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Correlates of Successful Implementation and School Change

An Annotated Bibliography

Southwest Educational Development Laboratory

June 2000
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Patricia Castañeda-English, Shirley M. Hord,
Victor Sáenz, and Joan L. Buttram

Southwest Educational Development Laboratory
211 E. Seventh Street
Austin, TX 78701

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Introduction

In order to gain information on how schools in the Southwestern region are implementing a new program, the staff of the Comprehensive School Reform Demonstration (CSRD) project undertook the development of a survey instrument. Based on the research on school change, the survey provides information to schools, districts, and state departments about the implementation of the CSRD program. To create an instrument grounded in the research on school change, CSRD staff consulted the literature, specifically on the implementation phase. A wide array of factors were identified for inclusion in the survey instrument. We found that the references in this paper deepened our understanding about what needs to occur in schools for such programs to be successfully implemented.

We are publishing these annotations to facilitate the work of other researchers, state CSRD coordinators, school district staff, principals, and teachers who want to increase their understanding of the mechanics of change and implementation of new programs. Although the bibliography is not exhaustive, we focused on and included those references that identified successful implementation correlates. Because the references all pertain to the general topics of change and implementation in schools, the entries are organized alphabetically. We hope you will find Correlates of Successful Implementation and School Change a ready reference to the knowledge base, a valuable tool, and useful for your continuous study of the school change process.

P. C-E.
June, 2000

An often overlooked but important component of comprehensive school reform is the strategic allocation and use of resources. The authors discuss how success of a comprehensive reform initiative requires restructuring of the school operations as a whole. Suggestions are made on how district personnel can begin the process of maximizing resources with a focus on the district’s vision and mission. Some of these include maximizing the use of staff expertise, harnessing time, investing in professional development, using federal dollars creatively, and cultivating community support. The allocation or reallocation of resources may sometimes involve unpopular and difficult decisions such as the elimination of any programs that are not contributing to overall student achievement. The article concludes with examples of obstacles to resource allocation.


This report describes the progress of about 175 New American School (NAS) sites during the early implementation stages of NAS’s scale-up phase. It is the first in a series of reports about a longitudinal sample of NAS schools. The analyses address several sets of questions including information on demographic and performance characteristics of the schools prior to becoming a NAS site; the status of implementation; and teacher support and reported effects. Information is provided concerning the wide variety of indicators that can be found across several areas of school restructuring such as governance, professional development, student performance expectations, student instructional groupings, strategies for instruction, and community involvement. The authors discuss the findings in view of the effects these findings will have on future national reform efforts.


This is a report on the first year (7/72-7/74) of RAND’s work in a study of four federal programs—ESEA Title III Innovative Projects, ESEA Title VII Bilingual Projects, Vocational Education Act, and the Right-To-Read Program. The programs’ goals promote educational change in the public schools for higher achievement outcomes. Volume IV is a synthesis of the data collected by RAND and provides a description of the innovation process of these projects. In addition, a discussion of factors that affect the implementation and continuation outcomes of the projects is included. The factors designated as affecting implementation and continuation include project characteristics such as substance/scope of proposed change, implementation strategies, organizational climate, characteristics of the population involved, and federal policies. The report concludes with policy implications of the findings.

The results of a study of state and local practices related to the implementation of Title I of the Improving America's Schools Act (IASA, 1994) are summarized in this article. Title I directors and practitioners were interviewed to determine how the process of implementing the provisions of IASA unfolded as the program progressed from policy to practice. The brief description of this continuing reform focuses on the various events at the national and state levels that have influenced the implementation of this initiative. Although the study's results indicate that the IASA has achieved some of its goals, the author expresses a concern that more time and support are necessary for this initiative to produce overall successful outcomes.


Established in 1991, the goal of New American Schools was to help schools evolve into organizations of improved learning and increased academic performance. Acknowledging that the implementation of reforms is not an easy task, this RAND study presents findings from the scale-up phase (1995-1997) during which NAS collaborated with 10 jurisdictions to implement whole school design-based programs. Several "lessons" were learned: 1) the variety and quantity of people involved in the initiative makes school reform a complex project to undertake; 2) cooperation and collaboration of schools and districts with the design teams are necessary in order to succeed in implementation; and 3) stable leadership and the belief that the effort is important to success are two factors that teachers perceive as making a difference in their degree of participation.


This report documents the evaluation of nine schools that participated in the New American Schools Development Corporation's demonstration phases. NASDC was established in 1991 and had as a primary purpose the funding of organizations that would create whole school designs for increasing schools' academic performance. Selected through a national competition by NASDC, eleven organizations were given a year to fully develop themselves as a team and to develop the whole-school designs for their participating schools. After the initial first year period, the teams had an additional two years to further develop, produce, and demonstrate the design. This report is an evaluation of the nine teams that remained after the first year. It summarizes NASDC's contribution to reform. In addition, it reviews the characteristics of the designs along with the teams that developed them. Other information includes the characteristics' impacts on goals and the barriers to reform experienced by the teams.

School context elements that facilitate school improvement efforts are discussed. Throughout the article the author reminds us of the impact that school context may have on at-risk students. In her discussion of the context for school change, two relevant factors or elements emerge—the "ecology" and the "culture" of the school. Although these two elements of the school context are discussed separately in the article, Boyd reminds us that "the interrelatedness and interaction of the school ecology and culture create the context in which school improvement efforts are undertaken". Ecology encompasses three main components—physical layout and size of the school; federal, state, and district level policies/rules; and the availability of school resources such as time and money. The relationship between these components and school improvement efforts is explained. The *culture* of the school—attitudes, school norms, relationships—may either impede or facilitate improvement efforts. Attitudes and beliefs are primarily discussed in relation to how teachers' behaviors are influenced by their attitudes and beliefs. The norms of a school that facilitate school improvement include continuous critical inquiry and improvement, a shared sense of purpose, and shared decision-making. Different relationships that must be taken into account in school improvement efforts include teacher peer relationships, student-teacher relationships, and relationships with the parents and the community.

Boyd concludes this article by addressing how the principal, as the leader in the school, can shape the ecology and nurture and support a positive school culture. If leaders can understand that schools are "complex organisms", then it helps them in creating a context that is supportive of change.


This report is part two of a three-part series synthesizing the research on change. Part one addresses the overview and initiation phase and part three the institutionalization and renewal phase of change. Citing the Concerns Based Adoption Model the authors reiterate how individuals’ concerns in the change process can be identified in seven stages. These seven stages—awareness, information, personal, management, consequence, collaboration, and refocusing can be further categorized into three main concerns: 1) concern for self; 2) concern for task; and 3) concern for impact. The authors continue with the idea that for each stage of concern, there are appropriate interventions. To employ a successful intervention strategy, one must try to understand the relationship between the various implementation factors and successful reform.

Five major implementation factors—orchestration, shared responsibility, pressure and support, technical assistance, and rewards—are discussed in the context of successful educational change. In addition, the "implementation dip" is discussed as a period that is likely to occur during the change process. Innovators of change must be wary of this period and realize that it is a normal characteristic of the early stages of implementation. Lastly, it is emphasized that leadership, especially during difficult phases, is of utmost importance in the change process.

The authors of this chapter advocate that evaluations that produce useful information should not be afterthoughts, but should be part of the processes of program planning and implementation from the onset. This chapter provides guidelines to better understand how evaluation of comprehensive school reform works. The intended audiences are district and school staff members who may have misunderstandings of the role of evaluation in comprehensive school reform. Guidance is provided on planning the evaluation, on designing the evaluation, on conducting and reporting the evaluation, and on collecting student performance data. The authors conclude with ideas for encouraging the use of findings.


Written as an aid for educators, community members, and policy makers to more clearly understand the activities and processes of restructuring, this book discusses the trends and issues in school restructuring, their fit with school change, and their contextual role in schools. The definition and historical context of restructuring are discussed in part one of the book. Part two speaks to the role that governance plays in restructuring. Entities discussed in this section include state and federal governments, school districts, school sites, and local communities including parents. Part three addresses the dimensions or variables of restructuring. These variables are organized into three major groups—supporting variables (governance, teacher leadership, personnel, working relationships), enabling variables (learning environment, technology, school-community relationship, time), and central variables (learner outcomes, curriculum, instruction, assessment). Each of these dimensions is discussed at length in relation to restructuring. In conclusion, part four of the book addresses the process of restructuring through discussions about policies, culture, leadership, readiness for change, and vision.


This study presents quantitative and qualitative analyses of how socio-cultural and within-school factors affect the quality of implementation. Specifically, it looks at how these factors affect implementation based on the implementation and evaluation of the Success for All program, a schoolwide restructuring program. Some of the socio-cultural factors explored include attendance rate, school size, student mobility rate, racial make-up of the student body, and urbanicity. Additionally, a sampling of the within-school factors includes supportive culture, program resistance, strong site facilitator, and material quality and availability. Based on the analyses of these factors, the program implementation was
identified as high quality, medium quality, or low quality. High quality implementation was enhanced by the following within-school factors: 1) having a supportive culture for change; 2) decreasing program resistance among the school staff; 3) having a skillful on-site facilitator; and 4) having resources/materials that are readily available. Socio-cultural factors contributing to high quality implementation included a decrease in student mobility, an increase in school attendance rates, and the comparative racial make-up of the students in the schools. Further elaboration of the findings is presented through qualitative data.

In this report, restructuring is examined based on social theory perspective. Concerned that restructuring has taken on a vague meaning, Corbett reminds us that restructuring is too important to let it become a meaningless endeavor. He states that “restructuring involves alterations in a school district's pattern of rules, roles, relationships, and results”. The issues of rules, roles, relationships, and results are discussed as systemic issues and not as isolated characteristics of the restructuring effort. Changes in all four aspects help ensure the relevancy of restructuring. Although Corbett uses the term “district” throughout the report, he is referring to individual schools as well. Using the term “district” helps emphasize the idea that without the support of central office staff and others external to the school building, restructuring becomes non-systemic and difficult to maintain.

Policymakers and practitioners, in their efforts to understand school reform by continually comparing innovative, current, and past strategies on improving schools, will find this book an important piece of literature. The basic question of why change efforts seem to work in some schools and not in others is addressed by focusing on the politics and culture of the school and district. The authors discuss the important correlation between strategies and settings and suggest that we go beyond our assumptions that all schools are alike to come to an understanding that it takes different approaches for different settings.

The effects of eight contextual conditions on the change process are the focus of the study presented in the book. The eight include resources, incentives, linkages with people and outside agencies, priorities/goals, factions, staff turnover, current practices, and the legacy of prior projects. Three features of the change process are identified. These include field agents’ activities, sequential planning, and local school staff participation. The authors contend that the eight contextual conditions, the three change process features, and the interaction between these two categories all play an influential role on the quantity of implementation and on the continuation/maintenance of changes. Acknowledging that the influence of the contextual conditions occurs at different intervals during the change process, the authors identify where in the life cycle of the change process each of the contextual conditions is most likely to assert its greatest influence. The outcomes of implementation and continuation are also discussed. In conclusion, the authors reiterate the importance of understanding a school’s individual identity in order to comprehend why changes occur or don’t occur.

Cuban focuses on the inherent difference between change for the better and change for change's sake. He categorizes problems associated with change into two categories in the context of schools: quality-control problems (or first-order changes), and design problems (or second order changes).

First-order changes in schools include recruiting better teachers and administrators, raising teacher salaries, allocating resources equitably, selecting better textbooks, altering content and coursework, scheduling people and activities more efficiently, and introducing new versions of evaluation and training. Cuban suggests that first-order changes try to make the school more efficient and effective. Unlike first-order changes in which existing organizational and structural features do not alter, second order changes do seek to change the basic structural and organizational features of a school. These changes introduce new goals, structural alteration, and roles that intend to transform what one is used to doing into different innovative behaviors. The intention is to learn to look at new ways of solving problems that have persisted. Examples include open classrooms, a voucher plan, and teacher-run schools. He concludes by suggesting that sometimes reframing the problem is the solution to avoiding ineffective reforms.


Promoting the idea that successful and skillful leaders play a key role in school reform efforts to increase overall student achievement, the author of this article talks about the characteristics that make up an effective school leader. Based on a 1998 leadership study commissioned by the United Kingdom's National Association of Headteachers (the equivalent of principals in the U.S.), results revealed several leadership characteristics common across those considered good leaders by their school staff. Some of these included principals who were values led, people centered, achievement oriented, inward and outward facing, and able to manage a number of ongoing tensions and dilemmas. A discussion of each of these is included in the article. The author concludes with a brief discussion about the implications of leadership training and development.


Critical of the literature on school restructuring, the author states that three important components—structure, time, and culture—and their relationship to each other are inadequately covered in the literature. In order to become an effective school, the author claims schools must consider the relationship among these three elements. Each of these elements is discussed briefly in relation to the effect they have on school change. He proposes that in order to have a successful structure or school organization in place, the leader(s) must support collaboration, learning, and collegiality among teachers. Time is considered a source of stress because of its scarcity when implementing reform initiatives. Culture is the most difficult to change. Culture includes the values, beliefs, and behaviors of school staff. In his work with schools, the author found that it takes an external change
agent, shared leadership, and teamwork for restructuring to be a success. In conclusion, he stresses that the district must thoroughly support the schools and be in alignment with its schools' cultures in order for changes to be sustained successfully.


Over the years several points of view on school restructuring have evolved. These points of view are often conflicting and present an added dimension of confusion when it comes to making decisions about school improvement policies. This book is written to help policymakers, educators, and researchers through the confusion of the school improvement debate. The book is divided in two major parts with the first covering school restructuring from several perspectives and the second concentrating on what the district and state can do to facilitate school improvement. Hoping to lead their audience to an understanding of the deeper issues behind educational reform, the authors of the different chapters present information and discussion on such topics as differential views of teaching and learning, enhancement of professionalism, use of active inquiry as the primary mode of teaching and learning, use of decentralized decision-making, and the examination of problems confronting entities undergoing restructuring. The editor concludes the book with the presentation of three scenarios depicting a continuum of effects that may result from restructuring efforts.


State educational reform activity was prevalent during the 1980's when educational reform was persistently centered at the state and local levels. This report examines a study that was conducted by the Consortium for Policy Research in Education to learn about six states' reforms and the impact they had on school districts. The policymaking and practices of Arizona, California, Florida, Georgia, Minnesota, and Pennsylvania were examined from 1986 through 1990. The reform activity of twenty-one districts was examined. Data collection consisted of site visits, phone calls, and review of documents. A summary of the initiatives of the six states and the 21 districts' responses is presented with a look toward the priorities for the 1990s. Implications of the findings and how these may impact future education reform efforts are discussed.


In this chapter, a comparison of effective versus ineffective staff development efforts is presented through case studies. Successful characteristics of staff development include collegiality and collaboration, experimentation and risk taking, involvement in goal setting and decision making, and time to work on staff development and assimilate new learnings. In addition, the author believes that administrators, consultants and teachers need more preparation and training for their role as change facilitators in a reform effort. Lastly, the
Correlates of Successful Implementation and School Change

author proposes several ways to promote effective professional development. He advocates that faculty development, program innovation, and information dissemination should be considered as interrelated strategies and not as single components to school reform; that learning should be inherent in everything that occurs within a school and district; and that two fundamental requirements—the use of multiple activities to implement professional development and viewing professional development as an ongoing activity of the school instead of as a one-time, single innovation training—need more attention.


Fullan addresses the issues of teachers' current status, what occurs when changes are introduced, what makes change work for teachers, and how teachers can make decisions to support the change. He does not minimize the fact that teachers have to deal with many situations that contribute to limiting reform. Teachers' daily work routine is summarized through several research studies that looked at what teachers do and think. In addition, information is provided on the stressful and satisfying aspects of being a teacher. Citing research, Fullan also describes what a "learning enriched school" looks like. It is not surprising that the terms collaboration and collegiality occur frequently in this chapter. The current status of teachers' professionalism is summarized in the end.


Fullan points out that school change processes must be met proactively and productively, and not with fear and apprehension. By examining the variables of vision, strategic planning, site-based management, strong leadership, accountability and assessment strategies, collegiality, and stakeholder involvement, Fullan takes a closer look at the change process. He suggests that those working with school change need to learn how to live with the change process rather than try to solve the problems associated with change. Additionally, the author points out that the ability of teachers to embrace and learn from change and their ability in assisting students in this process are important factors to consider in the development of future societies.

Other topics discussed in this book include the moral purpose associated with school change, the complexity of the change process in general, the school as a learning organization, the status of teacher education, and the individual and the learning society. Citing research from successful business and educational organizations, the author identifies and discusses eight basic lessons about why change is complex and how to better handle it:

Lesson 1: You can’t mandate what matters.
Lesson 2: Change is a journey, not a blueprint.
Lesson 3: Problems are our friends.
Lesson 4: Vision and strategic planning come later.
Lesson 5: Individualism and collectivism must have equal power.
Lesson 6: Neither centralization nor decentralization works.
Lesson 7: Connection with the wider environment is critical.
Lesson 8: Every person is an agent of change.

Fullan focuses on and extends several concepts established in the original Change Forces. Understanding that evolvement is intrinsic in any form of change, he advocates that although the eight original lessons on the complexity of change still hold, there are new lessons derived from years of deepening our understanding of change. The eight new complex change lessons are referenced and discussed throughout the book. These include:

Lesson 1: Moral purpose is complex and problematic.
Lesson 2: Theories of change and theories of education need each other.
Lesson 3: Conflict and diversity are our friends.
Lesson 4: Understand the meaning of operating on the edge of chaos.
Lesson 5: Emotional intelligence is anxiety provoking and anxiety containing.
Lesson 6: Collaborative cultures are anxiety provoking and anxiety containing.
Lesson 7: Attack incoherence: connectedness and knowledge creation are critical.
Lesson 8: There is no single solution: be a critical consumer.

In addition, the book covers insights on the importance of establishing and maintaining professional learning communities (or what the author refers to as “inside collaboration”) within schools in order to achieve overall school success. Accessing and using external knowledge (e.g., collaborating with businesses, universities, national labs, and consultants) is important to the success of schools’ creation of sustained knowledge. The author concludes by advocating that schools and educators need to create and nurture the fusion of intellectual, political, and spiritual forces to achieve worthwhile goals.


Based on the belief that comprehension of the change process is essential in order for successful reform to occur, the authors propose making use of basic change information to promote the evolvement of improvement. They argue that a problem with getting reform right is that schools try to apply new and different strategies to every new reform that comes their way. Reasons for the failure of reform and propositions for successful reform are delineated. Reasons for failure include lack of guidance for change, problems beyond the control of the school, quick-fix solutions, not understanding the human reaction to change, and lack of viable information regarding the change process as a whole. In addition, the authors discuss successful reform through the proposition of seven basic themes that should be thought about in relation to each other. Successful reform propositions include accepting that change is continuous learning, realizing that change is a journey and not a static blueprint, comprehending that problems are opportunities in disguise, knowing that the provision of adequate resources is necessary for successful change to occur, coming to terms with the fact that change requires ongoing management, understanding that change is systemic, and accepting that change begins with local implementation of innovations.
Correlates of Successful Implementation and School Change


In this qualitative study, an innovative capacity model is described as having two major components. These include schools’ competency and ability to implement innovations that are either initiated by an external entity or by the school itself, and the ability to bring together the differently initiated innovations to enhance student learning. Four components are studied to determine if a school has high or low innovative capacity: the context of the school, collaboration among the teachers, transformational school leadership, and functioning of the school as a learning organization. Each of these components is described. The study concludes that high innovation schools exhibit several positive attributes. Some of these include leaders with a vision and teachers who are supportive of that vision, increased collaboration implemented in multiple ways, encouragement of participation by teachers in decision making, and effective professional development.


Creating designs to promote improved student learning and academic achievement was the initial goal of the New American Schools (NAS). Lessons learned from this initiative include: 1) the NAS initiative is only one of various factors affecting school performance, therefore, the designs by themselves are not solely responsible for successful change in schools; included in this notion is the fact that “design-based assistance” and a “supportive operating environment” are essential to the success of a design; 2) the schools’ success is influenced by the school districts’ support and collaboration; and 3) other factors that influence academic performance of a school include leadership, teacher quality, support from the union and support from the community.


This text discusses the research-based model of adoption and implementation, the Concerns-Based Adoption Model (CBAM). The model introduces two sets of concepts and their related measures: one set for diagnosing the status of implementation, the other for prescribing interventions to move the implementation process forward. Two diagnostic dimensions are described: stages of concern about the innovation and levels of use of the innovation. The first dimension is concerned with the user’s thoughts and feelings. The other dimension is a description of the individuals’ behavior as they familiarize themselves with and skillfully use the innovation. A third diagnostic dimension, Innovation Configuration, focuses on the anticipated change.

Extensive coverage, based on longitudinal studies of change in schools, is given to the prescriptive or intervention side of the model. Attention is focused on the principal and other leaders of change, their roles, and the strategies and activities (interventions) in which they engage to bring about successful implementation. An intervention typology is described as well as an analysis process by which to help change leaders understand and design interventions. Case studies indicate how the model can be applied in schools.

One of the dimensions of the Concerns-Based Adoption Model (CBAM), levels of innovation use, is discussed in this article. The levels of use of the innovation are described in order to account for the individual variation in the use of an innovation. Eight discrete levels of use of an innovation that an individual may demonstrate are proposed. These include Level 0-non-use, Level 1-orientation, Level 2-preparation, Level 3-mechanical use, Level 4A-routine, Level 4B-refinement, Level 5-integration, and Level 6-renewal. The levels of use are examined and the research implications of this dimension are discussed.


Acknowledging that school change is a much more complex endeavor than the change literature implies, the editor of this book proposes that three areas—the passion, purpose, and politics of change—have not been dealt with sufficiently in the teaching, learning, and leadership literature. Therefore, the compilation of chapters included in this book address these three essential areas of educational change. The editor argues that the “emotional labor” of teaching has been disregarded in the change process to the detriment of student learning. Other chapters in the book include discussions about the relationship between the school and the community, discussions about the diverse populations within the school that must be served equitably, discussions about student voice and the importance of student input in change processes, discussions about time availability, educational purposes, assessment and accountability. There is a chapter devoted to the question of whether the typical recommendations for effective change addressed in the literature apply to schools that are seriously troubled and failing. The authors of this chapter contend that these “failing” schools may require much more drastic measures than the proposed mainstream methods of school change. Overall, the chapters in this book provide a much broader way to view educational change by addressing some of the more complex and difficult topics of educational change.


Going beyond the simpler, short-term strategies that have been unsuccessful in school reform, the authors talk about the more complex and ambitious three-dimensional reform strategy used to ensure successful change in schools. Using two innovative secondary schools as examples, the three dimensions of reform—depth, length, and breadth—are discussed in terms of how they can be adeptly put into action to ensure successful change. In contrast, the authors also discuss how the initial improvements at these two schools diminish due to the impact of varying factors. The failure to sustain the innovative characteristics of the schools is traced and explained via the following: leadership succession, staff recruitment and retention, size of both staff and student population, district and policy context, and community support.

A review of the literature dealing with change and school improvement efforts demonstrates that policy mandates alone do not ensure an increase in student success. Emphasized by the author is the fact that traditional approaches to change need to be reconsidered as to the role they play in school change. Some of these approaches may in fact be inhibiting successful school change. Part of a series of literature reviews on topics about school change, this monograph addresses the element of *facilitative leadership* and its relationship to effective implementation of school change. Although key in implementing change is the teacher, we are reminded that effective leadership is necessary for schools to experience successful change. The text is replete with examples of research studies that reinforce this idea. Identified in this text are six categories of actions that are used by effective leaders to facilitate change. These include developing a culture of readiness for change; promoting the vision; providing the necessary resources; ensuring the availability of professional development; maintaining checks on progress; and providing the ongoing assistance necessary for change to occur smoothly.


In this article the relationship between a model of staff development and a change model is explored. The Joyce and Showers model for staff development is described and research findings of its effectiveness are included. The five components of this model include the introduction and presentation of the skill and its theoretical background; the demonstration of the new strategy; the practice of the newly acquired skill in a simulated setting; the prompt checking of progress through feedback; and the maintenance of the skill through coaching and follow-up assistance. Research demonstrates that the fifth component—coaching—is the most critical for skills improvement, and it helps more participants transfer the new skill into practice.

Citing school improvement studies, the author also identifies categories of interventions in the change process. These five interventions include the development of a vision, the provision of resources and a supportive environment, training of skills, monitoring and evaluation, and the provision of continued assistance through monitoring. A study of the categories revealed that, among other things, implementation success was positively correlated to the number of interventions provided to the teachers. The models' components are discussed in terms that promote thinking about staff development as a change process. In conclusion, implications of the models are discussed in terms of successful strategies for a comprehensive approach to changing teachers' practices. These "Six Success Strategies" emphasize vision, resources, training, checking progress, ongoing assistance, and a change ready culture.

Two major questions are addressed in this article—“Who are the leaders?” and “What do leaders do?” Leaders can include principals, superintendents, other district level administrators, teachers, counselors, and teams comprised of all of the above including parents and community representatives. What is important is that these leaders facilitate successful change in schools. The article reviews those actions that leaders—no matter who they are—need to undertake in order to implement initiatives successfully. Research provides us with five actions that have proven to be effective in implementing change. These include articulating the vision and consequently having shared ownership of the vision; planning and providing resources; training; monitoring; and providing consultation and coaching. Each of these actions is briefly described and discussed using a district’s school improvement story on the implementation of these actions.


Written primarily for those who want to become effective “change facilitators”, this book provides descriptions and suggestions for use of the diagnostic tools that are elements of the Concerns-Based Adoption Model (CBAM). In the CBAM model, individuals, who are thinking about incorporating a change, work with a change facilitator. The facilitator makes use of the Stages of Concern, Levels of Use, and Innovation Configuration as diagnostic tools to determine the needs of individuals involved in change. The individuals will likely fall into one or more stages within the Stages of Concern dimension. These include an awareness of the change; an informational stage of wanting to know more about change; a personal stage reflecting on how change will affect the self; a management stage concerned with the availability of time for change; a consequence stage concerned with the effects that change will have on students; a collaboration stage deciding how change is related to others’ work; and a refocusing stage where one contemplates how to improve on the original idea. The Levels of Use of an innovation include non-use, orientation, preparation, mechanical use, routine, refinement, integration, and renewal. Lastly, the concept of Innovation Configurations is defined as something that “represents the patterns of innovation use that result when different teachers put innovations into operation in their classrooms.” All three components of the CBAM model are presented as diagnostic tools to help the change facilitator in making appropriate recommendations to schools that seek positive changes.

Based on their belief that essential to successful educational reform is the “degree to which educational decision makers understand and attend to the process of implementing the change they have chosen”, the authors of this article propose a conceptual framework of nine “risk factors” that must be considered when making changes. They contend that lack of attention to any one of these factors can lead to poor or nonexistent implementation of a change initiative. Brief examples of schools and/or districts from different states across the U. S. are used throughout the article to illustrate how either attention or inattention to these factors can affect school reform efforts. The nine factors include making a strong case for change, providing clarity of vision, having key leaders who will drive the organization toward its vision, assuring individual commitment from all involved, having change guides or change agents who will provide “hands-on” support, ensuring cultural alignment or the fit between a school’s values and the values inherent in the change, providing the necessary infrastructure support for the proposed change, providing awareness of the many external factors such as competing initiatives or mandates that can negatively affect the initiative, and lastly, making sure that an implementation plan with assessment components has been developed.


The authors of this chapter take a deeper look into their field study, which was a part of the much larger Dissemination Efforts Supporting School Improvement (DESSI) study. The DESSI project provided a comprehensive analysis of federal and state dissemination activities for supporting school improvement. Presented in this chapter are three main findings as they relate to a conflict paradigm or a rational paradigm. On the question of why innovations are implemented in the first place, the finding suggested that the innovation’s potential for solving local problems was a reason for adoption and implementation. Some of the reasons given for adoption by administrators and users include: improves classroom instruction, improves teacher capacity, gets better working conditions, and improves achievement scores. In assessing the nature and the degree of school improvement, five normative outcomes were derived: stabilization of use of the innovation; percentage of use; user capacity change; student impact; and institutionalization. Achieving more of these at higher levels was more conducive to successful school improvement efforts. The authors conclude with the suggestion that school improvement is a reachable goal and that we are just beginning to understand how to do it successfully.

The authors of this book present five case studies of programs used to build improved learning communities. Advocating that school renewal can be a positive experience, they provide information about better strategies for school renewal. Each of the five programs presented in the book focuses on unique components of school renewal. Technical and social aspects of school renewal are examined, and the participants' goal of building a learning community for the whole school remains a central theme throughout. The programs' designs, goals, similarities, and differences are discussed in the initial chapter. The subsequent chapters present a more detailed look at each of these programs. The programs include the use of staff development as a tool for school improvement, the effective use of governance structures, the use of an initiative to create a culture of readers and writers, the use of staff development to increase the capacity of inner city schools, and the use of action research as a tool for school improvement. The concluding chapter provides a brief review of the authors' views of the participants' experiences with the programs.


Through the use of literature findings and accounts of personal experiences, a broad look at the issue of school improvement is presented in this book. The authors ask fundamental questions regarding the purposes of organizational change, teacher and school effectiveness, and the purposes of schooling. In the end, they suggest that "the responsibility for improving the quality of schools resides in a combination of responsible parties—teachers, parents, administrators, and community representatives—acting together".

From a synthesis of literature reviews, personal experiences, and personal observations, their findings suggest that in order to establish the process of effective school improvement, five principles are necessary. These include building a network for collaborative local governance; establishing a climate of support; developing effective training mechanisms; creating a sound organizational structure; and making change familiar to everyone involved in the process. The authors then identify three stages that are important to establishing an effective strategy for school improvement and change. The stages—refining the school, renovating the school, and redesigning the school—are discussed in terms of tasks involved in making each of these stages come to fruition.


Written primarily for those concerned with the improvement of America's high schools, the authors provide information from five in-depth case studies of high schools that were going through a change process. The high schools were in five different cities across the U. S. with four located in the northeastern states and one in the west. Additional data are provided from a national survey of 178 principals who lead large city high schools and whose schools had undertaken a journey of improvement.
The participating schools represent varying degrees of improvement success. In addition to including schools that are “success stories”, schools that are “struggling and improving” and that had “limited success” are also included. Presented at the conclusion of each case study is a “reflective review” that explains the schools’ successful (or unsuccessful) improvement efforts. Leadership and management issues associated with improvement efforts are also addressed. The authors contend that changes in patterns of leadership and management at the school level will help create more effective schools. The acts of building a vision, obtaining and managing resources, and coping with the day to day change process are discussed as they relate to the leadership of the schools. Both old and new methods of organizing are discussed. While the old methods are chiefly entrenched in stability and continuity, the new models of school restructuring are vision-driven, accountability-based, team-focused, network-based, multi-specialized, and involve every stakeholder.


Findings from a national study of four federally funded programs that had as a common purpose the introduction and support of innovative reform initiatives are presented in this article. The study, conducted from 1973 through 1978, produced several findings that can be taken into reconsideration for today’s reform initiatives. The paper reviews the major findings of the Rand Change Agent study and addresses the following questions: 1) Which findings have endured and continue to be accurate descriptions of the local change process and the role of policy? 2) Which findings have not held up and should not be rethought? 3) What are the implications for research aimed at understanding the relationship between policy and practice? Findings indicated that the following strategies were generally effective: ongoing teacher-specific training; assistance from local staff versus reliance on outside consultants; teacher participation in project decisions; and principals’ participation in training.


The author focuses on the important role that a defined vision plays in any school improvement or school change process. In her definition, vision serves as a “signpost pointing the way for all who need to understand what the organization is and where it intends to go.” She lobbies for the involvement of teachers, students, and the community in collaborating on a vision statement. She explores the roles that administrators and teachers have in developing and sustaining the vision.

Mendez-Morse proposes four steps toward developing a vision statement for schools: a) know your organization—clarify the nature and purpose; b) involve critical individuals—especially those who are affected; c) explore the possibilities—consider possible futures; and d) put it in writing. Each step is discussed individually.

The author presents a historical view of ten major school change strategies. The change strategies are discussed individually with examples of projects and key variables involved in each of the strategies. The strategies, ranging from the early 1950’s to the early 1990’s, include 1) training in group dynamics; 2) innovation diffusion and adoption; 3) organizational self-renewal; 4) knowledge transfer; 5) creation of new schools; 6) supported implementation; 7) leading and managing local reform; 8) training of change agents; 9) managing systemic reform on a large scale; and 10) restructuring schools. He presents his view on understanding change in a reflective, personal manner, working on engaging the reader in active reflection and self-awareness on the topic of change.


The author of this article contends that the answers to the question on how to sustain change are (and have been) “blowing in the wind” via the abundant research on sustaining educational change. She states that all policymakers and school and district leaders have to do is look to the body of knowledge on sustaining change to keep from enacting futile and counterproductive policies. Lessons about managing change through developing a reform-support infrastructure, nurturing professional communities, reducing turnover, and using facilitators to build capacity are discussed in terms of how the literature supports these concepts as successful change strategies. Additionally, lessons about professional development—providing abundant staff development, balancing pressure with support, providing adult learning time, and reducing fragmentation and overload—are presented in view of the research literature available on the topic. The author concludes the article with a reminder that “we know enough to act” and “we cannot afford to ignore the research” because “as Bob Dylan sang so many years ago, the answers are blowing in the wind.”


Five years of school restructuring research by the Center on Organization and Restructuring of Schools are synthesized and reported. Schools are examined at many different stages of restructuring. The researchers also analyzed schools taking part in various district and state reform strategies. With a large sample that included all grade levels, the report combines the use of both qualitative and quantitative data through the use of in-depth case studies and survey data. Using a model of concentric circles, with student learning at the center, the authors advocate that the “circles of support” are key in setting the context for successful school restructuring. These circles of support include student learning, authentic pedagogy, school organizational capacity, and external support. Each of these components is discussed individually in relation to the overall research project.

The author presents a brief summary of the findings by the Rand Corporation on the first two years of the New American Schools comprehensive reform initiative. The study found that many factors affected whether the NAS designs were implemented. Some of the findings illustrate that higher levels of implementation of the initiative were evidenced when adopting a design was done with time and through a well-informed process; when leadership was stable and consistent; when design teams provided stable and consistent assistance; and when support, trust, and autonomy existed between the school and the district. The author concludes that learning from this study is essential in view of the fact that more money is being allocated for research-based, whole-school designs through the Obey-Porter Comprehensive School Reform Initiative.


The implementation of a school improvement effort in six middle-grades schools is reported in this paper. The research identifies six factors that are essential for successful school reform. These include a stable and safe school environment; the ongoing support from district staff for reform; the presence of teacher leaders within the school; the collaboration and support of the whole faculty; the acceptance and commitment by the faculty to participate in the change process; and a principal leader who facilitates the changes and encourages collegiality. A discussion is included on the problems encountered when attempts are made to actually implement the reform initiative.


Presented in a guidebook format, this report of a congressionally mandated study discusses the lessons learned from the implementation of school based reforms and provides successful examples of reform strategies. A United States Department of Education sponsored study, the Effective Schools Programs was conducted during the 1991-92 school year. Both qualitative and quantitative measures were used to obtain data. Five states were included in this study—California, Connecticut, Kentucky, South Dakota, and Washington. Schools with successful outcomes of school-based reform shared the following characteristics: vision and focus on goals to provide all students with higher learning expectations; a culture of readiness and acceptance of reform within the school; and continuing professional development support for teachers and administrators. The guide is divided into four sections that include an introduction, lessons learned, examples of schools engaged in reform, and recommendations to districts on how to facilitate/support reform within their schools.

Time for collaboration among teachers to pursue and sustain school improvement efforts is a very important feature of school improvement. The author suggests that this collaboration time is possibly more important than equipment, facilities, or traditional staff development. We are reminded that over the last decade, time has consistently been mentioned as a key issue in analysis of school change research. Through other cited research, the author reiterates that successful schools are distinguished from unsuccessful ones by the frequent and efficient use of collaborative time among teachers. After surveying fifteen schools, the author presents a synopsis of how these schools are making the necessary collaborative time available for their teachers. These examples also illustrate how the search for time can be conducted at different levels—school, district, and state. The author concludes with the belief that the responsibility for providing collaborative time rests with the school and the individual teachers.


This book provides an overall picture of the different components necessary for restructuring schools. The authors provide a definition of restructuring, the rationale for it, and a synthesis of the research on restructuring. In addition, they discuss how leadership, a supportive environment, and the maintenance of restructuring are all vitally important when schools are undergoing changes. Goal setting, decision making, problem solving, and the maintenance of organizational change are areas considered of primary importance in an organization's restructuring efforts. The authors concur that an implementation gap may develop when continuous "checks on progress" are lacking during the change process. These "checks on progress" are necessary in order to correct any inadequacies during the restructuring process.

All chapters conclude with sections titled "troubleshooting" and "implementation checklist" to provide the readers with strategies and constructive feedback as they work through the process of restructuring. In addition, the appendices include several tools to use in establishing an effective restructuring process.


An intensive fieldwork approach is used to present three case studies illustrating the impact that school culture has on program innovations. Three different innovations in three different high schools are discussed. In one high school, there was acceptance and a positive attitude towards the introduction of a new instructional model. In a second high school, a program intended to improve basic skills was met with frustration and anger from the teachers. In the third high school, experienced teachers viewed a new district innovation on improving writing instruction with disdain. Understanding school culture as "those set of shared expectations about what is and what ought to be", the authors proceed to provide explanations about why the responses to new programs varied from school to school.
Correlates of Successful Implementation and School Change


A Fifth Discipline resource, the book offers in-depth accounts of efforts to sustain learning initiatives undertaken by corporations and other organizations. The book is written for those persons or organizations whose goal is to put change innovations into practice by effecting change in deeply rooted systemic and attitudinal practices. Ten unique challenges are identified as those “sets of forces that oppose profound change.” These challenges are discussed in terms of three growth processes that sustain change. The challenges of initiating include not enough time, lack of support, irrelevance, and participation. The challenges of sustaining transformation include fear and anxiety, assessing, and supporters vs. non-supporters. The challenges of redesigning and rethinking include governance, diffusion, strategy and purpose. In addition to exploring the unique challenges in depth, the book discusses their general nature and the role they play in reinforcing or limiting the processes that sustain change. Strategic options are provided to assist leaders in dealing with these challenges.


The author of this article strongly proposes that in order for schools to successfully implement changes, they must be willing and ready to undertake the reform. He proposes three types of schools in relation to how ready they are for implementing change strategies. “Seeds” schools need only general support and are capable of developing and implementing their own reform model; “bricks” schools do not develop their own innovative models, but are capable of implementing an externally developed model; and “sand” schools are those schools that are incapable of either developing an internal model or implementing an externally developed model. A discussion of each type of school is presented in the article.

Discussions on mismatches between reform strategies and reform readiness, and on reforming “sand” schools and the policy implications of such activities are presented. In conclusion, the author proposes that schools be identified according to the typology he prescribes so that it informs the choice made for a school reform model.


Documentation of the first three years’ work of nine NAS development teams is presented in this book. The development teams’ charge was to create and implement whole-school restructuring designs. The nine designs are presented in two groups, each group ordered alphabetically. Chaps. 2-8 present the 7 NAS designs funded through three full phases—Audrey Cohen College; ATLAS; Co-NECT; Expeditionary Learning; Modern Red Schoolhouse; National Alliance for Restructuring Education; Roots and Wings. Chapters 9 and 10 present two designs there were funded in phases one and two but not phase three—Community Learning Centers and Los Angeles Learning Centers. In Chapter 11 the RAND evaluators present the designs in three broad types: Core Designs (Audrey Cohen
College, Co-NECT, Expeditionary Learning, Roots and Wings); Comprehensive Designs (ATLAS Schools, Modern Red Schoolhouse, Community Learning Centers, Los Angeles Learning Centers); and Systemic designs (National Alliance for Restructuring Education). A concluding chapter provides results from an implementation evaluation conducted by the RAND Corp.


Part of a two-volume series, this volume documents the success strategies of eight schoolwide programs. The schools include six elementary, one middle, and one 7-12 secondary school. Written to stimulate thinking and ideas and not to prescribe a particular program or approach, the volume demonstrates how educators and communities are successfully implementing comprehensive school reform programs. A summary of the features and practices in schoolwide programs is presented prior to the information on the individual case studies. These features—vision, leadership, decision-making, student performance results, research-based reform strategies, professional learning community, parent and community partnerships—are then used as guides to illustrate how each of the schools is implementing a successful comprehensive school reform program.


In this chapter the author strongly advocates that without a strong visionary leader, implementing a comprehensive school reform initiative may be very difficult. Critical to successful change is the focus on a shared sense of purpose. This shared sense of purpose or mission statement should be simple. Too many districts’ mission statements are too complex, thereby inhibiting the internalization of the statement. Making day-to-day progress toward the vision facilitates day-to-day operations and decision-making abilities. Open communication, hard work, and determination are needed for this day-to-day progress to occur. Leadership styles and strategies and assessing progress are discussed as they relate to the daily practice of implementing the visionary goals. The author concludes with an example of a successful integrated leadership story based in rural Nebraska.


One of the most widely adopted policy reform strategies—mandatory changes in high school graduation requirements—is discussed in this book. The authors provide a systematic, empirical look at this policy reform through the use of case studies. The case studies involve five high schools in Maryland. Variables examined include main elements of both the social and organizational structures of the schools. Quantitative and qualitative data are used to examine the effects of the new requirements in each of the high schools. The authors propose rethinking the basic purposes and functions of schools, thereby moving beyond simple definitions of restructuring.
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