation effort. This conference is designed using Harrison Owen's (1991, 1993) Open Space Technology design principles. The results of this conference are used as front-end data for another large-group event for the district's faculty and staff. This event is called a District Engagement Conference.

The 3-day District Engagement Conference is a strategic planning conference that brings the whole district into one room. This conference uses the design principles of Weisbord and Janoff's Future Search (in Schweitz & Martens with Aronson, 2005) or Emery's (2006) Search Conference (either set of principles will work for this conference). Bringing the whole district into the room, however, does not mean that every single person who works in the district participates in the conference. Instead, the Strategic Leadership Team and Change Navigation Coordinator ask each department, team, and unit within the district to send at least one person to participate in the conference. In this way, the whole system is represented in the conference room. The outcome of this conference is a new strategic framework for the district that includes a new mission, vision, and strategic plan; as well as parameters for guiding the transformation journey.

At the completion of the District Engagement Conference the Strategic Leadership Team and Change Navigation Coordinator organize the district into academic clusters (e.g., a cluster can be one high school and all the middle and elementary schools that feed into it), a cluster for the central administration staff, and a cluster for all other supporting work units. They also charter and train a Cluster Design Team for each cluster.

As stated earlier, the unit of change for SUTE is an entire school system rather than individual schools within a system. Although the entire system is the unit of change the SUTE journey is navigated by organizing the system into academic clusters, a cluster for the central administration, and a cluster for all nonacademic supporting work units. The academic clusters must include at least one school-based administrator and one teacher from each level of schooling within the cluster (e.g., in a preK-12th grade cluster there should be one administrator and one teacher from the elementary, middle, and secondary levels of schooling). This membership formula assures that the entire instructional program within an academic cluster is represented.

One cluster is also formed for the central office staff. This cluster includes all the functions housed in the central administration unit. Finally, there is cluster formed for the nonacademic supporting work units (e.g., cafeteria, building and grounds maintenance, and transportation).

All of these clusters are formed to facilitate the district's transformation journey. Each cluster has a Cluster Design Team that is trained in the principles of whole-system change. Each team guides the SUTE transformation journey within its respective cluster. The daily work of all the Cluster Design Teams will be coordinated by the Change Navigation Coordinator. The Strategic Leadership Team provides broad strategic oversight of the teams and the coordinator.

Step 1: Redesign the Entire School District

Navigating whole-system change requires simultaneous improvements along three paths:

- Path 1: Improve the district's relationship with its external environment, which improves relationships with key external stakeholders.
- Path 2: Improve the district's core and supporting work processes (core work is teaching and learning; supporting work includes secretarial work, administrative work, cafeteria work, building maintenance work, and so on).
- Path 3: Improve the district's internal social infrastructure (which includes organization design, governance, policies, organization culture, reward systems, job descriptions, communication, and so on.)

Near the beginning of Step 1, the Cluster Design Teams collaborate with the Change Navigation Coordinator to organize their respective clusters to begin the transformation journey. They do this by chartering Site Design Teams within each school building inside the academic clusters, within the central office cluster, and within the supporting work unit cluster. These Site Design Teams are staffed with highly regarded faculty and staff who do the daily work of teaching children, managing their administrative units, or providing support services. The people on these teams will be the ones who create innovative and powerful ideas for improving their building or work unit's 1) relationships with the external environment; 2) work processes; and 3) internal social infrastructure. This is an important principle because the field of systemic change believes that the people who actually do the work are the people best qualified to improve it (Emery, 1977; Emery, 2006; Emery & Purser, 1996; Weisbord, 2004).

The Site Design Teams are formed early in Step 1 and they receive training on principles of whole-system change. This training is provided by the Change Navigation Coordinator and the Cluster Design Teams in collaboration with an external consultant. At the completion of the training on whole-system change, each of the academic Cluster Design Teams organizes a Cluster Engagement Conference. These conferences are designed in the same way as the earlier District Engagement Conference by using Weisbord and Janoff's (in Schweitz & Martens with Aronson, 2005) Future Search principles or Emery's (2006) Search Conference principles. The central office and supporting work unit clusters will have a similar conference later in the transformation journey.

The Cluster Engagement Conferences are 3-day events. Each Cluster Design Team invites all of the Site Design Teams within its cluster to participate in the conference. The purpose of the conference is to create a "fuzzy" idealized design (Ackoff, 2001; Lee & Woll, 1996; Reigeluth, 1995) for each cluster. The idealized design must be aligned

with the district's new strategic framework (mission, vision, and strategic goals) that was created earlier during the District Engagement Conference. The idealized design must also frame in broad terms how each cluster will make simultaneous improvements along three change-paths: Path 1 - relationships with external stakeholders; Path 2 - its work processes; and Path 3 - its internal social infrastructure.

The Cluster Design Conferences are quickly followed by a Redesign Workshop for each cluster. The Cluster Design Team organizes this three-day event for all of the Site Design Teams within its cluster. All members of the Site Design Teams participate in these workshops. The Redesign Workshops are organized using Emery's (2006) principles for designing Participative Design Workshops. The outcome of these three-day events is a proposal for transforming each cluster and every school within each cluster. These proposals contain specific, actionable ideas for making simultaneous improvements along the three change-paths identified earlier (i.e., each cluster's environmental relationships, work processes, and internal social infrastructure).

The number of change proposals will vary depending on the number of academic clusters within a district. It is appropriate and acceptable for each cluster to have different ideas for making improvements within their clusters as long as the ideas are clearly aligned with the district's grand vision and strategic framework. Allowing faculty and staff within each cluster to create innovative, but different, ideas for making improvements within their cluster is an example of applying the principle of equifinality (Cummings & Worley, 2001) to empower and enable the people who actually do the work of the district to make changes that make sense to them.

Although each cluster is encouraged to create innovative ideas for making simultaneous improvements along the three change-paths for their cluster, all of these improvements must be unequivocally aligned with the district's grand vision and strategic framework. To assure this strategic alignment, the Strategic Leadership Team reviews and approves all of the redesign proposals. Items marked for rejection or put on hold for a later implementation date must be negotiated with the Cluster Design Teams that proposed them before those decisions are finalized. Items accepted for implementation become the final redesign proposal for each academic cluster.

Now it is time for the central office and supporting work units to join the transformation journey. The core work of the district is classroom teaching and learning. The core work process is embedded in the academic clusters that just completed their redesign activities (Cluster Engagement Conferences followed by Redesign Workshops). To be an effective district, all other work in the school system must be aligned with and supportive of the district's core work processes (i.e., classroom teaching and learning); therefore, the central office and supporting work units must be redesigned to clearly and unequivocally support the changes that were proposed for the academic clusters

The central office and supporting work units participate in the same redesign process that the academic clusters just completed; i.e., they participate in Cluster Engagement Conferences and Redesign Workshops. The major outcome of the Cluster Engagement Conference and Redesign Workshops for the central office is to transform that unit into a central service center that acts in support of the academic clusters and the schools within those clusters while simultaneously supporting the

district's grand vision and strategic framework. The major outcome of the Cluster Engagement Conference and Redesign Workshops for the supporting work units is to devise ways in which the work of these units can best support the academic clusters and the individual schools within them while also supporting the district's grand vision and strategic framework.

The Strategic Leadership Team now has redesign proposals from each of the academic clusters, the central office cluster, and the supporting work unit cluster. These proposals are consolidated into a master redesign proposal for the entire school system, which is then submitted to the district's school board for review and approval.

Next, the Strategic Leadership Team and Change Navigation Coordinator have the challenging task of finding the money to implement the master change proposal. Earlier during the Pre-Launch Preparation phase the Strategic Leadership Team scouted-out funding opportunities by identifying some state and federal agencies or philanthropic organizations that could be sources of money to support their district's transformation journey. Now, they approach these agencies and organizations by submitting grant proposals requesting financial support.

Money from outside agencies is often characterized as "extra" money because it is above and beyond the money in a district's normal operating budget. Even though extra money may be needed to sustain the first cycle of a transformation journey, money to kick-start a transformation journey can be found in district's current operating budget using budget reallocation strategies. Further, future cycles of SUTE should also be funded by permanent dollars in a district's budget. Additional information about how to pay for systemic change is found near the end of this article and in Duffy (2003).

Once the district has "seed" money to kick-start the transformation journey, the Strategic Leadership Team distributes the financial, human, and technical resources to the Cluster Design Teams so they can implement their sections of the master redesign proposal. The Cluster Design Teams delegate implementation responsibilities to the Site Design Teams within their domain. The implementation activities are managed on a daily basis by the Site Design Teams in each building and work unit and coordinated by the respective Cluster Design Teams in collaboration with the Change Navigation Coordinator. The Strategic Leadership Team provides broad strategic oversight of the entire implementation phase.

Implementation of new ideas and practices will require the school system, all the clusters, all of the individual schools and work units, and all individual faculty and staff to move through a learning curve, which always starts with a downhill slide in individual and organizational performance followed by an upward climb toward excellence (this learning curve is characterized as the "first down, then up" principle. Organizational Learning Networks (OLN) can facilitate and support the "first down, then up" experience. OLN are informal communities of practice that focus learning on issues, problems, or opportunities related to the implementation of a district's master redesign proposal. They can be designed using Dufour and Eaker's (1998) principles for organizing learning communities. To facilitate the development and

dissemination of professional knowledge throughout the school system, the OLN's are required to share their learning with everyone in the district.

Most large-scale change efforts fail during the implementation period; especially if the change timeline is long and if the transformation activities and outcomes are not periodically evaluated (Sirkin, Keenan, & Jackson, 2005). Because of the possibility of failure it is important for change leaders to design and facilitate On-Track Seminars. On-Track Seminars are specially designed seminars that engage faculty and staff in periodic evaluative inquiry (Preskill & Torres, 1998) about the change process and its outcomes. The formative evaluation data from the seminars are used to keep the transformation journey on course toward the district's grand vision and strategic goals. These seminars also:

- Facilitate individual, team and district-wide learning;
- Educate and train faculty and staff to use inquiry skills;
- Create opportunities to model collaboration, cooperation and participation behaviors;
- Establish linkages between learning and performance; Facilitate the search for ways to create greater understanding of what affects the district's success and failure; and,
- Rely on diverse perspectives to develop understanding of the district's performance.

During the period of formative evaluation it is important to assess the quality of discontent among people working in the school system and among key external stakeholders. The quality of discontent is a diagnostic clue about the relative success of a school system's transformation journey. In less healthy organizations, people complain about little things - low-order grumbles. These gripes are manifestations of what Abraham Maslow (in Farson, 1996, p. 93) called deficiency needs. In successful organizations, people have high-order gripes that focus on more altruistic concerns. In very successful organizations, people engage in metagripes complaints about their need for self-actualization. When change leaders hear these meta-gripes they will know that their system is stepping up to excellence.

Step 2: Create Strategic Alignment

After redesigning the district as described above, step 2 invites change leaders and their colleagues to align the work of individuals with the goals of their teams, the work of teams with the goals of their schools and work units, the work of schools and work units with the goals of their clusters, and the work of clusters with the goals of the district. Combined, these activities create strategic alignment.

Creating strategic alignment accomplishes three things (Duffy, 2004c). First, it assures that everyone is working toward the same broad strategic goals and vision for the district. Second, it weaves a web of accountabilities that makes everyone who touches the educational experience of a child accountable for his or her part in shaping that experience. And third, it has the potential to form a social infrastructure that is free of bureaucratic hassles, dysfunctional policies, and obstructionist procedures that limit individual and team effectiveness. It is these dysfunctional

hassles, policies, and procedures that cause at least 80% of the performance problems that we usually blame on individuals and teams (Deming, 1986).

Step 3: Evaluate Whole-District Performance

Finally, in Step 3, the performance of the entire transformed district is evaluated using principles of summative evaluation (e.g., Stufflebeam, 2002, 2003). The purpose of this level of evaluation is to measure the success of everyone's efforts to educate children within the framework of the newly transformed school system. Evaluation data are also reported to external stakeholders to demonstrate the district's overall success in achieving its transformation goals.

After change leaders and their colleagues work through all three steps of Step-Up-To-Excellence they then focus on sustaining school district improvement by practicing continuous improvement at the district, cluster, school, team, and individual levels of performance. Then, after a predetermined period of stability and incremental improvements, they "step-up" again by cycling back to the Pre-launch Preparation Phase. Achieving high-performance is a lifelong journey for a school district.

In Anticipation of "Yes, Buts"

Whenever Step-Up-To-Excellence is presented to an audience predictably three key objections are voiced. These common objections and responses to them are presented below. It is very important for change leaders and school public relations specialists to anticipate objections to whole-system change and then prepare well-crafted messages that preempt the objections. By anticipating and preempting the objections, initial resistance to change can be significantly reduced. Further, the best time to anticipate and preempt objections is during the Pre-Launch Preparation phase of SUTE.

Objection #1: "Yes, This Is An Interesting Idea. But Where Is This Being Used"?

One of the greatest "innovation killers" in the history of mankind is captured in the question, "Where is this being used? Or, its corollary, "Who else is doing this?" Can you imagine Peter Senge (1990) being asked this question when he first proposed his 5th Discipline ideas; or perhaps Morris Cogan (1973) when he first described the principles of Clinical Supervision?

New ideas, by definition, are not being used anywhere, but they want to be used. However, being the first at doing anything, especially doing something that requires deep and broad change demands a high degree of leadership courage, passion, and vision. Many change leaders in education do indeed have the requisite courage, passion, and vision to be the first to try innovative ideas for creating and sustaining whole-system improvement, but they do not know how to lead whole-system change. These heroic leaders need a protocol especially designed to create and sustain whole-system change.

The most direct answer to the above objection is that Step-Up-To-Excellence is being used in the Metropolitan School District of Decatur Township in Indianapolis, Indiana. The protocol has been blended with a protocol created by Dr. Charles Reigeluth called the Guidance System for Transforming Education (GSTE). Dr.

Reigeluth is also facilitating that systemic change effort ². Although this is the direct answer to the objection, more needs to be said.

New methodologies to create and sustain district-wide change are not perfect and they never will be. Educators should not even try to find a perfect protocol. Instead, they need to examine new methods for navigating whole-district change, study how they work, find glitches in the processes, and search for logical flaws in the reasoning behind the methods. Then, assuming that a method is based on sound principles for improving whole systems, educators should then think about how they might correct the flaws to make the method work for their districts.

Some people read about whole-district change and exclaim, "Impossible"! Impossible is what some people think cannot be done until someone proves them wrong by doing it. Whole-district change not only "is-possible," but it is being done successfully in school systems throughout the United States; e.g., in the Baldrige award-winning school districts of Chugach Public Schools in Anchorage, Alaska; the Pearl River School District in New York; and the Jenks Public Schools in Oklahoma. Other districts engaged in district-wide change were described in a research study by Togneri and Anderson (2003). The districts in that study were:

- Aldine Independent School District, Texas
- Chula Vista Elementary School District, California
- Kent County Public Schools, Maryland Minneapolis Public Schools,
- Minnesota
- Providence Public Schools, Rhode Island

The improvements these districts experienced were guided by many of the principles that underpin SUTE. So, if educators read about a protocol that seems impossible, they should ask, "If other school districts are using ideas and principles like these, why can't we?"

Some educators and policymakers will read about whole-district change and say, "Impractical." Not only are the core principles and change-tools based on these principles practical, many of them are proven to work in school districts and other organizations throughout the United States. So, if and when educators and policymakers think that trying to improve an entire school system is impractical they should ask, "If other school districts have used these principles effectively, why can't we?"

Some people will read this article and proclaim, "Wow, these ideas are really far out. They are way outside the box." It is my hope that readers will say this. If they do, this means I have succeeded in offering them some innovative ideas to think about and apply. And, if and when they see something that seems "way outside the box," they should ask, "If this idea is outside the box, what box are we in?" and, "Do we want to stay inside this box of ours?"

Objection #2: "Yes, This Is A Nice Idea. But, How Do We Pay for This"?

The second biggest innovation killer in the world is found in the question, "How do we pay for this"? Unlike traditional reform efforts, whole-district change cannot be

2. You may visit the website for that district's transformation journey at http://www.indiana.edu/syschang/decatour/change_process.html.

sustained solely through small increases in operating budgets, nor can it be sustained with “extra” money from outside the district. Because whole-system transformation touches all aspects of a school district's core operations, it imposes significant resource requirements on a district and demands a rethinking of the way current resources are allocated, as well as some creative thinking about how to use “extra” money that will be needed to jump start systemic reform.

Because there seems to be a scarce amount of literature on financing whole-district change, innovative, ground-level tactics, methods, and sources are needed to help educators find the financial resources they need to transform their school systems into high-performing organizations of learners. What follows are some insights about how to do this (these insights are explored more deeply in Duffy, 2003).

Below, you will find a brief discussion of some fundamental principles that are important for financing whole-district change.³ Many of these principles are advocated by school finance experts (e.g., Cascarino, 2000; Clune, 1994a; Keltner, 1998; Odden, 1998). The fundamental principles are:

- Think creatively about securing resources. Instead of saying “We can't do this, because . . . say, “We can do this. Let's be creative in figuring out how?”;
- Develop a new mental model for financing school system improvement that helps change leaders think outside the box for creating innovative solutions to their resource allocation challenges;
- Embed the resources to support a whole-district improvement protocol in a school district's organization design and its normal operational budget;
- Develop a new mental model for financing school system improvement that helps change leaders create innovative solutions to resource allocation challenges (Odden, 1998);
- Fund whole-system improvement in the same way that a core program or activity is funded; i.e., with real dollars that are a permanent part of a school district's budget;
- Reallocate current operating money to support whole-district improvement (Keltner, 1998);
- Over time, reduce “extra” resources for whole-district improvement to near zero while increasing internal resources to support systemic improvement;
- As needed, combine federal funds in innovative ways to directly support district-wide improvements in teaching and learning (see Cascarino, 2000, p. 1);
- Focus thinking on financing for adequacy rather than on financing for equity (see Clune, 1994a, 1994b);
- When seeking outside money, make sure that the requirements and goals of the funding agency do not conflict or constrain the vision and strategic direction of the district's transformation journey; and,
- Employ superior communication skills so all stakeholders recognize the true purpose of a district's budget reallocation strategy, how it will work, and what the benefits will be.

3. These principles were developed in collaboration with Jason Cascarino and Chris Henson. Jason is Director of Marketing and New Initiatives for Citizen Schools in Boston. Chris is the Assistant Superintendent for Business and Facility Services for the Metro Nashville Public Schools in Tennessee. Chris is also the former Assistant Director for Finance and Administration for the Franklin Special School District in Tennessee where he helped develop financial strategies to pay for whole-system change in that district.

Objection #3: Yes, Nice Idea. But, We Can Not Stop Doing What We Are Doing

Another important and significant obstacle to gaining support for whole-system change is that school districts have a core mission; i.e., they must provide children with approximately 180 days of classroom teaching and learning. Given the complexity of whole-system change and given the time required to plan and implement this kind of change, some educators and policymakers will object by saying, “Nice idea, but we can't stop doing what we're doing to participate in this kind of change process. We have to show up each day and teach kids.”

Of course, this objection is based on the realities of life in school systems. That is why it is so difficult to respond to this objection. But there is a response and it is derived from the experiences of real people making real changes in complex organizations with core missions that cannot be ignored. The response is that the Strategic Leadership Team and Change Navigation Coordinator must create a parallel organization after the launch decision is made during the Pre-Launch Preparation Phase.

The concept of parallel organizations is from the fields of organization theory and design and systemic change (e.g., Stein & Moss Kanter, 2002). A parallel organization, which is sometimes called a “parallel learning structure” (Human Resource Development Council, date unknown) is a change management structure.

A parallel organization is created during the Pre-Launch Preparation Phase of SUTE and it is represented by the collection of change navigation teams and change processes that are temporarily established to transform an entire school system. A simple illustration of this concept is found in the [Figure 6.6](#).

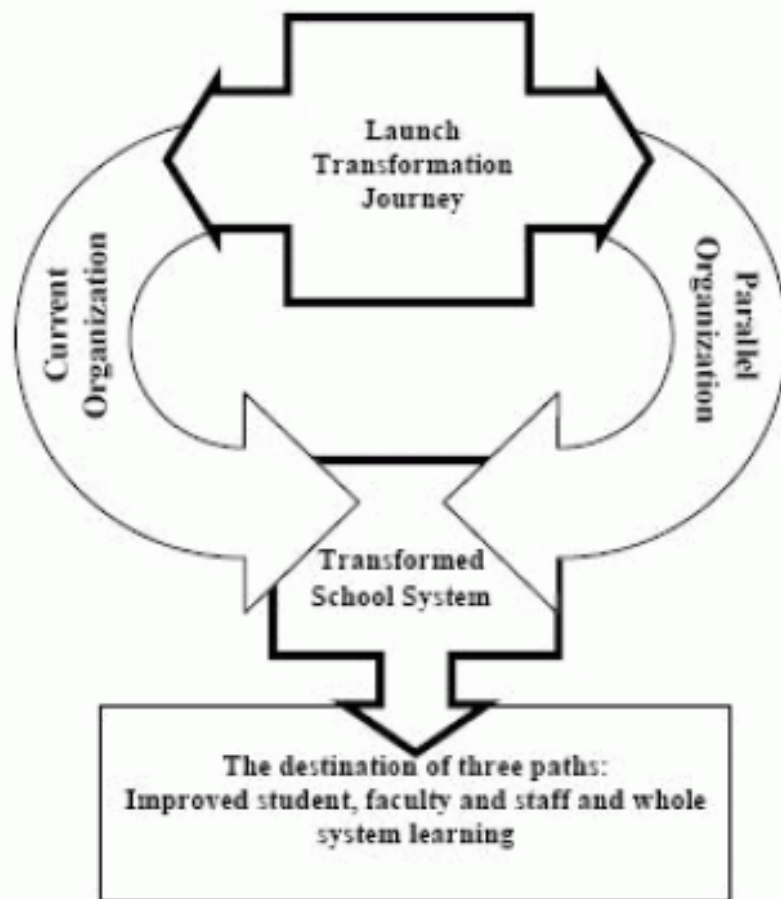


Fig. 6.6: The Parallel Organization

The parallel organization is created by temporarily “transferring” carefully selected and trained educators into the parallel organization, which is constructed using the various change leadership teams. These people then create the new system.

Educators not transferred into the parallel organization continue to operate the current school system, thereby helping the district to achieve its core mission; i.e., educating children. Even though they are performing within the boundaries of the current system these educators are participating in Organization Learning Networks to help them learn the new knowledge and skills that they will need to perform successfully in the transformed school system.

In Step 1 of the SUTE protocol a master redesign proposal is created. At some point during Step 1 that proposal is implemented. As it is implemented the “old” system is transformed into the “new” system and the district continues to achieve its core mission, but it does so within the framework of a transformed system.

Conclusion

New change theory is based on the concept of flux. It recognizes that change is nonlinear and requires school districts to function at the edge of chaos as educators seek controlled disequilibrium to create innovative opportunities for improvement. New change theory tells us that to improve the performance level of a school district the system must first move downhill before it can move up to a higher level of performance. New change theory requires school districts to use a networked social infrastructure where innovations are grown from within and used to create whole-

district change. New change theory requires a simultaneous ability to anticipate the future and respond quickly to unanticipated events. New change theory requires a protocol specifically designed to enact the concepts and principles that are part of the theory.

New change theory also requires change leadership that is distributed throughout a school district change leaders who are courageous, passionate and visionary and who use their power and political skills in ethical ways. Leaders like this are priceless and absolutely necessary. Leaders of this class work their magic by helping others to see the invisible, to do the seemingly impossible, and to create new realities heretofore only imagined. Creating world-class school districts that produce stunning opportunities for improving student, faculty and staff, and whole system learning can only be done under the stewardship of these kinds of leaders.

Leading whole-system change is not for the timid, the uninspired, or the perceptually nearsighted. It requires personal courage, passion, and vision. It is my hope that change leaders reading this article will find in these pages the key that unlocks or reinforces their personal courage, passion, and vision to lead this kind of large-scale effort. If they do step forward to accept that mission, they need to know that they step forward into a world that is not fully illuminated by research findings, a world that is a minefield of socio-political warfare and turf-battles, and into a world where they will often suffer emotional pain and feelings of betrayal by those they thought loyal. They may even lose their job. But, with courage, passion, and vision, I believe they can create a coalition of like-minded change leaders within and outside their district, and in collaboration with this coalition, together, they can endure the pain and betrayal, move forward toward their collective vision, and ultimately succeed in creating and sustaining previously unimagined opportunities for improving student, faculty and staff, and whole-system learning in their school district.

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Chapter 7 Utilizing Distance Education in Your Professional Development



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Fig. 7.1: NCPEA

^{note:} This module has been peer-reviewed, accepted, and sanctioned by the National Council of the Professors of Educational Administration (NCPEA) as a scholarly contribution to the knowledge base in educational administration.

As technology expands the professional development available outside the traditional classroom, it is important that educational executives consider the role of distance education in the development of school leaders. The student population has changed with many older adults, particularly school administrators attending universities and urging the universities to provide instruction in more convenient ways. More districts are seeking to develop leadership in their districts through customized leadership programs. "Working adults want education delivered direct to them, at home or the workplace . . . Preparation may be weaker than among conventional students; motivation may be stronger" (Jones & Pritchard, 1999, p. 56).

These new methods of delivery include television and the Internet, both of which allow students to access coursework miles from the traditional campus classroom. Instruction will have to change and assignments will need to be more tailored to a population that is not on campus. College instructors will increasingly encounter classes that are much larger than the traditional graduate level class. Decisions regarding which courses are selected for distance education need to be carefully considered. As Lamb and Smith (2000) pointed out, "The distance education environment tends to exaggerate both the positive and the negative aspects of all the elements of instruction" (p. 13). Kelly (1990) noted that instructors must develop new skills for distance education teaching in the areas of timing, teaching methods, feedback from students at remote sites, and the evaluation of students.

Stammen (2001) noted that technologies in and of themselves do not change the nature of leadership but the way educators use the technology does. The new technology requires instructors to re-consider and develop additional learner centered environments. To make learning happen instructors need to understand

both how to work the content and how the technology is impacting their instruction. Some are skeptical of university motives noting the prospect of not having to build new facilities to accommodate more students has great economic appeal (Weigel, 2000). Regardless, the opportunity to improve the instruction and availability through the new technology is here to stay.

It is important to determine the effectiveness of the new methods of delivery and periodically compare them to traditional campus classroom instruction. Swan and Jackman (2000) discussed Souder's 1993 comparison of distance learners with traditional learners, stating that the distance learning students "performed better than the host-site learners in several areas or fields of study, including exams and homework assignments" (p. 59). Citing the limited number of studies comparing different methods of instruction in higher education, Swan and Jackson looked at remote-site and home-site students at the secondary school level. They found no significant differences in student achievement between the two sites when comparing grade point averages.

Methodology

In 2002, educational leadership students in our school finance class and school principalship classes at Ball State University were surveyed (Sharp & Cox, 2003). Of these students, 12 in the finance class were in a studio classroom, with 89 taking the course on television at 42 off-campus sites around the state of Indiana. In the principalship course, 25 students were in the studio and 60 were at 22 remote television sites. In 2004, when one of the professors had moved to the University of South Carolina, we again surveyed our distance learning classes. This time, we had 75 students in the school finance television class and seven in the studio class at Ball State. At South Carolina, we had 64 in the televised sections of school law and leadership theory and 35 students in the studio sections of those courses. The purpose of the identical surveys in both years was to see if there were differing points of view regarding the questioning format, attendance, and assessment procedures between the studio groups and the groups at the remote sites and whether there were any changes in opinion between the survey conducted in 2002 and the one done in 2004. We also wanted to collect data regarding any technological problems and information about the students themselves and their backgrounds.

The survey for the research study was added to an evaluation form so that all students would complete the survey. The results were not given to us until after final grades were submitted. Proctors at the remote sites distributed surveys to the students to complete onsite and then mailed them back to the office for scoring. Thus, every student in attendance completed a survey. The research questions addressed in the study were as follows: (a) What was the prior experience with television classes?, (b) How did students accept the practice of not being able to ask questions anytime they wished?, (c) Did students feel that attendance should be taken in these large classes?, (d) Did the students like the testing method used for them?, and (e) Were there major technological problems?.

Results and Discussion

Distance learning has become more popular with students in general and with educational leadership students in particular. We wanted to see if this was true with our students, and we wanted to see to what

extent they had prior experience with television classes. Also, it is possible that the attitude of the on-campus students towards the off-campus arrangements (taking time for attendance, discussing technological problems, etc.) could be affected if they had also utilized these off-campus classes in the past. We also wanted to know the experience that the educational leadership students had previously had with television classes to see how popular this format was for educational leadership students.

<u>Previous TV Classes</u>	<u>Studio Students</u>		<u>Remote</u>	
	2002	2004	2002	2004
0	30.6%	11.9%	42.6%	9.4%
1	22.2%	16.7%	23.3%	7.2%
2	19.4%	11.9%	14.7%	15.1%
3	16.7%	7.1%	6.2%	15.8%
4 or more	11.1%	52.4%	13.2%	52.5%

Fig. 7.2: Prior Experience with Television Classes, 2002 and 2004

While the majority of students in both 2002 groups had prior experience with television classes, less than 14% of either group had four or more courses. In 2004, over 52% of both groups had taken four or more courses by television before taking the courses that were surveyed. This is a large increase in the participation of students in distance education, and looking at the individual counts for the two universities (not shown here), this increase is evident for both places and from both groups of students studio and off-campus students. The figures show that over half of these students are taking, at the minimum, their fifth television course. Thus, whatever problems the students may have encountered, they continue to take courses with this delivery format. It should be noted that the studio students have taken the same number of courses via television (except this course). This may help explain why the majority of on-campus students were generally understanding of interruptions from off-campus sites, as shown in later results.

Technology enabled students at the remote sites to push a button to “dial in” to talk to the professor during class. When someone “dialed in,” a beep would sound in the studio classroom indicating that someone was calling. In discussing live television classes with other instructors, we were told that one common problem was that the students would call in without warning (unlike students raising their hands in class) and interrupt the flow of the class for all the other students and the instructor. In 2002, both of us told students that they could only call in to ask questions during designated question and answer times. Since this “waiting for permission to ask questions” was so different from the usual graduate classroom routine, we wondered

how the students would accept this new procedure. In our 2002 classes, the students cooperated and did not call into the studio until we asked for questions or until we called on students to call in to answer questions. In the earlier survey, we asked the students for their opinion on this “no call-in” rule. The results of that inquiry are summarized in the table below.

	Studio	Remote
2002	82.1% Yes	83.5% Yes
2004	57.1% Yes	81.3% Yes

Fig. 7.3: Was the “no call-in” rule reasonable?

The 2002 results indicated that 82.1% of the studio students said that this rule was reasonable due to the class size, and 83.5% of the remote site students agreed. In 2004, the same rule was in place for the Ball State students (but was not used in South Carolina). The Ball State students at the remote sites responded in a manner similar to the students two years ago, with 81.3% saying that the rule was a good one because of the class size. However, in the studio, only 57.1% said that they agreed with this rule in 2004, possibly due to the small number in the studio ($n=7$), as one or two students were not happy that they could not get immediate responses from the instructor like they could in a traditional class. (They had been told that they would be treated like the remote-site students, having to wait for a designated time to ask questions.)

Since phone calls that came from the remote sites would make a buzzing noise, the studio students were asked if they were bothered by these call-ins. Findings indicated that, in 2002, 66.7% of the campus students said that it never bothered them, and 30.6% said that it sometimes bothered them. In 2004, 85.7% of the campus students stated that they were never bothered by the call-ins, with 14.3% saying that it sometimes bothered them. One assumption may be that with students taking more and more television courses, they have become used to the call-ins.

The size of the classes meant that attendance took longer. The students were asked whether it was still appropriate to take attendance in these large classes. The results of that inquiry are summarized in the table below.

	<u>Studio</u>	<u>Remote</u>
2002	76.7% Yes	56.0% Yes
2004	42.9% Yes	32.4% Yes

Fig. 7.4: Should attendance be taken?

In the studio class, in 2002, 76.7% said that attendance should be taken, while 56.0% of the remote-site students felt that taking attendance was appropriate. In 2004, the percentages declined: 42.9% of the studio students said that attendance should be taken, with 32.4% of the remote-site students agreeing.

Another change was the way in which the educational leadership students were tested. There were two options that did not require students to come to campus. We could use the usual pencil and paper examination and mail them to the remote sites where a proctor would supervise the exams and return them by mail, or we could put the exams on the Internet and students could take them by computer.

In 2002, both methods of testing were used. The students in the school finance class were given the written exams, and the students in the principalship class were tested by computer. When the students were asked whether they preferred the way they were examined or whether they would prefer the alternate method, students in both classes preferred the way they were tested, even though they were tested in different ways. The results of that inquiry are summarized in the table below.

	<u>Studio</u>	<u>Remote</u>
Paper	100%	79.5%
Computer	68.2%	91.9%

Fig. 7.5: Approval of testing method

For the studio class taking a paper test (finance class), 100% said that they would prefer a paper test; for the off-campus students taking a paper test, 79.5% said that they liked that method. For the studio classes that completed exams on computer (principalship class), 68.2% said that they would prefer the computer for taking exams; for the off-campus students taking the computer test, 91.9% said that they would prefer that method. This seems to suggest that either way is acceptable to students. Since access to computers was the same for all students and since paper tests could have been used for all students, it seems that students simply preferred what was given to them.

In 2004, all students were tested using written tests, and they were asked whether they would prefer taking their exams that way or whether they would prefer tests on a computer. For the studio students, 69.0% said that they would prefer the way they had been tested by written exams. For those at the remote sites, 66.9% said that they would have preferred to have been tested by computer rather than by written exams.

We also surveyed the students about technology problems. Students attending class in the studio were not required to use telephones or to ask questions, and they did not need to utilize the television technology to view or hear the professor. If any studio students had been adverse to technology, it would not have affected their class. For off-campus students, however, bad weather could cause major problems with both the telephones and television technology.

When asked about problems with the audio and/or video, 59.7% of the 2004 off-site students said that the system worked all the time, 38.1% said that it sometimes did not work but was not a problem, and 1.4% said that it did not work a lot of the time and was a problem for them. While these figures were a slight improvement over 2002, it should be remembered that one of the sites changed from Ball State to South

Carolina. Still, it was reassuring to know that nearly 98% felt that they did not have a real problem with the television technology.

Students at the remote sites could call in for attendance or questions/answers on a phone system by pushing a button on a special phone at their site. This phone system worked all the time for 66.9% of the students in 2004, did not work sometimes but was not a problem for 27.3%, and did not work a lot of the time and was a problem for 2.9% of the students. As noted earlier, students were given a regular phone number to call into the television studio director's office and report problems with their special phones or problems with the television system. The director then notified us during the class and noted whether this was an isolated case or whether there were other sites that were having problems. Although 46.8% of the students did call into the studio to report technical problems, previously mentioned findings indicate that their outages were not considered a problem for most of them.

Off-campus students were asked if they ever had to order tapes/videostreaming of the presentations because of technical problems. The responses (2004) indicated that 10.1% ordered one tape or videostreaming, 2.9% ordered more than one tape/ videostreaming, and 86.3% did not have to order any recordings of the classes. Again, it appears that technical problems, though present at times, were not a major problem for the vast majority of the students, and there were provisions made for those who did have problems.

Previous researchers have sometimes stated that females had more problems with technology than males, and we wanted to see if females tended to take the on-campus class or the off-campus class or whether there was any difference in their choices. We also wanted to know what percentage of the students were classroom teachers and how many students taking these administrative courses were already school administrators. Finally, since recruitment of students is important to a department's survival, we wanted to know if we had students in our classes who were actually in programs at other universities and took our courses for convenience. Questions were asked to gather student information about gender and position. The results of that inquiry are summarized in the table below.

Gender/Position	<u>Studio</u>		<u>Remote</u>	
	2002	2004	2002	2004
Females	67.6%	35.7%	45.7%	51.8%
Teachers	61.8%	71.4%	68.2%	79.1%
Administration	29.4%	14.3%	23.3%	18.0%

Fig. 7.6: Demo graphics

In 2004, the studio class was 35.7% female, while the off-campus students were 51.8% female. In the studio class in 2004, 71.4% of the students were classroom teachers, and 14.3% were school administrators. At the remote sites in 2004, 79.1% were teachers, with 18.0% stating that they were administrators. In 2002 we noted

that females did select the on-campus class more than the off-campus sites. This was reversed in 2004, so no conclusions can be made about selection of sites by gender.

The reasons the students chose a particular method of course delivery was also an area of inquiry. The studio students were asked if they would have preferred to have taken the course off campus instead of coming to the studio. Although in 2004, 11.9% said that this was sometimes true, 85.7% stated that it was never true (a change from 30.6% and 69.4% in 2002, but similar if added together). The students who completed the course off-campus did not have to pay student fees (recreation, library use, sports and musical tickets, etc.) and only paid tuition for the three-hour graduate course. Students on campus had to pay the full tuition and fees amount. When we asked the off-campus students the advantage of taking a course on television, 93.5% said that it was for convenience. An important question for the off-campus students was the following: "Considering the advantages and the disadvantages of a television course, would you take another one if it was something that you needed and it was at a convenient site?" Responses indicated that 97.8% would take another televised course. Clearly, the advantages outweighed the disadvantages for these students.

Conclusions

Distance education experience was more evident in the 2004 survey. The "no-call-in" rule was considered reasonable by the students, and most of the on-campus students were not bothered by the phones. Taking attendance took quite a bit of class time, and students at both sites wished that taking attendance could be reduced or eliminated. There were problems with the technology, but these problems were not major for most students. Students who had no prior degrees from these two universities took the television courses, pointing out potential recruitment benefits of this method of instruction. When asked the reason that off-campus students completed the course by television, the overwhelming reason was the convenience of driving to a nearby site instead of traveling to campus.

The results were positive for our off-campus students and technology-based leadership development. The off-campus students received the same instruction as campus students for a lower cost, with no major technological problems, and at a convenient location. The on-campus students seemed to accept the various technological requirements necessary for our off-campus students. For school district leaders considering technology-based leadership development, the results are encouraging.

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| <p>A administration, § 1.4(36), § 1.5(47), § 1.8(97)
assessment, § 1.1(15)
audit, § 1.1(15)
auditoria cultural, § 1.2(20)</p> <p>C change, § (1), § 1.3(23), § 1.7(80)
cultural competence, § 1.1(15)</p> <p>D distance, § 1.8(97)
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Fig. 7.7: Index of keywords and terms

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