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AN EXPLORATION OF TRANSFORMATIONAL LEADERSHIP AND ITS ROLE IN STRATEGIC PLANNING: A CONCEPTUAL FRAMEWORK

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The primary purpose of this article is to review the literature of transformational leadership and provide a theoretical framework for leaders in educational organizations. The concepts of transformational and transactional leadership will also be compared and explained as well as the role of transformational leadership in strategic planning will be analyzed. Finally, implications for educational organizations and recommendations will conclude the discussions.

INTRODUCTION

Traditional leadership theories have focused on the leadership effects on followers' cognition (House, Spangler, & Woycke, 1991). Since the 1970s, new organizational leadership theories have emerged and been identified or labeled as *inspirational, charismatic, visionary, symbolic,* and *transformational.* These new theories of leadership have evoked high levels of interest and led to empirical research on different aspects of leadership (House, Spangler, & Woycke, 1991; Bass & Avolio, 1994; Hoy & Miskel, 1996). James MacGregor Burns (1978) first described two types of political leadership: transactional and transformational. Later, Bass (1985; 1990) developed a formal theory of transformational leadership. According to Bass (1985, p. 17), "transformational leaders attempt and succeed in raising colleagues, subordinates, followers, clients, or constituencies to a greater awareness about issues of consequence. This heightening of awareness requires a leader with *vision, self confidence, and inner strength* [italics ours] to argue successfully for what he sees is right or good, not for what is popular or is acceptable according to the established wisdom of the time."

The research of both Burns and Bass did not focus however on educational leadership, rather they concentrated on political leaders and army officers as well as business executives. Obviously, transformational leadership has been of great interest in the corporate world. In contrast, little theoretical and empirical research has focused specifically on the leadership of educational organizations. The primary purpose of this article is to review the literature of transformational leadership and provide a theoretical framework for leaders in educational organizations. The concepts of transformational and transactional leadership will also be compared and explained. Next, the role of transformational leadership in strategic planning will be analyzed. Finally, implications for educational organizations and recommendations will conclude the paper.

THE PARADIGM SHIFT AND CALL FOR A NEW LEADERSHIP

The new paradigm shifts in the world require new leadership for organizations. These new paradigm shifts were identified by Naisbitt (1982) in his best-selling book, *Megatrends*. The shifts and major changes which have shaped the 1980s and 1990s are as follows: from industrial society to information society, forced technology to high tech/high touch, national economy to world economy, short term to long term, centralization to decentralization, institutional help to self-help, representative democracy to participatory democracy, hierarchies to networking, north to south, and either/or to multiple options. These continuing trends have become part of the daily life of both organizations and people. Nearly a decade later, Naisbitt and Aburdene in *Megatrends 2000* (1990, p. 13) presented new trends for the 21st century. These new millennial megatrends are:

1.   The booming global economy since the 1990s
2.   A renaissance in the arts
3.   The emergence of Free-market socialism
4.   Global lifestyles and cultural nationalism
5.   The privatization of the welfare state
6.   The rise of the Pacific Rim
7.   The decade of women in leadership
8.   The age of biology
9.   The religious revival of the new millennium
10.   The triumph of the individual

The authors believe that these new trends will shape the 21st century and will have influence on the important elements of human life, stating "the millennium trends of the nineties will influence the importance elements of your life-your career and job decisions, your travel, business, and investment choices, your place of residence, your children's education" (p. 12).

These new shifts and changes are central to the new leadership and strategic organization and have been studied by distinguished leading minds in the business world (Bennis & Nanus, 1985; Kanter, 1983; Ouchi, 1981; Pascale & Athos, 1981; Prigogine, 1984; Peters & Waterman, 1982; Townsend, 1970; Slater, 1970; Salk, 1970; Elgin, 1980; Naisbitt, 1982; Drucker, 1989; Bolman & Deal, 1991; Senge, 1990; Peters, 1987). The central theme that scholars focus on is the rapid changes and uncertainties surrounding modern organizations. Planned and rapid adaptation to these unexpected changes call for a new type of leadership. "The contexts of apathy, escalating change and uncertainty make leadership like maneuvering over ever faster and more undirected ball bearings" (Bennis & Nanus, 1985, p. 13). With these undirected ball bearings in mind, "our tables of values will have to be reviewed" (Bennis & Nanus, 1985, p. 13). Values, visions, and beliefs of organizations have to be reevaluated and restated. With new leadership, the vision of any type of institution can turn into the reality. The new paradigm is a real one. "Survival in this seeming madness calls for great flexibility and

awareness on the part of leaders and followers alike" (Bennis & Nanus, 1985, p. 14). It is obvious that shaping and predicting the future require strong transformational leadership and flexible strategic plans for making planned change and overcoming uncertainties that strategic organizations will face in the future.

Traditional leadership theories have emphasized the importance of leader effects on follower cognition, leadership enforcement behaviors, leader and follower exchange relationships (House, Spangler, & Woycke, 1991; Graen & Cashman, 1975; Ashour, 1982; Podsakoff, Todor, & Skow; 1982; Evans, 1970; House, 1971; Wofford & Srinivasan, 1983; Hollander, 1964). From a historical point of view, as Bennis & Nanus (1985, p. 16) point out, "historically leaders have controlled rather than organized, administered repression rather than expression, and held their followers in arrestment rather than in evolution." Obviously, what both the organizations and societies need is the transformational leader who will be able to carry and lead the strategic organizations and societies into the 21st century.

THEORIES OF TRANSFORMATIONAL LEADERSHIP

With rapid and uncertain changes in organization environments, new leadership is required. Therefore, a new theory of leadership emerged (House, Spangler, & Woycke, 1991). According to these same authors, "all of these new theories of leadership invoke inspirational, visionary, and symbolic behavior described by Weber (1947) as charismatic" (1991, p. 364). The new academic theorists of transformational leadership include Avolio & Bass (1988); Burns (1978); Bass (1985); Bennis & Nanus (1985); Bass & Avolio (1994); Tichy & Devanna (1986); Kuhnert & Lewis (1987); Conger & Kanungo (1988); Sashkin (1988). The new leadership is identified and labeled as visionary (Sashkin, 1988), charismatic (House, 1977; Weber, 1947), transformational (Avolio & Bass, 1988; Bass, 1985; Burns, 1978; Tichy & Devanna, 1986; Bass & Avolio, 1994), and inspirational (Yukl & Van Fleet, 1982). In the literature, these concepts are used alternatively and somewhat close to one another in meaning. The new theory focuses leader-follower interaction in beliefs, inner strength, vision, mutually open communication, and participation in the decision making process.

JAMES MacGREGOR BURNS ON LEADERSHIP

James MacGregor Burns (1978) first described and identified two types of leadership in his classic book on leadership: transactional and transformational political leaders. Since he generally focused in this book on political leaders, he also attempted to see and differentiate leaders from power holders. In the prologue of his book, Burns (1978) explains that he:

> Identif[ies] two basic types of leadership: the *transactional* and *transforming.* The relations of most leaders and followers are

transactional-leaders approach followers with an eye to exchanging one thing for another: jobs for votes, or subsidies for campaign contributions. Such transactions comprise the bulk of the relationships among leaders and followers, especially in groups, legislatures, and parties. Transforming leadership, while more complex, is more potent. The transforming leader recognizes and exploits an existing need or demand of a potential follower. But, beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and   engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents (p. 4).

In summary, transactional leadership as a process promotes exchanges between leader and follower, while transformational leadership is broader than exchange and involves shifts in the beliefs, the needs, and the values of followers (Burns, 1978; Kuhnert & Lewis, 1987).

BERNARD M. BASS' FORMAL THEORY OF TRANSFORMATIONAL LEADERSHIP

Based on James MacGregor Burns' theory of transactional and transformational political leaders, Bass (1985) developed and presented a formal theory of transformational leadership, including models and measurements of its factors of leadership behavior (Bass & Avolio, 1994). This formal theory has been studied and refined further by different scholars in the field (Bass & Avolio, 1990; Carey, 1992; Dubinsky, Yammarino, & Jolson, 1995; Wofford & Goodwin, 1994; Yammarino, Spangler, & Bass, 1993; Yammarino & Dubinsky, 1994; Kuhnert & Lewis, 1987; Tichy & Devanna, 1986). Bass in his famous book, *Leadership Performance Beyond Expectations* (1985, p. 27) argues that transactional leaders "mostly consider how to marginally improve and maintain the quantity and quality of performance, how to substitute one goal for another, how to reduce resistance to particular actions, and how to implement decisions." In contrast, Bass (1985) argues that transformational leaders:

> . . . attempt and succeed in raising colleagues, subordinates, followers, clients, or constituencies to a greater awareness about the issues of consequence. This heightening of awareness requires a leader with vision, self confidence, and inner strength to argue successfully for what he sees is right or good, not for what is popular or is acceptable according to the established wisdom of the time (p. 17).

Bass & Avolio (1994, p. 2) further developed and tested the characteristics of transformational leaders. Their study included 400 leaders from business, education, health care, arts, industry, and government. The research was sponsored by Kellogg Foundation and

initiated by the Center for Leadership Studies. The study pointed out that transformational leadership is seen when leaders:

1. Stimulate interest among colleagues and followers to view their work from new perspectives,
2. Generate awareness of the mission or vision of the team and organization,
3. Develop colleagues and follower to higher levels of ability and potential, and
4. Motivate colleagues and followers to look beyond their own interests toward those that will benefit the group.

Avolio, Waldman, & Yammarino (1991) identified four behaviors of transformational leaders as quoted in Bass & Avolio (1994, p. 3):

1. *Idealized Influence.* Transformational leaders behave in ways that result in their being role models for their followers. The leaders are admired, respected, and trusted. Followers identify with the leaders and want to emulate them. Among the things the leader does to earn this credit is considering the needs of others over his or her own personal needs. The leader shares risks with followers and is consistent rather than arbitrary. He or she can be counted on to do the right thing, demonstrating high standards of ethical and moral conduct. He or she avoids using power for personal gain and only when needed.

2. *Inspirational Motivation.* Transformational leaders behave in ways that motivate and inspire those around them by providing meaning and challenge to their followers' work. Team spirit is aroused. Enthusiasm and optimism are displayed. The leader gets follower involved in envisioning attractive future states. The leader creates clearly communicated expectations that followers want to meet and also demonstrates commitment to goals and shared vision.

3. *Intellectual Stimulation.* Transformational leaders stimulate their followers' effort to be innovative and creative by questioning assumptions, reframing problems, and approaching old situations in new ways. Creativity is encouraged. There is no public criticism of individual members' mistakes. New ideas and creative problem solutions are solicited from followers, who are included in the process of addressing problems and finding solutions. Followers are encouraged to try new approaches, and their ideas are not criticized because they differ from the leaders' ideas.

4. *Individualized Consideration.* Transformational leaders pay special attention to each individual's needs

for achievement and growth by acting as coach or mentor. Followers and colleagues are developed to successfully higher levels of potential.

A THREE-ACT DRAMA OF TRANSACTIONAL LEADERSHIP THEORY

This theory of transformational leadership was developed by Tichy & Devanna in 1986. According to the authors, transformational leaders "define the need for change, create new visions, mobilize commitment to those visions, and ultimately transform an organization. Transforming an organization is a human drama that involves both joys and sorrows" (Tichy & Devanna, 1986, p. 4). Therefore, "transforming an organization also requires new vision, new frames for thinking about strategy, structure, and people" (Tichy & Devanna, 1986, p. 4). According to the same authors (1986), three themes are central to the transformational organization: (a) recognizing the need for revitalization, (b) creating new vision, and (c) institutionalizing change.

Managing an uncertain future and its environment is central to the transformational organization and leadership. The uncertainty of the organization's environment and the effect of that uncertainty on its future call for change. The change and its paradoxes create dramatic tensions. These dramatic tensions in transformational drama include:

1.   A struggle between the forces of stability and the Forces of change.
2.   Dramatic tension between denial and acceptance of reality.
3.   A struggle between fear and hope.
4.   A struggle between the manager and the leader (Tichy & Devanna, 1986, p. 27-28).

The transformational drama theory includes both the individual and organizational level. The key concept is again leadership. According to these authors, "Leaders must pull the organization into the future by creating a positive view of what the organization can become and simultaneously provide emotional support for individuals during the transition process" (p. 28). Tichy's and Devanna's theory of leadership involves three stages called "a three act transformation drama."

The Organization During Act I.

The need for change is the key concept in this stage. The organization needs change because of environmental pressures. In many organizations the environmental changes cannot be very significant indicators of change. The transformational leader must perceive and respond to these changes (Tichy & Devanna, 1986). When leaders accept that there is a real need for change, the decision makers in the organization must be made to feel dissatisfaction with the status quo because "the felt need for change provides impetus for transformation" (Tichy and Devanna, 1986, p. 30).

The Organization During Act II.

        Creating a vision and mobilizing commitment is the second phase
of the transformation. Vision is about the future of organization. "The
leaders involved in organizational transformation need to create a vision
that a critical mass of employees will accept as a desirable change for the
organization. Each leader must develop a vision and communicate it in a
way that is congruent with the leader's philosophy and style" (Tichy &
Devanna, 1986, p. 30). Creation of new vision and acceptance of it by all
members of an organization is essential for transformation. "The
organization, or at least some critical mass within the organization,
accepts the new mission and vision and makes it happen. It is in this
stage of the transformational process that leaders must tap into a deeper
sense of meaning for their followers" (Tichy & Devanna, 1986, p. 31).

The Organization During Act III.

        Institutionalizing change occurs at this stage of transformation,
which is a kind of reality check. As the theorists put it, "revitalization is
just empty talk until new vision becomes reality. The new way of thinking
becomes day-to-day practice. New realities, actions, and practices must
be shared so that changes become institutionalized" (Tichy & Devanna,
1986, p. 31). This new way of organizational and individual thinking
requires new organizational culture. Creating a new culture is difficult,
but it is crucial for the transformation of an organization.

The Individual in the Stages of Transformation

        Tichy and Devanna's theory of transformational leadership also
points out the importance of the individual during each of stage of this
transformation. *The Individual During Act I* deals with endings." All
individual transitions start with endings. Employees who cling to old
ways of doing things will be unable to adjust to new demands. They must
follow   a   process   that   includes   disengaging   from   the   past;
disidendification with its demands; disenchantment with its implications
and disorientation as they learn new behaviors" (Tichy & Devanna, 1986,
p. 32).*The Individual During Act II* deals with the concept of "neutral
zones." "Employees need the time to work through their feelings of being
disconnected with the past and not yet emotionally committed to the
future... Passing successfully through the neutral zone requires taking
the time and thought to gain perspective on both the endings-what went
wrong, why it needs changing, and on what must be overcome to make a
new beginning" (Tichy & Devanna, 1986, p. 33). This stage test
leadership skills.   People have emotions and feelings about their past
glories and the culture that they had been part of for a long time. *The
Individual During Act III* refers to the readiness of the individual for new
roles and responsibilities. "Once a stage of psychological readiness to
deal with a new order of things is reached, employees must be prepared
for the frustration that accompanies failure as they replace thoroughly

mastered routines with a new act. Adequate rehearsal time will be needed before everyone learns their new lines and masters their new roles so that the play can become again a seamless whole rather than a set of unintegrated scenes" (Tichy & Devanna, 1986, p. 33). The characteristics of transformational leaders are identified and summarized by Tichy and Devanna (1986) as follow:

1.   They identify themselves as change agents.
2.   They are courageous individuals.
3.   They believe in people.
4.   They are value-driven.
5.   They are life long learners.
6.   They have the Ability to deal with complexity, ambiguity, and uncertainty.
7.   They are visionaries (p. 271-280),

THE DRAMA PERFORMED

A prime example of the organization during *Act I* was experienced by one of the paper's authors during the 1984-85 school-year when he was recruited and subsequently contracted for a leadership position in a St. Louis, Missouri suburban public school system. A new superintendent of schools had been hired the preceding year with the charge given by the board of education to bring stability following a tumultuous period of upheaval following a series of court desegregation orders imposing change from outside the organization that was unacceptable to most of the district's families, both black and white. Thus the environmental conditions were quite significant indicators of change. However, the change desired by the majority of parents was a return to the status quo prior to court involvement in the management of the educational organization. The board of education realized this could not be permitted either legally or realistically for the best future of the organization. The results of this realization were the recruitment and hiring of a transformational leader and staff additions from outside the organization to avoid a return to the past. The import of these outsiders indeed gave the organization's middle managers, the principals, a clear signal that dissatisfaction with the status quo existed for the policy makers and change for organizational transformation was in the wind.

Act II, creating a vision and mobilizing commitment, began when the author attended a seminar on strategic planning sponsored by the American Association of School Administrators in which a transformational process and discipline for recreating an organization was explained by the founder and chief executive officer of the Cambridge Group, Dr. Bill Cook. While strict adherence to procedure for plan development in accord with the Cambridge methodology was the requirement for plan success, the process did allow for adaptation to encompass the philosophy and style of the key leaders in the local organization since acceptance by organization members was a critical factor. Finding that deeper sense of meaning for followers occurred during a marathon session with a microcosm of the district's staff and

community members at a three-day planning retreat in which old wounds were opened, examined and at least bandaged until a critical organization and community mass could be recruited to work on action teams to make the strategic vision reality and thus bring the ailing organization back to some sense of well being for its future.

Act III, or institutionalizing change, began when the board of education accepted the great majority of what the strategic planning team recommended for implementation of the transformation of the organization. This served as both a reality check and an appropriate ending to the old way of making policy decisions behind closed doors and announcing them to a dissatisfied public. Instead a microcosm of the public had been involved in this transformation, either on the planning team itself or on action teams established to add wheels to the transformational vehicle in the form of tangible plans with cost benefit analysis to begin institutionalizing the change and thus changing a closed culture to an open one. Gradually at first, then more rapidly as the momentum swung toward organizational acceptance of the plan and its implementation, individuals with large investment in the status quo and the past began to distance themselves from the previous transactional-oriented leadership regime of the previous superintendent and board and permit themselves to identify with the new climate of open communication and decision making of the post-plan organization. Inadequate rehearsal time was of course the reality since the business of the school organization had to move forward so that those who could not, "replace thoroughly mastered routines with a new act" over the course of the first year of implementation found themselves taking early retirement or simply seeking other management positions with nearby, less transformational organizations. Thus a visionary board of policy makers made an organizational transformation possible both by design in hiring leaders with the characteristics summarized by Tichy and Devanna and by circumstance as these leaders sought out a process like strategic planning and made it happen operationally to provide a framework in which the transformation had a chance to occur.

THE TRANSFORMATIONAL LEADER AND STRATEGIC PLANNING

These trends that we previously described, require educational organizations to think strategically about their direction and the future. Schools as mirrors of our culture are in the center of these trends. In order to overcome future uncertainties, schools need to think strategically about the direction that they are taking. One way to reduce the tensions of uncertainty is strategic planning. The models and methodologies of strategic planning have been developed specifically for educational organization by leading scholars in education (see Kaufman & Herman, 1991; Cook, 1990; McCune, 1986; Kaufman, 1995; Simerly & Associates, 1987). These authors have developed practical and conceptual frameworks in both discipline and the process of strategic planning for school districts.

DEFINITIONS OF STRATEGIC PLANNING

Like the concept of leadership, there is a difficulty in defining strategic planning. Cook points out that "there is a distressing overabundance of ideas about what strategic planning really is" (1990, p. 71). Therefore, Cook believes that "strategic planning should be understood first as distinctive from other kinds of organizational planning. The distinctiveness of each kind of planning derives from both methodology and context." The following definitions of strategic planning are taken from a variety of different sources:

> Strategic planning is the means by which an organization constantly recreates itself to achieve extraordinary purpose
> (Cook, 1990, p. 74).

> A strategic plan is a framework for carrying out strategic thinking, direction, and action leading to the achievement of consistent and planned results
> (Below, Morrisey, & Acomb, 1989, p. 2).

> Strategic planning is a long-term planning process aimed at achieving a vision of a desired future state. It is a type of planning that allows school leaders to decide where they want to go and how they intend to get there
> (Herman, 1989, p. 10).

> Strategic planning is a dynamic, active process. It scans current realities and opportunities in order to yield useful strategies and tactics for arriving at a better tomorrow
> (Kaufman & Herman, 1991, p. 7).

LEADERS AND STRATEGIC PLANNING

Cook (1990) believes that strategic planning differs from other types of planning in context and methodology. He believes that "only strategic organizations can do strategic planning" (p. 75). Strategic organizations have five characteristics:

1. A strategic organization is *autonomous*.
2. Strategic organizations have the prerogative and the responsibility to determine their own *identity* and to actualize that identity by performance.
3. Strategic organizations have the prerogative and the responsibility for the acquisition and allocation of *resources* of all kinds.
4. Strategic organizations are responsible for providing the *vision, values*, and *leadership* that control, guide, and sustain everyone who is a part of organization.

5.   As a practical matter, strategic organizations develop of
      necessity *long-term* plans, usually five to ten years; non-
      strategic units usually develop plans one   to three years
      (Cook, 1990, p. 75-76).

The methodology of strategic planning is an effective combination
of both a process and discipline. The discipline describes fundamental
components of the strategic planning. These include beliefs, mission,
policies, internal analysis, external analysis, objectives, strategies, and
action plans (Cook, 1990). The process refers both to the methodology
and procedures with which the plan is created. The facilitator,
information, the planning team, the planning sessions, developing and
communicating the plan, building action teams, board approval,
implementation, and annual updates are the essential components of the
strategic planning process (Cook, 1990; McCune, 1986; Below, Morrisey,
& Acomb, 1989; Kaufman & Herman, 1991; Herman & Herman, 1994;
Kaufman & Grisé, 1995; Bryson, 1995).
        The role of leader in strategic planning is a crucial one. In the
business world, the CEO has a central role in providing leadership for
strategic planning, especially if there is no commitment to strategic
planning throughout the organization (Below, Morrisey, & Acomb, 1989;
Ekrom, 1991; Miller, 1991; Bowerman, 1991). The leader or leadership,
therefore, should be able to provide a visible commitment, clear and
realistic expectations as well as coaching and training in planning
process and methodology (Below, Morrisey, & Acomb, 1989).
        Like business organizations, the role of leadership in educational
organizations has been emphasized. Cook (1990) believes that for the
success of planning, leadership is essential. He states, "it's the kind of
leadership that plans strategically. After all, a leader is just someone who
gets to the future before anyone else; and his or her greatness is
measured by the time of his or her arrival and the number of people who
followed" (p. 11). Lewellen (1990) sees strategic planning as one of the
essential characteristics of effective leadership, along with change,
communication, and decision-making.
        Like strategic planning, transformational leadership is vision
driven which emphasizes communication, vision, self-confidence, and
inner strength. With special attention to humans and their needs, beliefs
and concerns, the leader is able to create an environment in which the
future concerns of the organization and individuals can be addressed.
Providing and sharing information with people in the process of
developing strategic planning is fundamental for effective planning. In
fact, leadership and strategic planning are integrated and cannot be
separated. Hacker (1990, p. 3) says that "leadership and strategic
planning are processes that, when interwoven, form a powerful action
plan for change."
        The mission of both strategic planning and transformational
leadership is to anticipate the future. The future has both uncertainties
and opportunities for organizations and individuals. A leader with vision
and a well developed strategic plan can overcome the problems and

uncertainties that the organization will face and make opportunities available to both the organization and its members.

CONCLUSIONS AND RECOMMENDATIONS

Rapid changes and the uncertainties of our times call for a new type of leadership. In order for an organization to create its own desired future, both transformational leadership and strategic planning are necessary. Bass (1990) summarizes why organizations need a transformational leader. He points out that:

> . . . problems, rapid changes, and uncertainties call for a flexible organization with determined leaders who can inspire employees to participate enthusiastically in team efforts and share in organizational goals. In short, charisma, attention to individualized development, and the ability and willingness to provide intellectual stimulation are critical in leaders whose firms are faced with demands for renewal and change. At these organizations, fostering transformational leadership through policies of recruitment, selection, promotion, training, and development is likely to pay off in the health, well-being, and effective performance of the organization (p. 31).

Educational organizations are becoming more complex than ever before. The rapid changes and uncertainties of the future, accompanied by reluctance for, and slow adaptation to these shifts have made the job of a school leader more difficult. Creating a desired future state for schools requires well-developed strategic plans and new leadership. The new leader will be able to create an environment in which people plan their future with strong commitment to achieve their extraordinary organizational purpose, whatever they individually and collectively envision that extraordinary organizational purpose to be, or not to be.

ENDNOTES

1.   The earlier version of this paper was presented at the International Society for Educational Planning's Annual Fall Conference, in New Orleans, Louisiana, USA, September 19-21, 1996.
2.   "A Three-Act Drama of Transformational Leadership Theory" is used in this paper by special written permission from the publisher. All rights are reserved by John Wiley & Sons Publisher, NY: New York, USA.

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PLANNING FOR SCHOOL-BASED MANAGEMENT:
THE TEACHERS' POINT OF VIEW

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To what extent are teachers willing to become involved in the planning processes for school-based management? Twenty-two in-depth interviews were performed in an elementary school and teachers were asked, using a 16-items check- list, to state their willingness to plan each of items and present a few arguments for their positive and negative preferences. The results obtained indicate that teachers are willing to become involved in the planning of low- feasibility issues which are abstract and future-time oriented and are unwilling to plan high- feasibility issues which are concrete and present-time oriented. Furthermore, they refer to their fears and lack of knowledge when they discuss their negative preferences and to the issues' qualities and contribution to school when they present their positive preferences. Based on these findings, some possible explanations are offered for teachers' preferences. The need for a course of action that will better prepare teachers to confront the circumstances developed when school- based management is introduced into their school is further discussed.

INTRODUCTION

To what extent does School-Based Management (SBM) correspond with teachers' professional expectations? Do they want their involvement in school expanded? Considering the demands for teachers' increased accountability when operating in SBM schools and the potential of planning procedures to contribute to the improvement of professional performance, it is likely that teachers who are interested in expanding their involvement in school will prefer to plan their activities rather than adopt some random course of action. Based on this assumption, the following study argues that teachers' willingness to become involved in planning may serve as an indicator for their future involvement in school and may be used as a measure for their professional expectations and accountability when SEM is introduced into their school.

The restructuring of schools is a major concern as we move into the next millennium (Murphy & Beck, 1995, p. 6). Schools are expected to constantly change, to enable their adaptation in an ever-changing and turbulent environment and improve the quality and relevance of the services which they provide.

Among the various trends for change (Elmore, 1991, p. 2), SBM is the centerpiece of the current wave of reform (Sackney & Dibski, 1994). It reflects a growing tendency to decentralize educational systems, to increase the control and authority of the local level and enhance the participation of teachers in planning and decision-making processes in their schools. However, knowledge about teachers' desires to expand their authority and about the influences of SBM on teachers' professional behaviors is incomplete. Two explanations may be offered: Firstly, the decision to delegate authority to the local level is not in the hands of teachers or school principals and is rarely based on their demands, but rather is in the hands of high rank officials who define policies that do not necessarily correspond with local expectations. Secondly, the amount

of data is limited since few school districts emphasize increased decision-making authority to teachers (Clune & White, 1988; David et al., 1989; White, 1988). Considering that teachers have little influence on the decision to increase their authority, can we assume that they want their involvement in school expanded? Are they actually interested in becoming involved in, and accountable for processes such as planning and decision-making that will take place when SBM is introduced into their school? This study offers some answers to these questions as it explores teachers' willingness to become involved in planning processes in their school that is about to introduce SBM.

SCHOOL-BASED MANAGEMENT

School-based management is a proposal to decentralize and de-bureaucratize school control (Guthrie, 1986) and to maximize the authority delegated to the school site for decision-making (Boyd, 1990, p. 90; Clune & White, 1988). The central premise for SBM is that the school is the primary decision-making unit, and that decisions made closer to the client are likely to be better (Conley, 1991). Moreover, it is argued that the people who are mostly affected by school-level decisions have the right and the responsibility to be involved in the decision-making process (Burke, 1992, p. 38). Therefore, it is reasonable to expect that decisions will be made at the lowest possible level by those closest to a situation (David, 1989, p. 46; Wohlstetter & Buffett, 1991, p. 1).

SBM is as yet empirically and conceptually elusive (Malen et al., 1989) and vague (Jenni & Mauriel, 1990, p. 3) and no clear-cut definitions for SBM exist (Herman & Herman, 1993, p. 9; Fusarelli & Scribner, 1993; Sirotnik & Clark, 1988; Stevenson & Pellicer, 1992, p. 127). However, several key- elements are highlighted in the range of definitions: a major shift in the locus of decision-making responsibilities (Garms et al., 1978, p. 278; Mojkowski & Fleming, 1988, p.3; Crosby, 1991, p. 3); the delegation of authority from districts to schools (Lindquist & Mauriel, 1989, p. 404; David, 1989, p. 46); the accountability of school staff (Pierce, 1980); an appropriate balance between authority and accountability (Rennie, 1985), and the empowerment of principals and teachers (Herman & Herman, 1993, p. 12).

Within the frame of SBNL the empowerment of teachers has less to do with privileges than with responsibility and accountability (Sergiovanni, 1990, p. 54), which involves the possibility of being called to account for what they do (Hattie, 1990, p. 103; Browil, 1990, p. 42). SBM promotes schools' accountability for the results produced with students and increases the expectations for school efficiency in the use of resources (Sackney & Dibski, 1994). Furthermore, it provides a mechanism for making professional educators more accountable for their performance (Garms et al., 1978, p. 293).

While SBM is presumed to increase the accountability and responsibility of teachers, it magnifies at the same time the cost of mistakes and increases the price that schools and teachers are likely to pay for an inadequate performance. As a result, SBM is assumed to

encourage educators to improve their performance and to better direct their activities towards school goals in order to reduce the number of mistakes. Planning processes offer a rational and comprehensive tool that may be used by teachers to achieve higher levels of performance. Therefore, it is reasonable to assume that teachers will be willing to become involved in planning processes especially when they are expected to account for their actions and for the outcomes obtained.

PLANNING IN THE EDUCATIONAL CONTEXT

The emphasis placed on teachers' accountability in SBM schools highlights their need to use planning as one of their preferred strategies for action, if they want to bridge effectively (Faludi, 1973, p. 1; Scholnick & Friedman, 1993) and rationally between present and future events (Inbar, 1985) and obtain meaningful results. Involvement in planning processes increases the probability that rational and calculated rather then random actions will be taken by teachers with reference to routine or unpredictable events (Saaty & Kearns, 1985; Armstrong, 1991). However, teachers' willingness to become involved in planning is heavily contingent on the inherent qualities of educational themes which are considered complex (Elboim-Dror, 1970), and therefore difficult to plan. Complexity is a quality of educational objectives that are systematically ambiguous (Wildavsky, 1979), and the means for their achievement are inherently unreliable (March & Olsen, 1976- Pressman & Wildavsky, 1984; Hogwood & Peters, 1985) and vague (Rose, 1984). Moreover, holistic solutions for educational problems are hard to plan and define since educational problems are ill structured and it is difficult to differentiate between the problems and their symptoms (Kauftman, 1972). Using Rittel and Webber's classification (1973), educational issues are "wicked" rather than 'tame": They are ill defined; there is no ultimate test for their solutions; they are unique; they are symptoms of other issues and planners are held liable for any consequences obtained by their actions, since social tolerance for undesired outcomes and mistakes is low when wicked issues are involved.

In addition, teachers are exposed to a variety of contradictory interests that exist in the turbulent environment (Drucker, 1980) in which they operate. These expectations expose them to a deep tension between their need for stability and their capacity to change.

The difficulty of planning complex educational themes, the emphasis placed on effectiveness in SBM schools and the high degree of accountability that teachers operating in SBM schools are expected to exhibit, create a challenge for educators involved in educational planning processes. However, at the same time, these complex circumstances are intimidating and raise some doubts regarding teachers' willingness to participate in, and be accountable for, the planning processes that they perform and the plans they produce.

Some studies argue for the symbolic significance of SBM for teachers. For example: teachers in SBM schools that report a high degree of involvement in the school's decision-making are more interested in teaching, are more involved in their school, are characterized by

increased self- esteem, and their isolation in school is reduced (White, 1992). A case study focusing on elementary school teachers' attitudes to SBM indicates that most teachers share a positive attitude although problems in some areas do exist (Crosby, 1991).

It is important to note however, that SBM is heavily determined by the context within which the school operates (Murphy & Beck, 1995, p. 7) and that the degree of staff involvement in decision-making processes varies from school to school (Calvert, 1989; Sackney & Dibski, 1994). Therefore, reports on the experiences and attitudes of teachers in different school settings offer a limited basis for comparisons and predictions related to teachers' interests and involvement in SBM schools.

The studies mentioned discuss teachers' attitude of SBM but give little evidence regarding personal responsibility and accountability that each of the teachers had for the decision-making processes in which he was involved. In such a case, it is not surprising that teachers share a positive attitude of SBM, since their involvement in decision-making processes is symbolically increased while their accountability remains unchanged because of the possible diffusion of responsibility among the teachers involved in these processes.

Therefore, the need to assess teachers' attitudes of SBM when their accountability is clearly defined remains. Considering the high level of accountability that teachers operating in SBM schools are expected to exhibit and the inherent complexity that characterizes educational issues, it is more likely that teachers will express an ambivalent attitude when asked about their willingness to perform planning processes and produce plans, especially if their personal contribution for these processes is easily identifiable.

METHOD

School-based management has been a major trend of change for the last few years in various educational systems. In Israel, SBM has been initiated and supported by the Israeli Ministry of Education and by the districts that encouraged schools to increase their accountability and gradually follow this trend.

A case study in an elementary school that is about to introduce SBM was performed. This research strategy was chosen since it confines the study to a single school and allows control of influences caused by various organizational cultures characterizing different schools. Twenty-two teachers are interviewed. The interviews consisted of three parts: The first part is an open interview, in which teachers are asked to talk about their involvement in school, their attitude toward their school and towards teaching in general and about their relationships with other staff members. An evaluation of teachers' attitudes towards these issues seems to be important since it facilitates better control and understanding when analyzing teachers' willingness to become involved in planning processes in their school. Undoubtedly, frustrated teachers are less likely to become involved in proactive activities such as planning and to have their accountability increased.

In the second part of the interview, a checklist containing 16 central school issues was presented to the teachers. Using a I to 9 scale (where I stands for 'Totally unwilling", 9 for "extremely willing" and 5 for "indifferent'), teachers were asked to state their level of willingness to become involved in planning each of the issues presented after SBM is introduced into their school. The instructions specifically emphasized that involvement in planning means that each teacher will be held accountable for any consequences that his/her plans might produce The data collected was summarized and a "willingness to plan index" was developed based on the aggregated ranks given by the teachers for each of the issues studied divided by the number of responses. In addition, teachers were asked to present a few arguments for their positive or negative preferences. These arguments were classified and grouped into categories based on their meaning.

RESULTS

The analysis of teachers' reflections on teaching and on their school indicates that their attitude toward teaching is a positive one, that they maintain good relations with the other staff members and that they think highly of their school. All of them said that they are proud to belong to their school and that they would like to continue their professional career in this school.

Following this analysis, an evaluation of teachers' willingness to become involved in planning is performed. A summary (presented in Table 1) of teachers' responses to the willingness to plan scales indicates high variance among mean scores and small standard deviations in 14 of the 16 educational issues studied. It is evident that school's codes of discipline and evaluation processes are both controversial issues, considering the variance in teachers' willingness to become involved in planning these issues.

Based on the scores obtained, it is evident that teachers are most willing to become involved in planning seven issues (where scores are greater than 5) and are unwilling to become involved in planning the nine remaining issues (where scores are smaller than 5).

Looking at the descending order of mean scores obtained for the 16 issues studied, it may be argued that the issues at the top of the inventory differ from those at the bottom in two main qualities that may be combined and used as a measure for issues' feasibility:

A. The degree of abstractness: This criterion refers to the degree to which an issue may be made operational and defined in behavioral terms and to the degree to which outcomes obtained for a specific issue enable accurate determination of success or failure.

B. The time perspective: This criterion refers to the future time perspective toward which plans are directed and outcomes are to be presented.

Table 1
Mean Scores and Standard Deviations for Teachers' Willingness
To Become Involved in Planning (N=22).

ISSUE	M	sd
Planning School Ideology	8.23	0.21
Planning School Policy	7.88	0.34
Planning a Unique Curriculum	7.54	0.43
Planning Teachers' Professional Development	7.12	0.54
Planning School's Relationship With Parents	6.48	0.24
Planning Children's Social Activity	6.21	0.34
Planning School Code of Discipline	5.61	0.96
Planning School Evaluation Processes	4.62	1.02
Planning School Parties and Ceremonies	4.53	0.61
Planning Next Year's Enrichment Activities for Children	4.36	0.21
Planning Teacher Placement in the Classes	4.27	0.34
Planning School Trips Itinerary	4.07	0.23
Planning School Timetable	3.56	0.38
Planning School Acquisitions (Books & Computers)	3.25	0.44
Planning for Budget Distribution In School	2.57	0.54
Planning for Building Maintenance	2.42	0.42

Joining the two qualities mentioned, it is argued that high-feasibility issues are concrete and characterized by expectations to produce present-time outcomes. The feasibility of such issues is high since it is relatively easy to identify and define them in behavioral terms

and because they are less exposed to unpredictable changes in comparison to long-term processes. On the other hand, low-feasibility issues are abstract, future-time oriented and more complex. Therefore, it is much more difficult to plan them, to evaluate the outcomes obtained and to determine to what extent should teachers who are involved in planning these issues be held accountable for any outcomes obtained.

An appraisal of the feasibility of the 16 educational issues studied reveals that mean scores greater than 5 are obtained for low-feasibility issues while mean scores smaller than 5 are obtained for high-feasibility issues. This means that teachers are less willing to become involved in planning high-feasibility issues and are more willing to become involved in planning low- feasibility issues.

These findings are surprising if considered from a planner's point of view since issues characterized by low feasibility are wicked, future-time oriented and very much exposed to uncertainty, being all major obstacles for planning. However, the findings are less surprising if considered from the teachers' accountability point of view: it is more difficult to hold teachers accountable when involved in planning low-feasibility issues.

In an attempt to appraise the factors influencing teachers' willingness to become involved in planning, teachers are asked to state few arguments for their positive and negative preferences related to the 16 educational issues studied.

Table 2
Teachers' Willingness to Plan: Positive and Negative Preferences

Positive Preferences	f	Negative Preferences	f
Issues Importance	14	Lack of Knowledge	15
Issues Relevance	10	Fear of Staff Members' Responsiveness	13
Issue's Contribution to School's Effectiveness	7	Fear of Negative Consequences	12
Issue's Importance for Staff Members' Cohesiveness	5	Workload and Lack Of Time	9

A summary of teachers' arguments enables the conclusion that teachers employ two different modes of response when asked to consider their positive and negative preferences to becoming involved in the planning processes of various educational issues. They refer to the qualities of issues and to the issues' significance and contribution to school's performance when asked to present arguments for their positive preferences. Yet, when asked to specify their negative preferences, they refer to their personal qualifications and fears as the main influencing

factors. These two different modes of response go along with the issues' feasibility and seem to correspond with the demand for accountability that different levels of feasibility promote.

Teachers attribute their negative preferences to high-feasibility issues, which emphasize the need to exhibit higher levels of accountability. On the other hand, teachers' positive preferences are attributed to low-feasibility issues that make it more difficult to hold them accountable for any outcomes obtained.

Although low feasibility issues are characterized by uncertainty and vagueness, it is interesting to note that teachers do not mention the lack of knowledge as an obstacle when they are asked to present arguments for their positive preferences. Low-feasibility issues don't seem to encourage teachers to consider their professional abilities and knowledge as planners.

Low and high-feasibility issues are both significant for school performance. However, teachers appear to be more intimidated by high-feasibility issues. Therefore, it is less likely that they will be involved in planning these issues especially if operating in SBM schools which put much emphasize on their personal accountability.

DISCUSSION

As mentioned earlier, the findings regarding teachers' willingness to become involved in planning for SBM are surprising, if considered from a planner's point of view: Teachers are unwilling to become involved in planning high-feasibility issues such as timetables, budget or building maintenance, which are concrete and present-time oriented. On the other hand, they are willing to become involved in planning low-feasibility issues such as school ideology, school policy or teachers' professional development which are wicked, subjected to unpredictable influences and characterized by uncertainty.

How are we to interpret teachers' preferences related to their planning behaviors? Three possible explanations may be offered:

A.   *Misconception:* Teachers are not fully aware of the professional requirements and complexity related to low-feasibility issues. According to this explanation, teachers' responses may be based on a myth that specific and accurate knowledge is not needed when planning low-feasibility issues and that plans related to such issues produce little risk for educators involved in planning them. Consequently, they are more inclined to become involved in planning such issues, although wicked issues are much more complex and are therefore more difficult to plan. Assuming that such a myth does exist, it is likely to produce a discrepancy between teachers' intentions to significantly influence school's processes and their actual behaviors: They are most willing to become involved in planning school ideology or policy

which are both manifest expressions of school values and spirit, but are unwilling to become involved in planning the details related to time, money and other resources, which are essential if philosophical and abstract ideas are to be translated into daily activities and behaviors.

B.   *Past Habits*: Teachers are unwilling to become involved in planning high-feasibility issues because they are influenced to a great extent by their old habits. These habits inhibit their involvement in activities and issues that traditionally were not part of their task. Teachers, who were used to work in centralized schools and educational systems, were expected for many years to implement decisions made by others - their school principal or by higher rank officials. Furthermore, their authority was limited and confined to issues related mostly to teaching and learning processes and they were less involved in planning broad organizational issues associated with school strategies, policy and goals. In this sense, teachers who work in SBM schools are likely to experience a tremendous change from their past habits, which is intimidating, especially if they are held accountable for issues which were not part of their past assignments.

C.   *Accountability Awareness:* Teachers' preferences are an expression of a highly sophisticated and reasonable consideration of the circumstances that SBM is likely to produce. Since SBM emphasizes teachers' accountability for the activities and processes in which they are involved, teachers' willingness to become involved in planning various issues depend to a great extent on their perceptions regarding personal consequences that involvement in these processes might produce. High-feasibility issues make it easier to detect mistakes, determine success or failure and define the individual contribution and accountability of the teachers involved in planning them. Therefore, involvement in the planning processes of high-feasibility issues is more risky.

On the other hand, low-feasibility issues are ambiguous and abstract, and it is hard to determine to what extent teachers involved in planning these issues can be held accountable for the outcomes obtained. Therefore, teachers seem to perceive their involvement in the planning processes of low-feasibility issues as less risky and less demanding in terms of accountability and the personal knowledge

needed. This explanation raises some doubts regarding the suitability of SBM basic assumptions for teachers' professional expectations.

It is hard to determine which of the three explanations offered interprets teachers' perceptions better. This question remains unanswered and open for future investigation.

However, the small variance obtained when a willingness to plan index is computed for each of the 16 educational issues studied may be used as an indicator for the high level of agreement that teachers share. It seems that teachers in the school studied follow the same lines of thought when requested to consider their involvement in planning for SBM. It is possible that teachers' reactions and preferences reflect a tendency to adopt a cautious strategy and have the threat diminished by minimizing the negative personal consequences that their plans might produce. On the other hand, based on the arguments for their negative preferences, it is possible that teachers have little faith in their qualifications and abilities to confront high-feasibility issues, and that is why they are less willing to be involved in planning processes related to such issues.

Teachers working in SBM schools are likely to be held accountable for their performance. Moreover, their accomplishments and the effectiveness of their actions will probably be measured using mostly high-feasibility indicators. Consequently, teachers and schools will be encouraged to put efforts into improving the quality of their planning processes, plans and the outcomes obtained for high-feasibility issues. Considering that teachers are unwilling to participate in planning high-feasibility issues, this may produce a split between school's technocratic functions, which are usually related to high- feasibility issues, and school's educational ideology, values and pedagogical processes, which are abstract and characterized by low feasibility. This may also negatively affect the integration among the various activities and processes which schools perform.

Considering the expected change in teachers' authority and obligations caused by the introduction of SBM into schools, our findings reinforce a course of action that will better prepare teachers to confront this change. Such a course of action may reduce some of the teachers' fears, improve their adjustment to the new circumstances created and increase their willingness to plan high-feasibility issues and be accountable for the outcomes obtained.

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PARALELL BLOCK SCHEDULING: A LOCAL PLANNING PERSPECTIVE

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The emphasis on educational change continues to engage professionals with a variety of suggestions to improve the lot of American education. This article looks at organizational change in a local school setting and examines the ramifications for change in educational settings with particular reference to the engagement of multiple constituencies.

INTRODUCTION

The emphasis on educational change continues to engage professionals with a variety of suggestions to improve the lot of American education. As Fullan (1991) points out, the pressure of change efforts has intensified over the last thirty years to a point where we have often lost the tree while looking at the forest. However, Fullan also reminds us that the aspect of educational change quite probably will be, in one form or another, an on-going universal process. That rationale is reflected in an understanding that schools are often the focal point when dealing with larger issues of societal change.

Out of the plethora of suggested efforts, the emergence of block scheduling seems to be gaining momentum throughout the country on both the secondary and elementary levels. According to a national survey conducted by the Educational Research Service in 1994, close to 50% of responding high schools stated that they had adopted some form of a block scheduling process (Black, 1998). Additionally, research on using a block scheduling approach on the elementary level illustrates its' potential for reducing student-teacher ratios and more efficient use of instructional time (Canady & Reina, 1993).

Block scheduling can take many different forms when presented on a secondary and elementary level. While secondary block schedules can vary widely (see Canady & Rettig, "Power of innovative scheduling"), most deal with "chunking" time in some fashion to allow for extended lessons. On the elementary level, block scheduling often emerges as a "parallel" use of time, which is a model for redistributing school resources including staff, space, and time (Canady & Reina, 1993). Black (1998) noted that block scheduling can offer solutions to "haphazard" pull-out programs, discipline issues, and in providing adequate time-on-task activities.

PARALELL BLOCK-SCHEDULING MODEL

A major component of the parallel block-scheduling model is to substantially reduce the student-teacher ratio during critical

instructional periods such as reading and math. During this process, the classroom teacher works with a reduced number of students while the other students are assigned to a second teacher or trained paraprofessional for specialized instruction. This parallel use of time allows for small sub-groupings for critical subjects with variant grouping for other subjects (Canady & Reina, 1993).

While variations of this model exist, Delany, Toburen, Hooton, and Dozier (1997-1998) have described a model that further delineates a parallel block scheduling in context of a local school's experience. In their situation, three "base" teachers are linked with an enrichment teacher. Each base teacher instructs whole classes or smaller groups of a class during a typical day. During each block of time, one of the teachers instructs a whole class, while at the same time a second teacher sends half of the class (the highest achieving students) to the enrichment lab and the third teacher also sends half of the class (the lowest achieving students) to the enrichment lab. This allows the second and third teachers the opportunity to work, in small group fashion, with reading and math while the students in the lab experience a cooperative learning approach to a structured variety of subjects. Classes would be rotated to allow for all students and teachers to experience the varied opportunities.

The result is a lower student-teacher ratio when dealing with the critical subjects of reading and math, more directed activities and time-on-task for the students, and an availability of enrichment activities for deeper understanding. With proper scheduling, the traditional "pull-out" programs can be better aligned with the classroom learning activities thus creating more learning continuity for students and a lessening of the stigma that attached to students when they leave to attend "special" classes (Canady, 1990).

Although promising in its application, the implementation of block scheduling has not been without its critics. Howard (1998) notes a scarcity of hard data regarding block scheduling and student achievement. Howard also raises critical questions that are crucial to the planning process when considering the implementation of such a major reform. The questions deal with issues of staff development, analyzing the true efficacy of block scheduling in giving teachers more instructional time, management procedures and resistance to the change process.

PARALELL BLOCK-SCHEDULING AND PLANNED CHANGE

Although many variables can impact the implementation of parallel block scheduling, lack of adequate planning would have to be one of the foremost. Fullan (1991) illustrates the complexity involved with issues of programmatic and structural change and conceptualizes two methods that seem to converge in much of the literature.

One method involves identifying a list of key factors associated with implementation success, such as the nature of the innovation, the roles of the principal, the district role, and so on. Another way is to attempt to depict the main themes, such as vision, empowerment, and the like. Both make important contributions: The former has the

advantage of isolating and explaining specific roles; the latter is more likely to capture the dynamics of the change process. (p. 67)

In regard to the key factors affecting implementation, Fullan groups the factors in three areas. The first is described as the characteristics of change and includes the factors of need, clarity, complexity, and quality/practicability. The second group keys on local characteristics and include district views toward change, community support, and the level of commitments by the principal and teachers. The third grouping focuses on the external factors of governmental and other agencies involvement that could hinder or promote the change efforts.

By identifying and addressing key themes in the planning of change, innovations can become more holistic in their scope and avoid a mere "tinkering" that often results in disjointed change efforts. Key themes, according to Fullan, include vision building, evolutionary planning, monitoring, initiative taking & empowerment, staff development/resource assistance, and restructuring.

Beyond these organizational issues associated with the planning of the implementing of block scheduling, Fullan (1991) also provides specific roles for district leaders when dealing with multiple-school innovations. He believes that district leaders must lead a process that:

1. Tests out the need and priority of the change;
2. Determines the potential appropriateness of the particular innovation for addressing the need;
3. Clarifies, supports, and insists on the role of principals and other administrators as central to implementation;
4. Ensures that direct implementation support is provided in the form of available quality materials, in-service training, one-to-one technical help, and opportunity for peer interaction;
5. Allows for certain redefinition and adaptation of the innovation;
6. Communicates with and maintains the support of parents and the school board;
7. Sets up an information-gathering system to monitor and Correct implementation problems; and
8. Has a realistic time perspective. (p. 198)

While the key factors and key themes do provide a comprehensive approach to consider in the planning stages, they also can be cumbersome when trying to provide specific direction. Hackman (1995) spelled out ten guidelines specific to the implementation of block scheduling that assisted his school prior to and during their conversion process. The first suggestion is to employ a systems thinking approach. From there, according to Hackman, planners should secure administrative support, have a thorough understanding of the change process, involve all the stakeholders, consult outside resources, brainstorm alternatives, examine budgetary implications, plan for related

staff development, determine an evaluation component, and to share and celebrate successes.

It is within this framework that one can examine the results of planning the implementation of parallel block scheduling within a school district. This examination is presented first from the view of a school board member followed by the perspective of an elementary school principal.

THE SCHOOL DISTRICT

The Spearfish School District, a rural district located in western South Dakota, is composed of three elementary schools, one middle-school, and one high school with a total enrollment of approximately 2300 students. After a year in planning, the school district decided to implement a parallel block schedule within one of the elementary schools for the school year 1998-99.

The school selected, East Elementary, serves 400 students in grades three through five with an instructional staff of approximately 30 that includes regular education teachers, special education teachers, support teachers, aides, and the principal. The student demographics show primarily middle to lower middle-class, culturally homogeneous children.

THE SCHOOL BOARD PRESIDENT PERSPECTIVE

As a school board member, one of my personal goals is to support positive change and innovative practices in my district. It was with great interest that I accepted the offer to be part of a team that was beginning down the road of change - looking at an alternate way of scheduling at the elementary level.

The elementary schools in Spearfish have been designated Professional Development Schools (PDS). This PDS concept was developed through a grant from Black Hills State University, a local university that has worked with individual schools to research and implement best practices at the elementary level. Through this opportunity, staff at East Elementary was invited to learn more about Parallel Block Scheduling.

Parallel Block Scheduling was a new and intriguing concept for the board, one that would possibly allow our student-teacher ratio to be cut in half during prime instructional times. As a board, we recognized that this would entail additional costs, but that the educational benefits could outweigh the additional expenditures. Additionally, the PDS grant provided the initial costs associated with the planning elements.

As school board president, I was interested in observing parallel block scheduling first hand and seeing how it was implemented and financed at the elementary level. I traveled with a group of five staff members from East Elementary to Fairfax County, Virginia in January, 1998, to visit two elementary schools that were using this model successfully.

Dr. Bonnie Miller, principal of Stenwood Elementary in Falls Church, Virginia, shared with us the parallel block schedule that they have developed and the subsequent dramatic academic gains made by her students as a result. She also pointed out that discipline referrals had decreased, teacher collaboration had increased and student-teacher ratios were dramatically reduced. These benefits intrigued us and during our visit to Virginia, we spent many hours discussing how parallel block scheduling could be tailored to fit the needs of the students in our school.

After spending several days in Virginia, our team returned to share with the staff at East Elementary the benefits that we had observed during our visit and discussed how this model could be implemented at East Elementary. At the second board meeting in February, 1998, the principal of East Elementary presented an overview of parallel block scheduling to the school board and asked for their support in pursuing this model. Obviously, a consideration of the board was the necessity of the on-going financial impact of this change. The principal of East Elementary requested $17,000 for the 1998-1999 school year to hire substitutes on Fridays so as to allow the teachers to have a 100-minute time block for planning and staff training. During this time, the classroom teachers would meet with their team of core teachers to plan for the upcoming week and to discuss student needs. Based upon the results of the planning and the principal's presentation, the board approved the request on the belief that this change would have a positive impact on how teachers teach and how students learn, and would hopefully lead to increased student achievement in the areas of language arts and math.

The staff at East Elementary began developing their schedule so that all classrooms would have fifty-minute blocks of time designated for small group language arts and math instruction. During these blocks, no student would be pulled out for any other programs and student-teacher ratios would be reduced through the utilization of non-classroom teachers and paraprofessionals.

With these modifications in place, there arose a need for extensive staff development, not only for classroom teachers, but also for our paraprofessionals and other staff members who would now become a part of the teaching team in order to reduce the student-teacher ratio. All of our certified staff, including special education and Title I teachers, as well as our paraprofessionals, would now become "core teachers" and be responsible for teaching language arts and math.

Since ratios would be reduced and learning could become more student-centered, there was a need to schedule staff development to provide training in direct instruction and hands-on activities. To prepare for these sessions, each member of the team received a reading packet, to be reviewed during the summer, which highlighted effective teaching methods for small group instruction. Additionally, prior to the beginning of the school year in August, training was presented for the staff on team building, working with small groups, and individualizing curriculum.

After approving funding of this project, the school board's next responsibility was to provide continued support for the implementation of

the new schedule. On-going evaluation is a critical component of successful change, therefore the board requested that regular updates be provided by the principal and staff at monthly board meetings. In addition, the board made a commitment to visit the school to observe the parallel schedule in action. It was important that we remain up-to-date on what was taking place at East Elementary so that we could support this model and answer questions from the community.

The school board was involved and supportive of the process from the beginning and their involvement continues today. The board seeks opportunities to empower administration and staff to implement site-based decisions that they are committed to and which reflect the needs of the students and the teachers. For planning and positive change to succeed, there must be a collaborative effort to do what is "best for kids".

In alignment with Spearfish School District's mission, "Empowering All Students to Succeed in a Changing World", the board felt it important to support innovative practices which have the potential to improve student achievement and which allow all students access to best practices in education. Parallel Block Scheduling has reduced student- teacher ratios at East Elementary during language arts and math, allowing all students more opportunities for individualized instruction and the opportunity to succeed.

Developing and implementing this alternative schedule required a collaborative decision-making process with members of the school board, the administration and the teachers, all involved in a true team effort. It is my hope that we will see many of the same benefits we observed in Virginia and that this will continue to be a positive change for our students and our staff.

People, by their very nature, are often resistant to change. However, the old adage is true: either you are moving forward or you are falling behind. Our experiences with the parallel block schedule illustrate the importance of effective planning which enhances successful implementation.

THE SCHOOL PRINCIPAL PERSPECTIVE

As a building principal, I have worked in three districts under nine superintendents. I have observed many educational leaders take on change in their buildings and districts. I have had the opportunity to see pragmatic managers and visionaries. I have seen failures in leadership that have divided schools and communities and I have seen leaders guide staffs in working together to make a difference in children's lives. The task before us in school renewal is to capture the energy and imagination of our staff, students, parents and community to more closely meet the developmental, educational, social, and emotional needs of children. As we renew ourselves, so can our schools be renewed.

I came to East Elementary two years ago as building principal. In that time, I have had the chance to rethink and reaffirm several assumptions I have held about school renewal and the change process. In my previous assignments as a principal, it took twelve to eighteen months to identify the work that lie ahead for the next several years.

Getting a feel for a staff and the building's culture, learning how to get things done at the district level, putting the systems in place that allow you to focus your energies, all take time.

At least that's what I thought coming to East. In a relatively short time the staff at East and I became fast friends. The approach I took was to try to address their concerns first and then tackle the things that I wanted to see done. Those initial months were not without problems, however our approach was to put the student's needs first, and move forward together.

East Elementary had been a Professional Development School for several years. Working with Black Hills State University, the power of the program was that approximately 90% of our certified staff attended regularly scheduled in-services where our educational practices were discussed. We were able to do this because the University offered us graduate credit to explore topics of our choice. During our involvement, the University asked if East Elementary was interested in getting a first hand look at Parallel Block Scheduling.

In our site visit to Virginia, we visited two schools that were implementing different models of parallel block scheduling. More important than the two models, we saw an exciting possibility for our students and staff. During that time in Virginia, our team met often to discuss ways we might change the model to fit our needs. We developed two papers on "what we saw" and a "pro's and con's" sheet. We also did a short analysis of our resources and decided what it would take to make it happen. Our commitment was to give our staff the best information so they could make an informed decision. The staff's job was to decide if it was right for us.

On returning, we gave the staff the information we gathered and used a group process during our Professional Development School time to determine answers to the following questions: What are our dreams in a change process? What don't we want to lose? What are our needs? What questions need to be answered?

Using that information we formed the NYPD-BLUE (Next Year's Planning Development- Building Level Upper Elementary) committee to discuss our goals, resources and what we needed to know so we could make a recommendation to the staff. We shared an extensive library of professional journal articles on Parallel Block Scheduling and pulled together enough information to decide if we would commit ourselves to the project. The staff voted overwhelmingly that we proceed with our planning.

The key to Parallel Block Scheduling is in the instructor planning time. We knew that without it, the initiative would fail. The two alternatives we considered were having an early release one afternoon a week or hiring several substitutes one day a week to free up our staff to plan together. We decided on pursuing the hiring of substitutes and the board president, having accompanied us to Virginia, was instrumental in ensuring that the board financially supported our proposal.

With the board support and the assistance of a district mini-grant, we developed committees in the following four areas to plan for the implementation of Parallel Block Scheduling:

Scheduling. This committee was responsible for developing the overall schedule taking into account recesses, teacher duties, PE, Music, library, computer rooms and lunch that, all told, required over 340 separate scheduling events to be considered.

Teacher-Core Planning Time. The teacher-core planning committee explored how the classroom teacher and core instructor planning might best be spent. We identified the "core" person as the individual who assisted the classroom teacher in the core instructional areas of language arts and math. Typically, the core instructors worked with half of the children Monday through Thursday for two 50 minute blocks. That collaboration has been the key to the success of the project. The core instructors were made up of Special Education teachers and aides, district aides and support teachers, a secretary and myself (as the building principal). We had to utilize everyone we could in order to find adequate staff.

In-service Needs. This group focused on three types of staff development including team building, small group activities and hands-on instructional activities.

Parent/community Relations. An important role of this committee was in the planning of handouts and presentations that were given several times in the spring prior to the implementation of the parallel block schedule. During that spring orientation, we also recruited parents to be our "Friday subs" who would take over the regular classrooms for 100 minutes while the regular classroom teacher planned with their core instructor.

After the implementation of parallel block scheduling in the fall of 1998, we have made minor adjustments to the schedule. Teachers have experimented with different ways to group students heterogeneously and have used different whole-group instructional techniques. The schedule is very tight, so we have had to plan for the unexpected.

Our core instructors meet every other week for a half-hour in the morning before school. These meetings have evolved from discussions about playground duty, to in-depth studies on how children learn to read and different instructional techniques. Since this is a mixed group of staff, the evolution of the discussions has been wonderful.

To help us assess our project, we have surveyed parents, students and staff on a variety of issues surrounding parallel block scheduling. Together with a fourth grade standardized testing and discussions at our Professional Development School meetings, we have also asked Black Hills State University to evaluate our project and make recommendations to us.

As I reflect on the last two years, I feel we have come together as a staff and been renewed in the process. Parallel block scheduling has required us to reexamine our practice and to make adjustments. I have found after a year, that we have supportive parents, increased student engagement and achievement, and a committed staff. It has also given me the opportunity to return to the classroom four times a week to teach math to 4th graders as a core instructor. It is the best hour of my day.

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SCHOOL-SITE AUTONOMY IN ITALIAN SCHOOLS: PERCEPTIONS OF POLICY MAKERS

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This paper, therefore, addresses some fundamental considerations imbedded in the present dialogue in Italy as the schools prepare to implement decentralized decision-making. The issues addressed represent a subset of data collected in recent interviews with Italian policy makers. The primary impetus for the present research was to investigate baseline perceptions of those who have previously operated within a highly centralized system as they prepare to move to school-level autonomy, presently lacking fully operational capacity-building structures for support and facilitation.

INTRODUCTION

Site-based management of schools has been a topic of interest to American educators for at least 10 years. By the mid-1990s, most American schools had adopted some form of self-governance. Recently, in Italy, growing interest in decentralization and autonomous school governance has culminated in legislative action that moves many facets of decision making from the central government to individual school sites.

The unified Kingdom of Italy was proclaimed in 1861. The new State inherited a pre-existing scholastic system that was unequal in quality and content. For example, while there were good networks of schools in areas such as Venice and Florence, in the south and in Sicily education was uneven (Ministero della Pubblica Istruzione, 1998).

Among the major challenges faced by Italians in their efforts to achieve unification and to promote education were the many differing dialects, with only 10 percent of the population understanding Italian at the point of unification. However, in the first 50 years after unification, literacy rates increased rapidly.

Today, Italy is a democratic republic organized on the basis of a 1946 Constitution. This Constitution sanctions certain fundamental educational principles which include freedom in teaching, the State's duty to ensure a network of scholastic institutions open to all without distinction, the right of individuals to establish schools with no onus to the State, the duty of parents to educate their children for at least eight years, and the cost-free nature of compulsory education offered by state schools (Ministero della Pubblica Istruzione, 1992).

While the administrative system of schools in Italy, as compared with that of the United States, has traditionally been centrally organized, since the 1950s there has been a slow, progressive process in Italy of decentralization of services and responsibilities from the central to the local level (Ministero della Pubblica Istruzione, 1992; Reguzzoni, 1967).

During the 1970s in particular, some responsibilities, including those concerned with education, were transferred from state to local authorities (Ministero della Pubblica Istruzione, 1992). During the early 1990s, evidence of increasing attention to the topic of school-site autonomy in Italy was manifest in the regular treatment of the topic in professional journals. By the mid-1990s, Berlinguer, the newly

appointed Italian Minister of Education, had included school-site autonomy as one of the core points of his educational program (Scurati, 1995/1996).

  While some European systems have both studied and implemented facets of community-based school decision-making and school-site autonomy for many years (Reguzzoni, 1997; Ribolzi, 1997), the Italian school system has only recently had sufficient support from Parliament and the Ministry of Education to move forward with the decentralization of school authority from Rome to individual schools (Aprea, 1998). Even when educators and researchers believed the moment was near (Scurati, 1995/1996), two additional years passed before the requisite official actions had occurred which permitted individual schools to assume sanctioned, decentralized authority for school decision making and planning (Ministero della Pubblica Istruzione, 1998). What finally moved the initiative forward was dissemination of "circolari" or policy papers by the Italian Ministry of Education and legislative action on the part of the Italian Parliament (Ministero della Pubblica Istruzione, 1998).

  In Italy, the term school-site autonomy, or simply "autonomy," is commonly used in journal writings to denote decentralization of decision making to local schools, in a manner similar to that of site-based management in the United States. Their conceptualization contains many structures, processes, and paradigms associated with more recent attempts to reform American schools, emphasizing local capacity and responsibility for the results of schooling (Wohlstetter et al., 1997).

  It appears that the Italians have benefited from exposure to continental writings on the subject of decentralization and autonomy, as well as the writings of the British, such as those of Mortimore (1997). They are also somewhat familiar with the writings of Fullan (1991, 1993). However, bibliographies of current national journal articles suggest that Italian writers for the most part have accessed only the most foundational (and sometimes rather dated) writings of Americans. Additionally, most of their native writings on the subject are more conceptual or philosophical and less empirical in nature.

  Presently, in order to move their agenda forward, Italian educators are studying issues related to decentralization and the implementation of school-site autonomy. The Ministry, additionally, is actively working to provide opportunities for enhancing the capacity of individual schools to respond to the legal sanction of practicing school autonomy.

  The primary impetus for the present research was to investigate baseline perceptions of those who have previously operated within a highly centralized system as they prepare to move to school-level autonomy, presently lacking fully operational capacity-building structures for support and facilitation.

  Conceptual and practical concerns abound, acknowledged by those involved, both at national and local levels. Planning efforts and questions over "next steps" are confounded not only by the lack of usable extant models to provide a framework for the Italians, for their experience is rather unique, but also by questions related to purposes of schooling within a context of constantly shifting political and economic landscapes.

  This paper, therefore, addresses some fundamental considerations imbedded in the present dialogue in Italy as the schools

prepare to implement decentralized decision-making. The issues addressed represent a subset of data collected in recent interviews with Italian policy makers.

Those interviewed included a Deputy Minister (Sottosegretaria) of Education; a counselor to the Minister of Education and former president of a teacher association; a member of Parliament elected by Forza Italia; a president of an industrial union; the president of an association of Catholic elementary school teachers; a Jesuit priest who is regarded as the father of the autonomy movement in Italy and also serves as the editor of a monthly review journal; a professor and researcher in the sociology of education currently teaching at the University of Genova; a former school inspector who now serves as an educational consultant throughout Europe and is a protégé of the Jesuit priest; the president of a school heads (principals and didactic directors) association; a former principal of a high school (liceo classico) who now serves on the national staff of a national principals' association; and a teacher with 35 years of experience at the elementary level who has been involved at regional and provincial levels with professional organizations.

Participants were selected based on their broad, general involvement in Italian education, their present positions which allow them access to or influence over policy making functions, and their active involvement in current educational reform in Italy.

Interviews focused on investigating initial stages of the school-site autonomy movement, describing conditions surrounding the initiative, assessing factors which could both impede and facilitate efforts to implement school autonomy, and tapping perceptions on connections between decentralization and school improvement.

This paper reports a subset of the information gathered through the interview portion of a larger research project. Specifically addressed in this paper is understanding of decentralization concepts, receptivity to autonomy, obstacles to implementation, conditions supporting autonomy, capacity for change, and prospects for success.

UNDERSTANDING OF MAJOR CONCEPTS RELATED TO DECENTRALIZATION

Of initial interest was respondents' understanding of the basic terms utilized in the lexicon of present initiatives related to decentralization ("site-based management") and autonomous practices.

The term site-based management created more definitional problems for subjects than did the term autonomy. Definitions of site-based management were varied and somewhat uneven: "management of the school at the site of the school with no guarantee of shared autonomy"; "decision-making at the level of the school"; "having the power to decide freely decisions or matters concerning teaching and learning activities"; "the way in which autonomy or choices are handled at the school"; "a term which can be combined with autonomy"; "a 'legal' issue wherein decisions of a high level have to be 'near the level of the institution'"; and "understanding the boundary of questions in a local view so that one can work specifically at the level of the local school."

Responses regarding the meaning of the term school-site autonomy were richer; respondents spoke freely as well as with great interest and enthusiasm. Most of the responses focused on the concept as a strategy of governing in which schools organize themselves in the

"way that they want," making decisions in a manner which "reinforces the democratic spirit," assuming and demonstrating through this decision making "responsibility." Autonomy was variously defined as a "strategy of governing," a "transference of governing from state to local levels," a "general procedure," "self government at the central unit of individual schools," and a "reappropriation."

In most cases, respondents were not specific about the kinds of decisions they envisioned occurring in the autonomous school. Comments were largely conceptual, painted with a broad brush, and articulated in "future" terms: that is, respondents saw autonomy as something that was coming but had not yet arrived.

Comments were mixed, however, regarding where true power and ultimate responsibility rest within the framework of autonomy. Some viewed autonomy as a sharing in the good of the school without distinction for the individual responsibilities of groups (principals, teachers, parents, community members, students) toward that sharing. "Auto-governance" for the Parliamentary Deputy was envisioned as making all decisions possible that schools were in the position of making without devolving power. On the other hand, the Ministerial Deputy perceived transference of responsibility and governance more in terms of devolvement of authority and power, with the role of the Ministry evolving into one of integrating autonomous efforts: giving capacity and direction, providing orientation programs to control results, and giving assistance to local schools. (Note, however, the word "control" relative to results.)

The president of the association for school heads/didactic directors metaphorically described the autonomous school as a "sort of university or hospital structure," suggesting unit autonomy within the whole. He also underscored the need for integration between and among levels of schooling and internal provision of school services according to the demands of the population, as well as integration of services between and among other societal institutions, both public and private.

Only three subjects mentioned issues related to curriculum and improvement: the president of the Catholic teachers, the former president of the Catholic middle and high school teachers, and the president of the association for school heads and didactic directors.

RECEPTIVITY TO AUTONOMY

Also of foundational interest were perceptions held by subjects concerning site-based management and school-site autonomy that could be interpreted as receptivity to the practices.

Only two subjects responded directly to the question of how they felt about site-based management. One felt that finally the schools were "coming out of their minority position." The other stated that schools should assume management at the school site.

The others tended to respond to feelings regarding school-site autonomy, even when asked the question about site-based management. All 11 subjects had favorable views of school-site autonomy, supporting both the concept and the practice and viewing the practice as providing opportunities to be more responsive to local differences.

Some viewed autonomy in terms of the new responsibilities that lay ahead for principals and teachers. The ex-school inspector felt that

citizens in Italy have had a dependence-hate relationship with the State that people "take all from the mother State," and yet despise the dependence attached to the relationship. She stated that it is very important that principals and teachers realize what autonomy is. Previously, "they" have blamed the State for the excess of hierarchy but at the same time have not assumed the responsibility of their positions, in that they do not recognize teaching as a job or a profession. She underscored that the autonomy movement will require teachers especially to take responsibility and to "get down to earth" with "everyday things."

The Parliamentary Deputy reflected that traditionally in Italy, schools have been a form of the State rather than an expression of the society - that the real manager of the school previously was the State. She stated that the autonomy reform would result in a "shoring up" of power of local areas rather than of the State and that the role of government, within the context of autonomy, must be to promote and control, evaluate final outcomes, and not decide procedures. Rather, procedures should be decided at the level of the school.

Of particular interest was the manner in which the Parliamentary Deputy utilized the terminology of State control more liberally than did the Deputy Minister. The Deputy Minister was more concerned with the role of the State in integrating efforts and encouraging schools, parents, and communities to respond to the needs of society. This same sentiment was expressed by the counselor to the Minister of Education, who viewed the role of the Ministry in terms of "standards setter" and "facilitator"; she specifically mentioned three aims of the Ministry in the autonomy movement: to coordinate efforts, to promote changes, and to evaluate results.

Overall, responses suggested a widespread receptivity to autonomy. Subjects had a difficult time, however, answering the question directly and tended to digress to discussions of theories, philosophies, beliefs, and feelings concerning the construct itself.

OBSTACLES TO THE SCHOOL AUTONOMY MOVEMENT

Subjects demonstrate great insight into the many obstacles that could subvert or deter efforts at adopting, introducing, implementing, and institutionalizing school-site autonomy. Obstacles represented a cross-section of concerns - professional, political, organizational, economic, and social. The following analysis relies heavily on Lewin's model of force field analysis that analyzes change not as an event but as a dynamic balance of forces working often in contravening directions (Hellriegel et al., 1986).

A major obstacle at the present time rests squarely in the lack of preparedness of principals and teachers to implement school-site autonomy. Lack of principal preparedness is both professional and dispositional. In Italy, the director/principal/"capo d'istituto" of a school - the person responsible for minimal management of the school - is a former teacher who has distinguished himself or herself in some way and has been elevated to the position. No formalized preservice training or degree program has existed in Italy for the professional preparation of administrators.

Additionally, training and preparation of teachers is relatively uneven in Italy. Elementary teachers tend to be graduates of a five-year secondary school program. Only high school teachers and middle school teachers generally hold university degrees and those degrees are in content areas and not in educational specialties, such as curriculum, pedagogy, didactics, educational psychology, or classroom management.

Lack of professional preparedness extends, then, to the skills and competencies required for implementing school change. Teachers have had insufficient exposure to the conceptual and empirical literature of school and curricular improvement. Many principals are unfamiliar with the change literature, and furthermore, principals have had no training in human resource management or change agency (Ferrara, 1998a).

Concerns were articulated regarding not only issues of preparation and expertise of principals and teachers but also attitudes toward the changes. Policy makers perceived some practitioners as fearing responsibility; others were perceived as preferring to be "directed," especially teachers. One subject indicated that "psychological anxiety" could serve as an obstacle to the reform effort. Such anxiety for teachers would result from fear of losing authority, no longer being the "master of the school," as many perceive themselves now.

Obstacles also exist in the area of political and conceptual differences regarding the purposes of schooling and the means to improve the schools. Concerns were raised regarding the tradition of centralization, a system that has historically "maintained control." One association president felt that a new form of centralism could evolve which would suffocate the capacity of schools. An analogous concern related to putting into effect reforms with administrators and bureaucrats from the "old system." One professor felt that institutionalization would depend on a political context of expedience: if adoption is perceived as a political advantage, it could happen quickly within individual schools.

One subject expressed the fear that "organization" and "education" would be confused; that is, that participants in the process would fail to realize that restructuring or reorganization is only the first step towards changing the dynamics and processes of schooling.

A real political concern is the present alliance between the trade and labor unions and the new Minister. Existing coalitions are perceived as presenting potential obstacles to consensus building among all the disparate parties to the reform. Additionally, the new Minister is perceived as being in the media "every day"; observers feel his entrance into the media should have been more gradual.

Public relations appear to have been of little previous concern as a means of promoting conversations about the schools and as a vehicle for debate of educational issues. With the advent of sweeping reform of the school system and the introduction of participative structures and local responsibility, a major obstacle might be the lack of a public structure to systematically disseminate accurate, timely, and consumable information to garner support for the changes.

Finally, another major obstacle identified was the level of understanding and ability of those involved in the effort to connect autonomous management with instructional goals in order to impact didactic aspects of schooling.

Major questions exist. Will sufficient financial resources exist to support the present numerous proposals? Will communities/ municipalities do their part? Will changes within the government distract attention and energy from this innovation?

CONDITIONS SUPPORTING SCHOOL AUTONOMY

The interviews revealed that the policy makers are well aware that the challenge of their reform efforts is not, in the words of Fullan (1991), "simply to master the implementation of single innovations" (p. 29). They are also cognizant of the fact that their initiatives are minimally at the level of second-order change, that is, they are entering into altering fundamental organizational structures, practices, and roles. Further, they acknowledge that the school-autonomy movement is especially challenging for them given the highly centralized structure that existed previously. Their realistic acceptance of the complexity of what they are undertaking is a positive precondition for entering into school-site autonomy.

Several other conditions exist which also hopefully will serve to support efforts to decentralize decision-making. First, there is widespread support for school-site autonomy among policy makers. There is also acknowledgment that a road map is required and that planning of next steps must be made within the context of a larger picture.

Policy makers also perceive the real work of school autonomy will rest with principals and teachers focusing on school improvement. They also know that principals must be trained to lead this initiative and teachers must receive the facilitation, support, and leadership they require from principals to focus on curriculum and instruction issues and to respond to the new academic and social expectations that modern Italians have for their schools.

There is also acknowledgment that schooling as it is in Italy today not only is not meeting the future needs of society - both in Italy and within a European and a global context - but that in fact school production lags behind present needs to prepare students for the current Italian and European workplace. Nevertheless, Italy is making headway at the present time in the European matrix. The acknowledgment that the educational system must change and improve radically and quickly is a positive indicator.

The inclusion of industrial unions in the educational conversation represents a departure from practice in the United States. It also represents a potential strength for present reform initiatives in Italy. Industrial leaders, including those associated with Confidustria, are sensitive to the linkage between schooling and work in a nation where a smaller percentage of students pursue post-secondary education and where most youth do not procure secure, full-time employment much before the age of 30. The typical Italian youth of 20-25 years lives at home with his/her birth family and works an average of 20-25 hours per week. Also typical in Italy today are other challenging demographics: later marriages (beyond the age of 30), high divorce rates, a birth rate that is presently in near-negative numbers, a disproportionately large

aging and aged population, and a rapid rise in the numbers of immigrants.

In order to reflect the various social, political, and economic interests of present-day Italian culture, coalitions are being formed that combine representatives of the Ministry of Education, the Italian government, professional educational associations, local civic and municipal groups, and industrial unions to study issues critical to the reform of Italian schooling and to the implementation of school-site autonomy (Oliva, 1998a). This practice of inclusion should enhance the democratic spirit that Italians perceive is critical to the school-autonomy movement, providing that all efforts are made to depoliticize the conversation.

The support of professional organizations through forward-looking and forward-thinking leadership can also be considered a factor that will enhance efforts at school autonomy. The journals of the Italian professional educational organizations - and there are many - have been challenging the status quo for years, including writing for at least five years on the need for and the benefits of autonomy. The major impediment to introduction of the practice of school autonomy was the need for a Minister of Education who would support the movement and a Parliament that would pass legislation to permit the practice. It must be remembered that education is mentioned in the Italian Constitution, unlike the American Constitution. The direction of Italian schools ultimately both is derived from the central government and must remain congruent with the constitutional framework.

In order to mitigate against inequities across schools and to reinforce the need to address the existent problems in Italian schools, a standards movement is also taking shape. Such conversations are focusing on national educational objectives and standards, standards for students, as well as standards for teacher and principal competencies and requirements for preservice and inservice training for school professionals.

A recent reform of the national exam for "maturity," administered at the end of the secondary school experience, is evidence of attempts to upgrade and improve the educational system (Ministero della Pubblica Istruzione, 1998). The need for a national assessment system is also being discussed. Most view this as the purview of the Ministry of Education. The purpose of this system would be to monitor the products and outcomes of schooling.

CAPACITY FOR CHANGE

The issue of capacity for change - assessing capacity, organizing and training for change, acquiring the necessary support and resources - was largely ignored in the United States during the early years of governance devolvement and implementation of shared decision making. In Italy, there have been various responses to two basic components of capacity - willingness and capability.

It appears that there is a differential willingness to participate (Ferrara, 1998a). Policy makers are uniformly supportive of school autonomy. Principals are generally supportive, but those who are of a more bureaucratic mindset are more resistant to this change. First,

most principals acquired their positions not only because they were exemplary teachers but also because they "caught the eye" or attention of central powers. Secondly, historically, principals in Italy have perceived of themselves as minimal managers - not as leaders, not as visionaries, but as servants of the state.

Policy makers perceive that teachers are divided on the issue of school autonomy. Policy makers report that some teachers welcome the opportunity for growth and are smitten with the idea of having more authority than they have enjoyed in the past while others, representing a substantial number, are fearful of the responsibility inherent in devolution of authority.

Several initiatives are now underway to address capability. The main investment will be in the training of principals. A new national commission, charged by the Ministry of Education, is being formed to respond to the training needs of principals. It is anticipated that the commission will be comprised of approximately 10 professionals; the composition of the commission has not yet been determined (Scurati, 1998).

The proposal as it exists now is a national, two-year project, for updating the skills of the 10,000 principals in Italy to build capacity for the reform agendas. The program is compulsory; however, incentives for promotion to a higher status title are contained in the proposal.

Each principal will have 300 hours of training over a two-year period. One-half of the training (150 hours) will be theoretical and the other half, practically oriented, focusing on such issues as supervision. Various programs will be available, and as the proposal reads now, options for training will be determined by a regional committee, with principal participants having some choice in training options. The proposal also contains a requirement that every organization will submit credentials to become accredited on a national basis (Scurati, 1998).

In order to address teacher training needs, standards for entering elementary teaching are being augmented. In the near future, all elementary teachers will have university training. Italy also has an inservice staff development system that can be retooled to respond to current teacher and principal training needs.

PROSPECTS FOR SUCCESS FOR THE SCHOOL AUTONOMY INITIATIVE

It is almost always impossible to predict the level of success of initiatives to change school cultures and structures that involve the restructuring of roles and reorganizing of responsibilities (Fullan, 1991). Much will depend on the ability of policy makers and practicing educators to "put together" the proverbial pieces. Many initiatives are moving forward simultaneously. The major challenge is to organize the disparate but related and interrelated pieces so that the effort is organized in a manner that will promote, support, and increase capacity, rather than fragment efforts and frustrate participation in reform efforts. It is to their credit that policy makers in this study demonstrated sensitivity to linking reform efforts to authentic student learning and achievement (Newman, 1991).

Those involved will have to coordinate their efforts to support the changing roles of participants, create professional cultures, and move

beyond the legacy of bureaucracy. Actions taken should therefore include, but not be limited to:

1. Developing a more supportive infrastructure;
2. Designing appropriate pre-service and in-service programs;
3. Promoting coalitions whose purpose is to promote schooling for a post-modern society;
4. Gaining community support and engaging the community in the work of the enterprise; and
5. Outlining a long-term plan that will facilitate achieving the ends for which school-site autonomy is the means: the improvement of schooling and outcomes.

CLOSING COMMENTS

There is strong support for school-site autonomy expressed by policy makers interviewed for this study, as well as a sophisticated level of understanding regarding the complexity of the concept of school autonomy and mechanisms that facilitate school autonomy, including supportive cultures (Schartz, 1997).

Most policy makers appear willing to learn from the literature and not to replicate the errors of their European and American counterparts. They have a firm sense that paradigms, such as those focused on innovations and those focused on achievement (Clark et al., 1984; Ferrara, 1996), must be integrated in order for this initiative to succeed. They understand the strategic nature of the enterprise before them and have a steady eye on the critical roles and professional development needs of principals and teachers in the devolvement and improvement processes (Allen & Glickman, 1992; Little, 1993). They acknowledge that a typology for parental involvement is far from conceptualized (Casanova, 1996). They also realize that their framework must be consonant with the Italian cultural and economic context, which has shifted over recent years.

Despite the basic support for autonomy and awareness of its complexity, the Italians face political, professional, and structural obstacles in the planned absence of a strong, centralized role for the Ministry of Education (Oliva, 1998b; Marcantoni & Patton, 1996; Porrotto, 1997).

Not yet manifest to policy makers is how to organize and integrate all facets of the present conversation into a workable model: self-governance, school autonomy, school improvement, retraining, new models of preservice training, standards, national assessments, and so forth.

Policy makers also lack consensus on substantive issues regarding the role of the school in educating the child and appropriate curricula for moving students into the twenty-first century. Teachers, and to a slightly lesser degree, administrators, lack both strong conceptual and practical foundations. The role of parents and community members is largely uncertain at this time. Such obstacles in the aggregate have the potential to impact the capacity to support decentralization.

Nevertheless, policy makers, including high-level officials from the Ministry of Education and presidents of national educational associations, hold views about decentralization, shared participation, and school improvement that are congruent with foundational and current work in the body of American literature (Bauer, 1996; Conley, 1991; Conley & Bacharach, 1990; Ferrara, 1992, 1996, 1997a, 1997b; Ferrara & Domenech, 1994; Ferrara & Repa, 1993; Malen et al., 1990; Murphy & Hallinger, 1993; Smylie, 1994, 1996a, 1996b; Wohlstetter et al., 1997), including work which has suggested that simple, linear applications generally result in frustration and failure.

Overall, at present, it appears that policy makers have realistic notions regarding decentralization, the intended targets of school autonomy, and the problems surrounding adoption and implementation of autonomy. Ultimately, policy makers recognize that efforts to redesign school structure and processes, including redefining administration and teaching, cannot result in increased bureaucracy, but rather must focus on professionalization of the schools and greater responsibility and accountability on the part of schools for educational outcomes (Firestone & Bader, 1992). They believe that this will occur through the actions of principals and instructional staff.

The challenges are great. While benefiting from a realistic theoretical perspective, a sound understanding of what confronts them conceptually, and identification of the many variables critical to the success of school autonomy, policy makers are still reaching for meaningful construction of the whole from its identified parts. The notable news is that policy makers appear to be walking into autonomy minus the illusions and misconceptions that hampered efforts to decentralize decision making in American schools.

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THE RESEARCH UNIVERSITY FACULTY MEMBER: RESPONSIBILITIES FOR GOVERNANCE

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The purpose for conducting the current study was to examine the perceptions of faculty about governance in the context of the research university. In the culture of scholarship observed in Carnegie Research I and II universities, the attitudes and perceptions of faculty play a major role in training and professional development.

INTRODUCTION

Higher education institutions differ dramatically by size and type, a variable recognized in the Carnegie Classification of Colleges and Universities in the United States. With these differences institutional culture represent varied expectations of faculty, administrators, and students. Although these cultural differences may have influenced student college choice, little is known about the type of faculty member recruited. Indeed, generic faculty recruitment efforts are typically limited to research and publication productivity or promise, with some attention provided to teaching experience. These claims may be found to be especially true in large, research-oriented universities where instructional attention is focused on graduate education, and primary attention may be focused elsewhere. Further, a faculty member's ability to acculturate to a research or teaching centered environment has historically neglected or ignored an individual's desire or ability to participate in group decision making efforts.

The college faculty member is placed in an ambiguous and ambivalent situation. Challenges from a host of directions confront the faculty member, particularly academic preparation and graduate training programs that emphasize research capabilities. In addition to the movement of research-dominant faculty, higher education institutions continue to suffer through public unrest over faculty teaching abilities and institutional commitment to undergraduate instruction. Additionally, renewed movements toward innovation in faculty renewal and development are indicative of trends aimed at improved teaching.

Attention to the issues of faculty teaching and research give rise to potential problems in a third dimension: academic citizenship. The concept of faculty being involved in various institutional roles provides the foundation for faculty participation in decision-making. Although the *Minnesota State Board of Postsecondary Education v. Knight* court decision denies faculty a legal right to involvement in governance (Miles, 1987), many administrators have found it imperative to involve faculty in decision making to gain acceptance for decisions and to maintain morale, which are critical factors to success in any process or structure.

The purpose for conducting the current study was to examine the perceptions of faculty about governance in the context of the research university. In the culture of scholarship observed in Carnegie Research I and II universities, the attitudes and perceptions of faculty play a major role in training and professional development

FACULTY CULTURE OF SCHOLARSHIP

The contemporary research university has been argued to be an outgrowth of Prussian higher education where research and development activities defended the idea of royalty and minimizing democracy. With the creation of Johns Hopkins University in the United States, the contemporary graduate research university was created. This model institution has identified research and publication as primary activities of faculty, and with this emphasis in research comes an increase in prestige and a subsequent increase in resources, all combining to make a culture of scholarship desirable (Finnegan & Gamson, 1996). Despite the desirability of a research culture, there can be serious and non-desirable repercussions to teaching performance when research is encouraged (Wong, 1995).

The growth of the research university took root in the movements of the 1960's and 1970's when the focus on sponsored programs and research incentive funds led to the creation of a culture of scholarship (Finnegan & Gamson, 1996). Faculty undertaking these activities, Finnegan and Gamson argued, direct their energies at "content, methods, and research problems addressed in funded projects, journals, and professional associations" (p. 142) Additionally, Miller, McCormack, and Newman (1996) found that faculty in research universities tended to align an ideal governance process in higher education with a reward structure which provided incentives for participating in governance activities. Within this same context Chronister (1991) observed that junior faculty were discouraged from becoming involved in governance, as "at the vast majority of institutions the reward system leading to tenure discourages involvement in governance activities because the 'coin of the realm' is scholarship" (p.23). Also, McCormack (1995) concluded that observed tendencies and habits should be evaluated within the confines of the academic culture.

Although Birnbaum (1992) claimed that no particular model or process for higher education governance worked for all institutions, he provided a general framework for understanding the governance and administration of research universities. In his perspective, the research university provides a formidable example of a political institution, where competing interests negotiate the allocation of scarce resources.

FACULTY INVOLVEMENT IN GOVERNANCE

Current practices in involving faculty in decision-making, both academic and administrative, have received a growing amount of scholarly attention (Gilmour, 1991). This attention has revealed findings of distrust between faculty and administrators (Miller & Seagren, 1993),

as well as the faculty belief that rewards for participation are insufficient (Howell, 1982). Additionally, barriers to faculty involvement in governance have been identified, including those obstructions which are institutional in culture (Flanigan, 1995), and those which arise from external pressures on the institution (Glenny, 1985) within this broad base of existing research, many of the efforts have relied on personal opinion or speculation, and have lacked the conceptual underpinnings to demonstrate significant advances in shared authority. Despite the ambiguity which remains in participative governance, three themes have arisen in the literature base: negative based needs for shared authority, positive based needs for shared authority, and tactics for improving participative governance.

NEGATIVE BASED NEEDS

There are a number of issues related to "negative" aspects of higher education that seemingly make an argument for increasing faculty involvement in governance. Advocacy for shared authority in higher education has been related to the growth of administrative positions, a dilemma perceived so severe that Bergmann (1991) referred to "bloated administrations" (p. 12). Parker (1991) charged the need for increased shared authority on problems with career administrators who view academic management as the same as private sector supervision which results in an increase in top-down management without consideration for institutional or academic cultures. Others have charged the dilution of authority in higher education, including curricular matters, to the increased power and control assumed by state coordination efforts (Kerr 1991; Glenny, 1985), both instances relating to the removal of faculkty authority to determine curricular matters. This very idea inspired Chronister (19910 to view the call for faculty involvement in the governance process as a means to ". . . restore confidence in institutional decision-making" (p. 25) and to serve as a buffer against external pressures.

POSITIVE BASED NEEDS

The conceptual foundation of participatory governance accepts the assumption that consensus is more readily developed through processes which allow for individuals to consulate, negotiate, and invest themselves in decisions. This assumption proves to be especially relevant for colleges and universities during periods of retrenchment or limited financial growth where difficult budgetary decisions must be made. In addition to the acceptance of decisions, whether policy or action related, faculty involvement in governance has been alluded to as positively impacting teaching performance, work motivation, and personal investment into the organization. Other benefits of faculty involvement have been reported to include more comprehensive and thorough decisions, wider agreement on controversial issues, conduits for developing faculty into administrative leaders, and greater consensus among external constituencies.

TACTICS FOR IMPROVEMENT

Regardless of the advantages or need for increased faculty involvement in governance, a number of efforts have been undertaken to examine methods or techniques for improving shared authority. Miller and Seagren (1993) provided an exploratory description of how faculty leaders believed they could improve participation among faculty. The leading tactics for improving joint decision-making were found to be providing recognition for involvement, increased participation in planning activities, consultation by administrators with faculty in a visible manner, and provide a reward structure for participation in tenure and promotion criteria. Similarly, McCormick (1995) identified the factors of an "ideal" governance process, finding that empowering faculty to question policy decisions through a well-articulated process and utilizing the faculty senate as a conduit for soliciting faculty participation were viewed as the primary mechanisms for improving governance. Other efforts have focused on building cultures or climates of collaboration and trust, while structural or organizational considerations have been largely ignored.

METHODS

The current study was conducted as part of the National Data Base on Faculty Involvement in Governance Project at the University of Alabama. Data were collected throughout the 1993, 1994, 1995, and 1996 academic years from faculty at five Carnegie Classification Research I and II Universities. These institutions were selected based on their willingness to participate to the study, and were assumed to be representative of the culture of scholarship at other research-oriented universities. A total of 150 surveys were distributed to a contact person at each institution, and surveys were randomly distributed to faculty. This provided a total sample group of 750 faculty members, and these faculty members were believed to be representative of all faculty at their respective institutions.

Data were collected using the Faculty Involvement in Governance survey instrument which was developed in 1993 and has consistently achieved internal reliability ratings of .80 or higher in its previous uses. The instrument provides a mechanism for collecting data on 10 categorical response questions relating to the perceptions of faculty about their involvement in governance process. The instrument asks respondents to rate their agreement or disagreement with each statement using a 1-to-S scale (l=Strongly Disagree; 3=Neutral; S=Strongly Agree).

FINDINGS

A total of 512 faculty of all ranks and disciplines provided usable responses to the data collection efforts, representing an approximately 70% return rate. As the surveys were not coded for follow-up data collection purposes, the response rate was determined to be acceptable.

Data for the study were collected throughout the 1994, 1995, and 1996 academic years.

Respondents were first asked to rate their level of agreement with five statements related to their current role in the governance process. These statements were taken from Gilmour's (1991) national study in the United States of faculty senates, and these items were also included in the work of McCormack (1995) and Miller, McCormack, and Newman (1995)

Respondents agreed most (mean 4.09) with the role of insisting on rights and responsibilities in governance. This statement dealt primarily with faculty making the effort to take responsibility for decisions related to particular areas such as curriculum, course content and organization, and graduation requirements (see Table 1) Stemming from this, another perception possibly being convened is one of willing to be responsible and accountable for the efficacy of instruction. This thought is similar to that of Pascarella and Terenzini (1991) who indicated a growing awareness of the "product" and "student" in higher education.

Responding faculty also agreed (mean 3.78) that one of their current roles is the convincing of administrators that the faculty perspective or "voice" is valuable and worthy of consideration in decision-making. This perception can be interpreted of the desire of the faculty to be accepted by the administrators for a meaningful role in running the institution.

These research-oriented faculty had closer to neutral feelings on the remaining three roles of the faculty member in governance, including assisting in the clarification of administrative roles in working with faculty (mean 3.47), faculty committees working harder to cooperate with administrators (mean 3.22), and faculty involvement in developing specific budget outcomes (mean 2.91). Although respondents utilized the neutral response option for these three items, responses may be somewhat related to insecure feelings of co-governance or lack of knowledge concerning governance processes and outcomes.

Following these five survey items, respondents were asked to rate their agreement with five statements related to characteristics of an ideal governance process. These items were taken from the Miller and Seagren (1993) study of increasing faculty involvement in governance, and had similarly been included in the McCormack (1995) and Miller, McCormack, and Newman (1995) studies.

Agreement levels for these characteristics were generally close to neutral. Other research (Mill & McCormack, & Newman, 1995) found greater agreement for these summary items indicating that faculty at research institutions might not perceive governance as important. Respondents agreed most with the desire to use the faculty senate as a conduit for soliciting faculty participation in various activities (mean 3.68), such as service on college or university-wide committees. Faculty also reported that they should be empowered to question policy decisions through a well articulated process (mean 3.64) and that institutional procedures should involve faculty early in the decision-making process (mean 3.42). In both of these instances faculty are given formal authority

and responsibility for being involved in decision-making, and this involvement includes provisions for structure and timing. Respondents reported neutral to disagreeing perceptions toward being rewarded for involvement in governance (mean 2.90) and the use of outside neutral consultants to mediate faculty-administration dealings (mean 2.60; see Table 2)

DISCUSSION

The purpose for conducting this study was predicated on the concept that faculty who are expected to conduct research for a significant part of their job may be unique in their perceptions of the governance process. In particular, the body of related literature on faculty involvement in governance has held that research university faculty may be motivated or internally rewarded by activities or roles closely aligned with either research interests or research methods. This concept seems reinforced in the contemporary university where the qualitative research movement has embraced a growing number of junior faculty's interests.

The current study revealed that research university faculty perceived most strongly that their role was to insist on rights and responsibilities in appropriate governance roles, such as in developing curriculum or identifying graduation requirements. This finding, when coupled with the second highest rated perception of current faculty roles being convincing administration that the faculty voice is valuable, seems to suggest that faculty have some type of adversarial relationship with administrators.

The open atmosphere surrounding the access may in part drive this heightened sensitivity to administrator relations and publicity afforded research article publication and the criticism and praise of the research product. This criticism and open atmosphere must be viewed in contrast to the protective climate of teaching, where classrooms are at least psychologically the sole domains of the faculty member. With the publication of research findings, all components of the product, from data analysis to writing style, are presented in public view and are eligible for open debate and criticism. This open feeling may in turn further the distrust and skepticism identified by Miller and Seagren (1993), among others, between faculty and administrators.

The identification of these two primary roles of faculty may also be indicative of great specialization and compartmentalization at larger research universities. Additional research and study may reveal that faculty are further removed from the decision-making processes at their institutions, and that the specialization of administrative lines may be a barrier to sharing authority.

The characteristics of an ideal governance process were found to be generally neutral, with mean scores ranging from 3.68 to 2.60. The highest rated characteristic of an ideal governance process was found to be that the faculty senate or council is used as a conduit for other activities. In type of situation, a faculty coordinating body would serve as a clearinghouse for getting other faculty involved, and in a sense, could

serve as a 'committee on committees' type organization where other involvement assignments are issued.

Interestingly, the empowerment of faculty to question policy decisions through a well-articulated process was not strongly agreed with, and was moderately supported. With a mean rating of 3.64, faculty seemed to indicate that some form of empowerment is necessary, but this may not necessarily need to be a well-articulated or formal process. This finding would then be consistent with Birnbaum's (1992) argument that political component of higher education can permeate virtually any type of institution.

Two additional ratings in the characteristics of an ideal process were found to be of note. First, perceptions were just below neutral, actually leaning toward disagree, with the idea of adequate rewards for involvement in governance. This could be an indication that involvement is driven by internal motives and desires, and is not necessarily linked to a pork-barrel mentality in representative democracies. And secondly, there was disagreement with the statement that neutral consultants should be utilized to mediate faculty-administrator dealings. This finding may be an indication that faculty see themselves as isolationists who are highly self-reliant, or this may be an indication that formal organized labor has not been embraced on campuses where research activities are dominant. Both of these findings are also applicable to Birnbaum's (1992) observations on higher education institutions, where bureaucracy and self-motivation are key phrases in describing the organization's behavior.

The inclusion of over 500 faculty members in the current study is cause for optimism in the study of shared authority on the college campus. In an era of reduced budgets and increased public scrutiny, the organizational climate and functioning of higher education must be examined. Through observations of this nature and the willingness of faculty leaders to enter into meaningful conversations with administrative leaders, the environment of higher education can evolve into the culture and climate advocated by so many scholars, practitioners, and administrators alike, such a dialogue has the potential to result in meaningful goals and strategies for shaping shared authority, and the subsequent result will be a framework or foundation for meaningful cogovernance throughout higher education. This framework could then be structured around such factors as:

- Involving faculty in a logical, rationale, consistent, and structured format;

- Developing a culture of mutual respect and trust for and by both administrators and faculty;

- Working to define roles and role expectations of those involved in decision-making, planning, and policy formation; and

- Granting rights and responsibilities to faculty, resulting in feelings of ownership and a desire for involvement.

Shared authority can result in more meaningful strides for institutional effectiveness. To realize this efficiency, however, those in positions of authority in governance, research, and planning must be willing to empower faculty, the institution's front-line workers, to accept and create change. Although this change may prove difficult, the long-term benefits have the potential to greatly enhance an institution's performance.

TABLE 1
Roles of Faculty in the Governance Process (N=512)

ROLE	MEAN	SD
Faculty must insist on rights and responsibilities in appropriate governance roles (such as curriculum, graduation requirements, etc.	4.09	.931
Convince the administration that the faculty "voice" is a valuable component in decision making.	3.78	.873
Faculty should assist in clarifying roles of administrators so that they are to administer policy and not impose their own.	3.47	.897
Faculty committees should work harder to cooperate with administration.	3.22	.795
Faculty should be more involved in developing specific outcomes for budgetary expenditures.	2.91	1.132

TABLE 2
Characteristics of an Ideal Governance Process (N=512)

ROLE	MEAN	SD
The faculty senate is used as a conduit through which faculty participation is solicited.	3.68	.813
Faculty are empowered to question policy decisions through a well-articulated process.	3.64	.676
Institutional procedures involve faculty governance early in the decision-making process.	3.42	.747
Faculty members are adequately rewarded for their participation in the governance process.	2.90	.899
Neutral "consultants" are utilized to mediate faculty-administration dealings.	2.60	1.093

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Planning to Meet the Needs of Diverse Student Populations: California School District Educational Solutions

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In response to both internal, changing student characteristics, and the external stimuli of legislative mandates such as class size reduction, schools in California are continually in a process of flux. The state's school administrators can either be the catalyst for positive incremental change or elect to pursue a reactionary approach that addresses daily crises but overlooks the bigger issues. This article features a change scenario employed by three Southern California school districts.

INTRODUCTION

The impetus for change in the educational system in California is largely a function of the extent to which school district are led by administrators and communities that are deeply committed to the notion of change. The discussion that follows focuses on three school districts that responded to the need for change in the school system. All three districts, once they had acknowledged the California state mandate for a teaching faculty that is more culturally and linguistically competent to meet the needs of California's student population, sought university assistance to achieve that goal. Two of the districts were using the model for in-servicing experienced teachers, while the other district was proactively using the model as a basis for their pre-service or teacher induction partnership with one of the California State University campuses. Additionally all three districts were utilizing the education faculty from the same California State University to accomplish this educational objective, that is, the receipt of the Crosscultural, Language, and Academic Development (CLAD) credential for pre-service teachers or the CLAD certificate for the credentialed, veteran teachers.

Throughout the State of California school districts are under the same mandate: to scrutinize both the characteristics of their students, such as the English language proficiency levels of their students and the alignment of the credentials of their teaching staffs with these needs. Some districts have abdicated their responsibility in this regard and are waiting to see what the state's enforcement policy will be. Others have applied for waivers, citing a lack of CLAD credentialed teachers in their region. The three districts that are profiled in this article have seen the connection between the improvement of their schools and a need to proactively attract, train, or retool their teachers to the CLAD standards.

Although the CLAD credential has existed only since June of 1994, it has quickly become the standard credential for teachers who work with non-native English speaking students that are not yet at a fluent or native English proficiency level in all four domains: listening, speaking, reading, and writing. Having been available only for four years, the preponderant number of veteran teachers has yet to avail

themselves of this training and certification. Most districts had hoped to fill all new positions with CLAD teachers, thereby, gradually making the transition to a CLAD staff in proportion to their student numbers. By the 1995-96 school year hiring cycle, most California districts were advertising that CLAD was a prerequisite to being hired. While this attempt to meet the needs of the students was focused on new hires it did not address the realities of the districts that had a stable teacher population with little need for new staff.

Even these slight adjustments to the CLAD issues were thrown out of kilter when the state governor signed the class size reduction legislation in August of 1996. Suddenly, by virtue of this act, if all school districts chose to avail themselves of the additional revenues available under this measure, the state of California would need upward of 20,000 more teachers in fewer than six months. If every district in San Bernardino County, alone, had fully implemented class size reduction by February of 1997 that would have necessitated 1,200 additional teachers, which was 25% of the teachers credentialed in 1995 by the state of California. School districts, therefore, had to recruit teachers from every possible source, many of whom were from outside of California, where the CLAD credential does not exist. This new burgeoning population of out-of-state teachers or persons teaching on an emergency waiver in lieu of teaching credentials further complicated the issue of school improvement via planning and training to meet the needs of all students, including the non English proficient students.

In the midst of this scramble for teaching staffs, a few districts did not lose sight of the goals of the CLAD credential and the role of this type of teacher training in the improvement of schools for all students. Amidst all the frenzy of adjusting to these changes, during the 1996-97 academic year, Moreno Valley Unified School District became the first of the three cooperating districts to begin in-servicing their teachers through the CLAD partnership model that is the focus of this article.

The CLAD credential consists of the standard multiple subject or single subject course work with five courses having particular standards that address the competencies to meet the needs of culturally and/or linguistically diverse learners. These five courses, therefore, form the certificate program for those teachers already holding the basic credential, and include:

1.   Culture and Schooling
2.   Curriculum and Instruction for a Diverse Society
3.   Theory and Practice for English Language Development
4.   Curriculum Development for Specially Designed Academic Instruction in English
5.   Practicum in Teaching English as a Second Language

Although most of the teachers in each of four cohorts that were run by the university/district partnership (that is, three certificate and one cohort of pre-service teachers), have successfully completed the program, the areas of most concern arose in the certificate programs

where the teachers were already credentialed by the state of California. The resistance or reluctance consistently expressed by some teachers has become a major concern as the current teacher shortage in the state of California now forces districts to forestall their previous requirement that all <u>new</u> teachers have the CLAD training. Therefore the number of non-CLAD certified or non-credentialed teachers is increasing. This thereby undercuts the goals of the Commission for Teacher Credentialing for meeting the needs of the increasingly diverse student populations.

DESIGNING EFFECTIVE STAFF TRAINING PROGRAMS: THE CLAD PARTNERSHIP PROGRAM

The program that was developed for CLAD certification included a one-year course of study that encompassed 18-quarter units of graduate study and utilized 8 designated contract in-service days as well as faculty-directed study group teams and Internet connectivity. Students utilized a specially created project manual to guide their year's course of study. As well, through provision for enrollment in university course work students were able to advance on the salary scale and/or apply these courses to graduate degrees.

As the project has unfolded over the last two years in one school district (Moreno Valley USD, four site administrators have functioned as site coordinators for the preparation of their school staffs. These individuals are: Paula Rynder, principal of Armada Elementary School; Diana Stephenson, principal of Serrano Elementary School; Pat Heacock, principal of Bear Valley Elementary School; and Mary Jones, principal of Alessandro Middle School.

RELUCTANCE AND RESISTANCE TO NOTIONS THAT PROMOTE EQUITY AND ENHANCE EDUCATIONAL PRODUCTIVITY FOR ALL STUDENTS

Persuading teachers to incorporate new or different instructional methods into their teaching practices has been a persistent problem. Zahorik (1984) argued that teachers' preferences strongly influence how and what they teach, and that these preferences are based on personal values or an ideal teaching style, and on the teacher's abilities and skills, rather than on empirical evidence. New research, or new training, consistent with theories for increasing educational productivity, have not persuaded teachers to adopt new, or different, instructional methods into their teaching practices.

For a majority of teachers, dealing with students from diverse background is a matter of classroom management. This situation is prevalent when teachers cannot communicate with their students. Since teachers may not know the primary language of their students, they resist notions, promoting equity, that require them to engage in sharing "the other's" knowledge. The cultural resource that provides opportunity for growth is turned into a liability. Instead of using collaborative learning techniques, they accept and advocate traditional recognition of authority. This restricts the zone of proximal development, described by

Vygotsky (1978). Teachers from a more traditional perspective, who are pro- assimilationists, view classroom management as a primary concern. Teachers feel that such students do not mirror the values and ideals of the "normative" standard, in some cases far removed from their culture and social background.

RESULTS FROM THE FIRST TWO YEARS

Given the teacher shortage, many districts have realized that to be in compliance with the state staffing requirements for non-English proficient students, the focus must now be on the CLAD certification process for their teaching staffs. Therefore, it is imperative that the data emanating from the previous two years be analyzed for two formative purposes. First, the districts in the partnerships have immediate concerns for compliance with CLAD certification for their teachers. The second major reason for analyzing the effectiveness of these programs is to produce a model which isolates the important indicators of success and sets up a direction for all districts in the state of California as each plans to improve the quality of the educational services rendered to students.

Improvements in educational productivity presuppos that teachers have a high level of competence and that they utilize a "repertoire" of instructional strategies that permit accommodation to student needs and differences" (Ellsworth, 1993). Initially we began to evaluate data collected during the two years in the Moreno Valley School District, which included CLAD certificate preparation of teachers from three elementary school sites and a middle school. School site cohorts shown below in Table 1 will for structural purposes, present this data:

Table 1
School Site Principal Data

Principal participant ethnicity	Sex	element school/	middle school	cohort	year
Ryder Euro	F	X		1st-1996-97	yes
Stevenson Black	F	X		1st-1996-97	yes
Heacock Euro	M	X		2nd-1997-98	no
Jones Black	F		X	2nd-1997-98	no

There was one female Euro-American elementary school principal in the 1996-97 year, Ms. Ryder and one Black American principal, Mrs. Stevenson. The 1997-98 year the principals include a Euro-American male from the elementary school, Mr. Heacock, and a female American Black principal from the middle school. All of the above-mentioned principals were monolingual English speakers. During the first year, the principals were also enrolled in the certificate program and were "student" members of the school CLAD certificate cohorts. In retrospect, this personal buy-in from the administrators was very facilitative in that they were seen by their staffs through very concrete demonstrations of interest to be supportive of the CLAD goals for their school sites. This direct level of participation by the administrators was also proactive in that the principals, as cohort members functioned as peers to their staffs in the study group processes and served to allay fears, facilitate problematic processes and so on. In addition, because of their budgetary access, they had the ability to rent the required videos and make these assignments more accessible to their staffs. As cohort members, the principals also had a responsibility to perform all required assignments, and as administrators served to clarify questions based on this familiarity with the student handbook. As we worked with the students in the 1997-98 cohort, we came to understand and appreciate this administrator buy-in and found the ownership pivotal.

During the 1997-98 cohort year, the middle school administrator, although not a cohort member, that is, not seeking the CLAD certification for herself, Mary Jones did attend all general class sessions and did visit the small group faculty-led study group sessions thereby communicating to her staff the validity and importance of this training to the middle school's educational improvement plan. Conversely, the elementary school principal, also not a CLAD cohort member, took a less active role in all of the sessions, and began to function as mediator or go-between, thereby allowing his staff, to not only perceive him as not committed to the CLAD goals but to latch onto him as the carrier of their complaints to the university faculty teams. In this capacity he began to function as the person to run interference with the university faculty whenever his staff did not meet deadlines or they chose to attempt to renegotiate the quality and quantity of the CLAD certificate assignments. Because he was not a participant in the program, he misunderstood the purpose of the assignments and actually added to the problems the university teams were having in dealing with an already problematic school staff. This lack of leadership in implementing a district mandated and provided training ultimately reached epic proportions for the program at this school site. It is of interest to note that the administrator left the district at the end of the CLAD training year.

The commitment to the CLAD program by site administrators was a dimension to the preparation program that had not been fully considered prior to entering into the cohort site selection process. The district, as a whole, had initiated the partnership and had communicated its importance to all of its staffs, but the ability of the site level administrator not only to fail to serve as a lynch pin in the process but

also to become counterproductive had not been a major criterion in the site selection process.

The predisposition of the site level administrators to support CLAD goals has now become a crucial selection criterion for determining participation in the partnership certification process.   The willingness of Principal Paula Ryder as evidenced by her statement, " I'll make an arrangement with Blockbuster and I will pay for it," communicated to her staff a commitment to the CLAD training beyond that of lip service. This planning demonstrated her support for the easy integration of the core requirements of the program into their professional lifestyles.   This commitment extended to the level of Ms. Ryder's hosting popcorn video viewing parties at her home and promoting others hosted by her staff members, which she also attended.

THEORETICAL FRAMEWORK: RESAONS FOR STAFF RELUCTANCE TO ADOPT ALTERNATIVE INSTRUCTIONAL METHODS

The difficulty of implementing and sustaining instructional practices has been very demanding once the novelty or the initial enthusiasm has declined (Fullen, 1992). This study surveys a cohort of secondary teachers as they responded to their school district's lead in pursuing training in second language acquisition teaching methods that will meet the needs of English Language Learners. The cohort must internalize the new instructional methods in order for the process of changing school norms to engage and empower students who otherwise could be marginalized. Cultural differences should be incorporated into instruction. No student should feel culturally isolated from other groups in the classroom environment.   The partnership with the four schools in Moreno Valley utilizes a more open system where teachers can reflect on their motives, attitudes and skills in their instructional practices. Freilino and Wang (1986), have suggested that motivated teachers are not more likely to implement a new technique. Witt (1986) extends the idea by concluding that resistance to changing curriculum delivery and teaching methodologies is likely. Teachers are more likely to implement new teaching strategies that are consistent with their own theoretical orientation.   A teacher perceives an intervention to be effective (not too time-consuming or intrusive) when it is consistent with his or her own theoretical orientation.   In addition, we found that the level of commitment of the principal, and other school site administrators, plays a pivotal role in the attitudes of the CLAD students being taught on site, and makes it more likely that new techniques of instruction being covered will be implemented.

Our search for key attributes of a successful   CLAD program reveals that personal attitudes and beliefs are the key determinants of a teachers' use of alternative teaching approaches (Casey et al. 1988). The partnership model presented here has repeatedly been shown to be more effective than traditional in- service training. In-service training is often time-intensive, and perceived as intrusive.   It is a good forum for introducing new teaching approaches, and the faculty in-service helps teachers develop skills in their use of new teaching strategies. However,

the advantage of the partnerships created and being reviewed in this study, is that it includes school site administrators as key players in the successful adoption of new interventions to increase the educational productivity of ethno-linguistic minority children. And, as has been fully documented in the literature on effective schools, intervention and change takes place most fully and effectively when the administrator is skilled a knowledgeable change agent.

Also, an examination of the demographic characteristics of the teachers in each school site cohort, reveals how resistance to new teaching innovations is related to age and ethnicity of the program participants. Table 2, below, shows a 10-year difference in the average age of the participants at two school sites.

Table 2
Age Differences

AGE DIFFERENCES
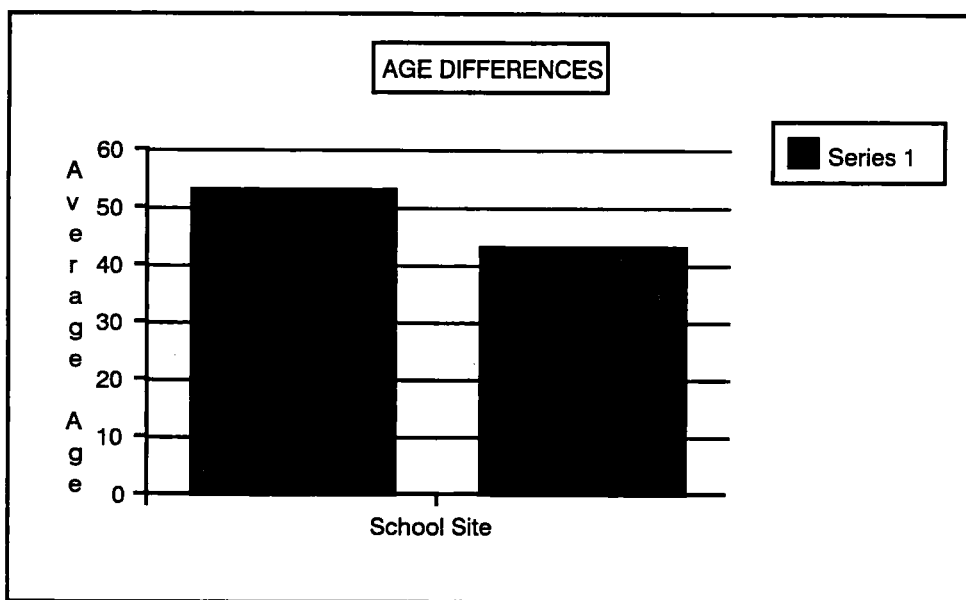
These results provide support for the hypothesis that more experienced or older teachers get set in their ways. Resistance was greater for the Bear Valley cohort, which averaged ten years older than the middle school personnel.
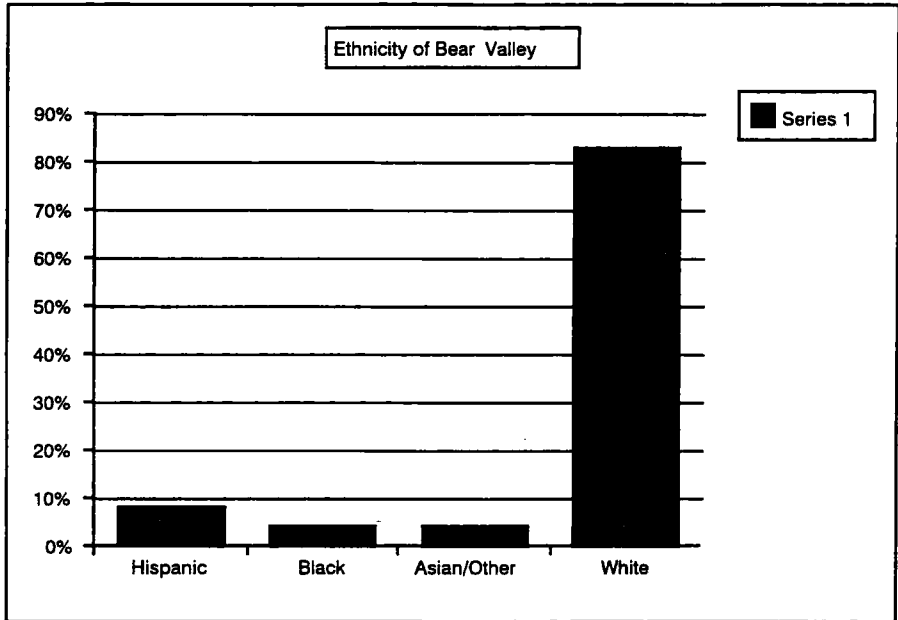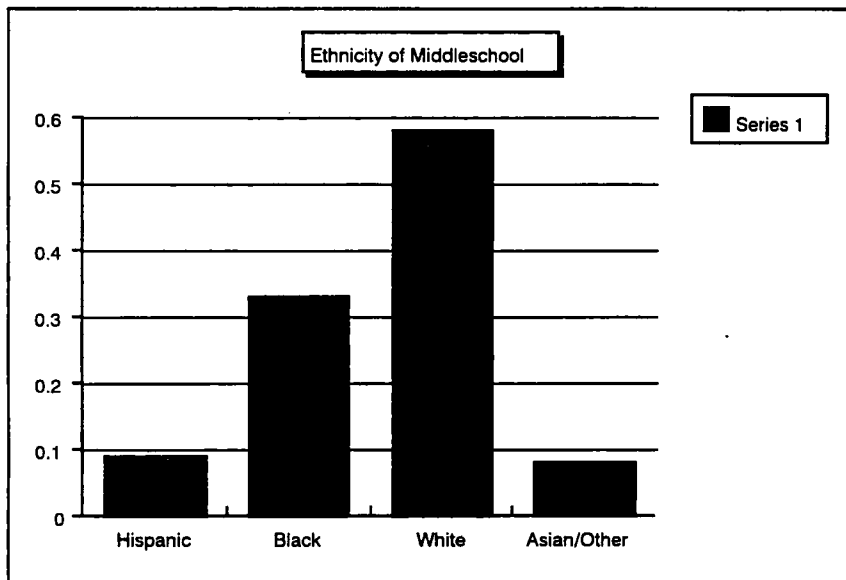
Table 3
Ethnic Composition of Faculty:

Ethnicity of Bear Valley

Series 1

(Bar chart, y-axis 0% to 90%)
- Hispanic: ~8%
- Black: ~4%
- Asian/Other: ~4%
- White: ~83%

Table 4
Ethnicity of Middle School

Ethnicity of Middleschool

Series 1

(Bar chart, y-axis 0 to 0.6)
- Hispanic: ~0.09
- Black: ~0.33
- White: ~0.58
- Asian/Other: ~0.08

Figures 3 and 4, below, demonstrate differences in the ethnic composition of the teachers at each school site.

Looking at data from the second year cohort, it can be seen that the Bear Valley site and the Alessandro site varied substantially with regard to the ethnic character of the teachers. The differences in both ethnic composition and age correspond to patterns of resistance to the multi-cultural paradigm. As well, the second-year CLAD delivery cohort's resistance to program delivery methods were greater for the staff of the school whose principal's participation level was low.

THE INDUCTION PHILOSOPHY: PPRINCIPAL'S LEVEL OF COMMITMENT AS A KEY TO SUCCESSFUL IMPLEMENTATION OF CLAD

Persuading teachers to incorporate new or different instructional methods into their teaching practices has been a persistent problem. Zahorik (1984), argued that teachers' preferences strongly influence how and what they teach, and that these preferences are based on personal values or an ideal teaching style. Such considerations take a back seat to empirical research as a guide to what methods work best for English Language Learners. New research and training consistent with theories for increasing educational productivity have not persuaded teachers to adopt new or different instructional methods in place of the teacher's familiar teaching style.

For a majority of teachers, dealing with students from diverse backgrounds is a matter of classroom management. This situation is prevalent when teachers cannot communicate with their students. Since, teachers may not know the primary language of their students, they resist notions that promote equity. The CLAD preparation program provides cultural bridges and avenues of interaction that engage teachers in sharing "the other's" knowledge. Cultural diversity is a resource that provides opportunities for growth. The richness of human existence is turned into a liability. Culture is isolated from the student. By contrast, the use of collaborative learning techniques, recognizes the need to empower all students.

Teacher efficacy is an important construct in student achievement, and educational planners need to seriously examine what teachers believe about their abilities to teach children from various cultural, linguistic, and socio-economic groups. In-service development must include opportunities for teachers to examine how their belief systems influence what they do and how they teach children from the various ethnic groups. Schooling can be a liberating experience for all children. High-efficacy teachers use methodologies that are meaningful to students and integrate the spoken and cultural traditions of the students into their classroom. This study has presented variables that seem to effect outcomes of cohort training, including administrator participation, age of participants, and ethnic representation within the teacher cohort. These findings need to be a focus of restructuring subsequent preparation programs for seasoned teachers. Based on the experiences that this study has afforded, the authors propose that any

attempts to train veteran teachers in methods outside their cultural comfort zones be accompanied by a strong set of preliminary agreements with the host school district, including:

1. The necessity for program participation of the school administrate;
2. Better ethnic mixing of the cohorts of teaching staffs; and
3. Concentrative attention to the age factor of school staffs and its implications for readiness of acceptance of new teaching methods that involve attention to the needs of minority student groups.

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INVITATION TO SUBMIT MANUSCRIPTS

The editor of *Educational Planning,* a refereed journal of educational planning issues, invites the submission of original manuscripts for publication consideration. *Educational Planning* is the official journal of the International Society for Educational Planning. The journal's audience includes national and provincial/state planners, university faculty, school district administrators and planners, and other practitioners associated with educational planning.

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