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Bowling in Different Alleys: A Study of Neighborhood Organizations and Schools

This research study explored the nature of the relationship between neighborhood organizations and schools using social capital theory as the conceptual framework. The researcher chose a qualitative multiple case study design to examine three neighborhoods within the same city, their respective neighborhood organizations and the public schools within each neighborhood’s boundary.

The researcher found that the neighborhood organizations in this study help build social capital through the bonding ties they create with one another, and the bridging ties they form with other organizations and with local public schools. The positive impact of those ties for neighborhood social health, and for the maintenance and improvement of neighborhoods, can be found within each community. This finding adds to what has already been written related to neighborhood organizations and the concept of social capital.

The researcher also found that neighborhood organizations faced significant barriers in their attempts to use the bridging ties of social capital to connect with schools in the community. One of the most problematic of those barriers was the attitude of the schools’ personnel themselves to matters they believed to be outside of the school gate and therefore beyond their consideration. Nonetheless, the neighborhood organizations did find ways to interact with the schools and some positive impacts have been documented.

The concept of enlightened self-interest, rather than simple self-interest or community spiritedness, was found to be a motivator for neighborhood organization members. This finding adds to the existing literature on both social capital and neighborhood organizations, and is significant for future research on why and how social capital is built in communities.

Conclusions

The three major conclusions drawn from this study are explained in the following paragraphs.

Conclusion 1. Neighborhood organizations contribute to the social capital available in the community where they are found.

The three neighborhood organizations in this case study are veritable engines for building social capital. Each one has built strong bonding ties between the active members that have resulted in horizontal and vertical bridges being built that positively impact the respective communities and their schools. Since their creation in the 1980s the active members have been responsible for some tangible outcomes related to the bonding ties they have developed and the bridging ties they have built. They have made significant positive changes for the neighborhood in terms of neighborhood improvement and there has been a consequent increases in property values within the neighborhood. Neighborhood organization members have also ensured that each neighborhood is safer and healthier. The active members of each organization have volunteered thousands of hours over the past 20 years to ensure their neighborhood is a better place to live, and by doing so they epitomize the values of a civil society in which people and institutions collaborate to increase community health.

Conclusion 2. Neighborhood organizations operate out of enlightened self-interest.
At the beginning of this study the researcher borrowed Tocqueville’s concept of enlightened self interest to theorize that, rather than being either self interested special interest groups or community spirited neighbors; neighborhood organizations can be both self interested and community spirited at the same time (Figure 1). This concept potentially adds to social capital theory by offering an explanation for the motivation of community members, and unites the existing literature on neighborhood organizations.

In the case of the three neighborhood organizations in this study, enlightened self interest accurately describes neighborhood organization members’ commitment to community responsibility and the subsequent benefit that is derived for each individual. The researcher has revised Figure 1; see Figure 2.

Figure 2. Revised conceptual framework.
The researcher has placed the neighborhood organization, with its potential to build bonding and bridging ties, inside the box representing social capital to illustrate that the very existence of neighborhood organizations is part of the social capital of the neighborhood. This social capital is built based on the enlightened self-interest of residents, shown below the box. In the neighborhood organizations in this study the members’ enlightened self-interest is made up of both community spiritedness and self-interest. As such the concept unites the existing literature on neighborhood organizations.

Conclusion 3. Schools are narrowly focused on what they refer to as the school community, a term that excludes the community at large, and may be failing to take advantage of the human resources immediately around them.

This multiple case study was undertaken in order to explore the nature of the relationship between neighborhood organizations and schools. What has become increasingly clear is that the public schools in this study are difficult to relate to because they are inward looking and don’t behave as though they are part of the local community. The use of the term ‘school community’ has allowed school personnel to define community very narrowly and exclude the neighborhood outside the school.

The fact is that the four schools in this study are situated in residential neighborhoods where social capital has been built, and where the neighborhood organizations are functional, and appear quite willing to support the schools. The schools could tap the human, financial and professional resources on offer for their students’ use. As Coleman argued as long ago as 1988, because families and communities are much less often present in children’s lives today, social capital applied for the benefit of children and youth becomes even more important. Given the many complexities of 21st century schools and their communities, partnerships that encourage the village to help raise the children can only benefit both the neighborhood and the school.

Recommendations for Researchers

Future research, both quantitative and qualitative, should examine neighborhood organizations on a much larger scale. The findings in this case study related to the neighborhood organization’s capacity to enhance the social capital of neighborhoods and the impact of that social capital on the community, is worthy of further investigation. Research is also needed to examine the role of enlightened self-interest in the building of social capital. The duality of the concept, uniting community spirit and self interest, may help with theory building related to motivation. Further study is also recommended related to the relationship between neighborhood organizations and schools. It may be that there are examples of excellent and open partnerships between neighborhood organizations and schools in other communities that are helping to increase social capital within the neighborhood.

It is impossible to ignore the racial issues that thread through the three case studies. Whether it is in the bounded solidarity of the low income African American neighborhood carried over from the days of segregation, or the accusations of racism from the school to the neighborhood organization in the middle income neighborhood, or the fear of outsiders from foreign countries in the high income neighborhood; it appears that at least in these three neighborhoods, communities are still far from a place of trust and integration around race. Whether such issues extend to other neighborhoods throughout the country, and what that might
mean for the present and future of communities in the U.S. is outside of the scope of this study. However, future researchers could examine the role of race, unrelated to social class or economics, in neighborhoods of the 21st century.

The three neighborhood organizations highlighted in this study showed enormous variation in their organization, structure, documentation, and methods of outreach. It is unclear how much of that variation was related to the income level of the neighborhood, the leadership team or the preferences of the membership. Future researchers should document whether such variation is a hallmark of neighborhood organizations and what factors contribute to such variation.

Recommendations for Neighborhood Associations

Neighborhood organizations should consider collecting data related to the amount of volunteer hours they amass each year, the projects that they successfully complete, and the worth of those hours to the local community and to the city in which they operate. Such objective data would increase the standing and value of neighborhood organizations in the communities they serve and with future researchers.

Recommendations for Schools

Each of the schools in the case studies has a magnet program that attracts a number of students from outside of the neighborhood. Both school and neighborhood participants noted that the practice of creating magnet schools to address under-enrollment and diversity issues also deters the schools in question from being true neighborhood schools in that they serve students from across the county. Future educational research should examine the social impact of magnet programs related to the school’s integration with the surrounding community.

In these three case studies the public schools have appeared isolated and inward looking. Public schools may be missing opportunities to tap into the resources and support available in neighborhoods and to educate their students as to their future civic role in a civil society. This is an area for further study, both in terms of whether the majority of schools have become isolated from the neighborhood around them, and what impact such isolation has on the students and the community. The words of a member of the Greek Chorus commenting on my findings should be heeded by every educator:

Greek Chorus: The piece I find disheartening is the attitude of the schools that their boundaries stop at the school fence. What does that teach their students in terms of civic pride, sense of community and respect for their surroundings? I’m disappointed.
The Relationship of Parent Involvement on Student Achievement

This study investigated the relationship of the use of parent involvement strategies and school performance and how contextual factors affected this relationship. The study employed a non-experimental quantitative design with the school as the unit to frame its data collection and analysis. The Parent Involvement Inventory (PII) was field-tested with the Broward County Schools to check reliability and validity. Results revealed a .72 Cronbach alpha score for the instrument. The variables studied were (a) parental involvement strategies, (b) school performance, and (c) contextual factors. Six parent involvement categories were investigated and divided into sub-categories to answer the research questions. Seventy-eight K-12 schools in Palm Beach County, Florida formed the sample for the study with a response rate of 71 percent. Data were first collected on the parental involvement strategies used by the schools then related to school performance. The major data collection instrument – Parent Involvement Inventory (PII) was designed to correspond with the following purposes of the study: (a) To determine the difference in type and frequency of parent involvement strategies and (b) to develop a model based on these actions that can be used by principals to increase their school’s parent involvement. The data collected was analyzed using Statistical Package for Social Sciences (SPSS) version 11.0 through descriptive statistics, multiple regression, and correlations to determine if significant relationships existed. The analyses identified the parent involvement strategies that improve student achievement: (a) Communicating, (b) learning at home, (c) regular homework, (d) participation in PTA, and (e) information about community arts and school performance. In addition, the analyses identified contextual factors that increased the relationship of parent involvement and school performance, such as (a) students with disabilities; (b) multiple parent involvement staff moderated learning at home strategies; and (c) school level moderated parenting and decision making strategies. Conclusions, implications for practice, and future research are discussed.

Conclusions

This present study makes it feasible to draw a number of conclusions with regard to parent involvement and school achievement. This study incorporated empirical data and scholarly research to provide additional knowledge regarding parent involvement strategies that impact student achievement. Survey responses and comments from principals identify a positive influence of communication strategies and school performance, however, informal meetings, language interpreters, and formal meetings were found to be negatively correlated. Learning at home strategies and provision of regular homework positively influenced school performance, however, information about homework yielded a negative relationship. Both communication and learning at home strategies were not found to not be influenced by resource or demographic contextual factors. Demographic factors SWD, school level, and the resource contextual factor multiple parent involvement staff were found to be key to influencing school performance. Descriptive statistics reveal that schools utilize numerous daily activities including communicating strategies such as phone calls, interpreters, and a school website. Schools also offered volunteer programs and send work home daily. Decision making opportunities and collaborating with the community activities were provided at a minimum annually.

The four major conclusions were derived from the study are explained below.
Conclusion 1. Schools that use the following strategies improve student achievement at a greater level than those that do not use these strategies.
1. School-home communication
2. Learning at home strategies
3. Regular homework
4. Participation in PTA
5. Information on community arts activities

Conclusion 2. Schools with the following contextual characteristics increase the relationship of parent involvement and school performance.
1. Students with disabilities (SWD) moderate parenting, volunteering, decision making, and school performance.
2. School level moderates parenting and decision making and school performance.
3. Multiple parent involvement staff moderates learning at home and school performance.

Conclusion 3. Eight parent involvement strategies were found not affect school performance.
1. Parenting
2. Language interpreters
3. Informal meetings
4. Formal meetings
5. Information about homework
6. Volunteering
7. Decision making
8. Collaborating with the community

Conclusion 4. Seven contextual factors did not moderate parent involvement and school performance.
Resource contextual factors:
1. Services
2. Funding
3. Principals’ tenure
4. Principals’ training
Demographic contextual factors:
1. SES
2. Ethnicity
3. LEP

Conclusion 1 – Communication
Review of the data shows that overall communication strategies impact student achievement. There were numerous intercorrelations among the strategies. Of the six parent involvement strategies, communication is the most frequently used strategy. Evidence of daily and weekly contact was indicated. Communication including written and oral methods occurred either weekly or daily. Parent conferences, home work, and phone calls were frequently utilized
as a means to inform parents. Principal comments regarding communication indicated that numerous one-way strategies were incorporated including Edline (home work hot line), e-mail, newsletters, and flyers as a means to transmit information.

Learning at home. Learning at home strategy is one of the parent involvement strategies that were found to have a direct impact on students’ achievement. However, to be effective it must be well designed, and successfully implemented. Several researchers agree on the validity of the link between homework and school performance. Homework is deemed as one of the most important practices for obtaining successful academic environment in high school. In exploring the correlation of the learning at home strategy and school performance, it was confirmed that homework-focused parents do affect student performance. Clark (1993) specifies that the parents of high achievers were more involved in home learning activities, their children spent more time on homework, and they used the dictionary more often. Fehrman, Keith, and Reimers (1987) found that parent involvement did have a direct effect on high school grades. Interestingly, the theorists concluded that parents of high school students help their children by not monitoring their homework and time spent watching TV but in an indirect way. The parents monitor their child’s daily activities so they could complete their homework, keeping track of how they are doing in school and by working with post-high school pursuits.

Participation in PTA. Parental involvement in school governance, PTA, was found to influence school performance. This is an avenue where parent can exercise choices in selection, design, and quality of course work, programs, textbooks, and activities. As one of the many decision making avenues, PTA must be well designed and adequately implemented for families to feel connected to the school.

Information on community arts activities. Involvement in the community can reinforce school and family goals for learning and success in school and in life. Child and parent functioning are strengthened when families can access resources and supports in their neighborhood and when families feel a strong sense of community (Halpern, 1999). The spheres of influence of the home, school, and community “overlap” and jointly send the message regarding the importance of learning (Epstein, 2001). Students and families should be apprised of the community resources that connect learning skills including museums, zoos, libraries and other educational, cultural, and arts programs.

Tutwiler (2005) speaks to the overlap of community, family, and school. The researcher proposes that teachers should access resources in the community where the schools are located. Many community organizations may partner with schools and have resources that augment many of the school’s learning goals and programs. Some organizations may not partner with schools but may provide experiences that reinforce the education and development of children. Communities with opportunities for involvement include athletics or arts including dance, band, choir, drama, or orchestra that may either supplement or take the place of school extracurricular activities that are identified as having a positive influence on student achievement.
Conclusion 2 – Students with Disabilities

This present study found that the contextual factors SWD influenced three of the six parent involvement strategies, parenting, volunteering, decision making, and school performance. These results are realistic and supported in the research. Historically, the involvement of parents of disabled children has been active (Lynch & Stein, 1982; Turnbull, 1983). The children’s age and competence affect the nature and type of involvement of parents. Data confirms the idea that parent’s support for assisting their children at school decreases as involvement declines (Hoover-Dempsey & Sandler, 1997). However, Sontag and Schacht (1994) found that there are multiple ways that parents with disabilities choose to be involved in their children’s education. Three-fourths of the parents were involved in decision making process. One-half of the parents volunteered for a variety of school services, coordinated services, and addressed the behavior problems of their children.

Special education provides many opportunities for parents to be involved at the school, including participation in evaluations and at annual IEP meetings (Taylor, 2004). Salisbury and Evans (1988) conducted a study and discovered that mothers of children with disabilities, regardless of the severity of the disability, were offered more opportunities to be involved in school, were more satisfied with their involvement, and felt more able to influence their child’s education than mothers of children without disabilities.

School level. School level was another contextual factor indicated by this study as positively influencing 2 of the 6 parent involvement strategies (parenting and decision making) and school performance. Although research indicates a decline in parent involvement after transitions from each level of school, some studies support the notion that the types of practices of partnership changes as the student moves to the upper grades. Middle school parents wish to be involved but with different information and interaction (Epstein, 2001).

Information regarding transition to the high school level is limited. One study by Epstein and Connor (1994) surveyed students, parents, and teachers of six high schools about ideas of parent partnerships. The surveys mirrored the theory of overlapping spheres of influence and the six parent involvement types with questions that helped schools chart current practices and plan a partnership. Results revealed that the high schools continued to include practices that involved families and students in goal setting, bolstering student morale, increasing attendance, and creating a connection with the community.

Epstein (2001) cites data from the National Educational Longitudinal Study of 1988 (NELS: 88) conducted by the National Center of Educational Statistics (NCES) offers data from 8th, 10th, and 12th grade students, teachers, parents, and students from post-secondary settings. Results confirmed middle school problems. Across most of the reporters, the surveys agree that families are poorly informed and weakly involve in their children’s schooling in the middle grades. Most middle school in the nation give little information to families and most families provide their children with little assistance with school requirements. However, data revealed that when parents continue their involvement over time (middle to high school), students report better grades, behaviors, report card grades, and attendance.
Usage of multiple staff. Usage of multiple staff was found to impact school performance. Title 1 coordinators, teachers, administrators, support staff, and community members contribute to parent involvement at a school. Epstein (2001) alleges that to affect school performance, all environments simultaneously overlap and share responsibilities. It is the school staff, teachers, administrators, counselors, teacher assistants, and parent coordinators that provide guidance, activities, opportunities, and a supportive welcoming environment to parents to increase and foster a positive school outcome.

Conclusion 3 – Parent Involvement Strategies

Parenting activities assist the families meet their child’s basic needs of providing for health, safety, nutrition, clothing discipline, and develop independence. Activities that schools provide may be parent education, family support workshops, and parent-to-parent connections. Several challenges that schools face are that many parents are unable to attend school workshops and do not receive the information presented. It is imperative that the schools form some type of communication so the parents will receive the information.

Another challenge for schools is that school personnel need information from families about their children, and about their culture, family background, and goals for the children. Schools do not gather the information nor do families provide it. Parenting activities includes information sharing. Families do not feel appreciated by the school when schools do not appear to understand the families. Partnerships can not be maintained unless the school and family share information about the needs of the family.

Interestingly, findings in this study reveal that although schools communicate with parents, attempts did not always prove positive. Although well intentioned, some forms of communication were found to contraindicate the purpose of a cooperative relationship. Three communicating strategies including formal meetings, language interpreter, and informal meetings were negatively correlated with school performance. All three were considered two-way communication strategies. Research studies reveal several implications to frequent parent contact. Lee (1994) offers that numerous studies describe negative correlations between parent and teacher contacts as these contacts pertain to behavior problems and poor academic achievement which is negatively correlated with student achievement.

Epstein and Jacobson (1994) also claim that frequent parent contact about bad behavior is associated with parent’s low rating of the school and student’s dislike of the school which may lead to poor attendance and negative attitudes towards school.

School’s use of a language interpreter is a means to bridge limited English speaking parents and the school (Decker & Decker, 2003). However, as research supports the value of an interpreter, findings from this study show a negative correlation with school performance. The interpreter’s role is to translate written information provided by the teacher or interpret what the teacher is saying. It is not their role to change the information. If the teacher contacts the parents to discuss an academic or behavioral problem is the role of the interpreter to relay the teacher’s message.

Information about homework. The provision of information about home work processes was found to be negatively correlated with student achievement. This could be attributed to parents obtaining knowledge about a course but most parents do not want to teach the school subjects nor do they not know how to approach school subjects. The role of the parents is to help
but the students must be the one to study, finish homework, and learn the subject matter. This may be due to the lack of parent training regarding homework, problems with the design, assignment, completion, and follow-up of the homework assignment. Along with the school’s responsibilities, parents are also responsible for learning at home. Scot-Jones (1995) reports that there are four levels of involvement of parents and children in homework: valuing, monitoring, assisting, and doing. It takes collaboration between school and parents for homework to serve as an effective means to increase student achievement. Most schools claimed that weekly or daily homework was given.

Volunteering. Volunteering is found to be one of the parent involvement strategies that include the fewest number of parents. The National Educational Longitudinal Study of 1988 (NELS: 88) found that less that 10 percent of middle school parents volunteered in their schools. Students reported that although 63 percent of the families attended one school event, over one-third claimed that their family did not come to school for any activity during the year.

Decision making. Volunteering and decision making activities are highly correlated. Parents that volunteer are most likely to participate in decision making activities. Again, as in volunteering, few parents participate in decision making activities. Only 8 percent of the high school parents wanted to serve on committees (Epstein, 2001). Only a few voices is heard. Decision making participants do not solicit the opinions of those that do not attend and do not share the information with other parents.

Collaborating with the community. Community contact brings many resources to the school. Connections with agencies, civic, religious, colleges, and cultural organizations should benefit the school and family. However, schools rarely utilize the community resources. Schools remain isolated from the surrounding neighborhood. One of the concerns that should be addressed is when contact with the community occurs, the support should benefit the students. The goal for community partnerships is to promote student learning.

Conclusion 4 – Resource Contextual Factors

Services and funding. Schools that provide services such as child care, refreshments, and transportation to show that schools value the parent and encourage a warm home-school partnership. Most schools provide these resources to overcome the barriers to parent attendance and participation (White-Clark & Decker, 1996).

At the federal level, several programs address the importance of school-home connections. Title 1, Head Start and IDEA recognize that families are important in education. However, state laws, guidelines and funds for parent educational programs are almost non-existent and are merely a symbolic gesture. Other sources of funding that may include a parent involvement component are minimal but schools use PTO funds, access community resources and also host fundraisers.

Principals’ tenure and training. Although, the principal has been described as the gatekeeper, it is the teacher that the first opportunity for parent contacts. The principal, although interested and concerned with parent involvement, they have numerous responsibilities and can
not take much time to develop strong parent involvement programs. It is the principal support for teacher’s endeavors that will increase home-school interactions.

Demographic Contextual Factors

SES. Eagle (1989) supports the premise that SES does not influence student achievement. In a study from the 1980 High School and Beyond, the relationship between high school and student achievement of 11,227 yielded several conclusions. The researcher found that “parents from any social class can contribute to their children’s postsecondary educational attainment by monitoring educational progress during high school.” (p.12).

Ethnicity. Clark (1993) addressed the issue of ethnicity and student achievement. In a study of high and low achieving third graders from predominately minority families, the researcher found that regardless of the relationship between achievement and family resources, high achievers came from a variety of backgrounds. To be academically successful, students needed their parents to expose them to an array of additional support behaviors. “(pg. 103).

LEP. Although LEP did not influence school performance and parent involvement schools must provide special accommodations to parents. Most schools expect little from these parents and expect the parents to become a part of the current school culture. Simich- Dudgeon (1993) contends that LEP parents can assist with their child’s work if they are provided some parent education classes and assistance. Instead of allowing LEP parents feel that they could not help their child a program was developed that taught the parents through in home tutoring. Results showed that the students made gains in test scores, increased language proficiency and parent-school contacts had increased.

Limitations

The following limitation existed because it could not be controlled: the grading requirements utilized by the Department of Education were changed yearly; therefore, there might be inconsistency in the criteria for each specific grade and points obtained by the schools. The target for 2003 is 31 percent for reading, 38 percent of the students at or above grade level in math; and in 2004 the criteria is raised to 48 percent and 53 percent respectively.
The Relationship of Transformational Leadership
and Reading Achievement in Florida Charter Schools
The Summary of Major Findings

1. Transformational leadership behaviors did not have a direct relationship to reading achievement gains in charter schools in Broward County, Florida.

2. Socioeconomic status did not moderate the relationship of transformational leadership to reading achievement gains in charter schools in Broward County, Florida.

3. School size did not moderate the relationship of transformational leadership to reading achievement gains in charter schools in Broward County, Florida.

4. School configuration did not moderate the relationship of transformational leadership to reading achievement gains in charter schools in Broward County, Florida.

5. Leaders in more effective schools did not use transformational leadership significantly differently than leaders in less effective schools.

**Finding Number 1.** Transformational leadership behaviors do not have a direct relationship to reading achievement gains in charter schools in Broward County, Florida. Even though the overall level of transformational leadership was in the moderately high range (M=4.96), in each of the eight correlations of transformational leadership behaviors and the transformational leadership total with learning gains, none of the relationships were significant. This finding is consistent with earlier research. Hallinger and Heck (1996) determined that principals have the greatest effect on in-school processes rather than directly on student achievement. Andrews and Soder (1987) found that the principal plays a crucial role in the academic performance of students, particularly low-achievers. Using a questionnaire designed to measure 18 strategic interactions between principals and teachers in terms of the principal as resource provider, instructional resource, communicator, and visible presence, the researchers found normal equivalent gain scores of students were significant in strong leader schools (Andrews & Soder). Effective school principals influence student outcomes indirectly by influencing internal school processes (Davis, 1998, p. 43). The manner in which elementary and secondary principals govern the school, build strong school climate, organize and monitor the school’s instructional program are important predictors of academic achievement (Heck, 1992). Ogawa and Hart (1985) found that principals exerted a small but consistent effect on instructional performance as measured by standardized test scores. Leithwood and others (Leithwood, Cousins & Gerin-Lajoie, 1993; Leithwood, Dart, Jantzi, & Steinbach, 1993; Leithwood, Haskell, & Jantzi, 1997) found weak direct and significant indirect effects of transformational school leadership on student participation and student’s identification with school. Hallinger, Bickman, & Davis (1996) support the findings that there are no direct effects of principal instructional leadership behaviors on student reading achievement. In their study of 87 elementary schools, they found that principal leadership behavior had indirect effects on
achievement through both personal variables (gender, teaching experience) and contextual variables (SES, parent involvement).

Witziers, Bosker, and Kruger (2003), in their review of the impact of the principal’s leadership on student achievement, also confirm the earlier research on the limitations of direct effects approach to linking student achievement to leadership. Through a meta-analysis of 37 studies of educational leadership, these researchers determined that the direct effects model is inconclusive. While some studies found small effect sizes in primary schools, there is no evidence that there are direct effects in secondary schools. Further, the sample sizes of schools tend to be too small to detect significant effects (Witziers, Bosker, & Kruger).

Finding Number 2. The contextual factor socioeconomic status does not moderate the relationship of transformational leadership to reading achievement gains in charter schools in Broward County, Florida. None of the relationships of transformational leadership behaviors and learning gains in reading were moderated by SES. This finding is inconsistent with the literature on SES and student achievement.

Sirin (2005) conducted a meta-analysis using literature on socioeconomic status (SES) and academic achievement in journal articles published between 1990 and 2000. The sample included 101,157 students, 6,871 schools, and 128 school districts gathered from 74 independent samples. The results showed a medium to strong SES-achievement relationship. Sirin also replicated the White (1982) meta-analysis to determine if the relationship had changed since the first publication. The results revealed a slight decrease in the average correlation, but SES remains as one of the strongest correlates of academic performance.

While the studies cited reflect the direct relationship of SES and achievement, in this study, SES was examined as a moderator of the relationship between transformational leadership and reading achievement in the charter schools in Broward County, Florida. No studies were found to support SES as a moderator of the relationship between transformational leadership and achievement.

Finding Number 3. The contextual factor school size does not moderate the relationship of transformational leadership to reading achievement gains in charter schools in Broward County, Florida. None of the relationships of transformational leadership behaviors and learning gains in reading were moderated by size. This finding adds to the conflicting literature regarding school size and achievement. Raywind (1996) and Cotton (1996) both conducted studies that found the small school superior to large ones. Cotton found that the effect of small schools was indirect and mediated through other features of the school such as the quality of the social environment and student’s sense of attachment to the school. Harrison (2003) in his study of schools in New Jersey found that small schools had significantly higher test scores than large ones, especially in the lower grades. McMillan (2004), in his review of the school size literature, states that the majority of studies at the elementary level point toward an inverse relationship between size and achievement – as the size of the school increases, the level of achievement decreases. Fowler (1995) also in a review of literature supports the conclusion that smaller elementary schools are associated with higher achievement. In high school size studies, there are some differing results. Lee and Smith (1997) concluded that high school students actually achieved at a higher level in moderately sized schools – specifically schools between 600 and 900 students. Howley and Howley (2004), in a study based on national student-level data,
concluded that smaller school size places an advantage on all but the highest SES students, that the relationship is predominantly linear, and that the effects of size are as robust in rural and urban schools. Howley and Howley further assert that “even in complex relationship with the most potent influences on student achievement, both school size and the interaction of school size and student SES retain a significant influence on student achievement” (Howley & Howley, p. 26). This researcher matches definitions of the number of students that constitute a small school to that of Cotton (1996), Raywind (1996), and Howley and Howley. Each of these studies also finds an interaction between SES and size that effects achievement. This interaction is also analyzed by the Rural School and Community Trust (Howley & Bickel, 1999). Their research contends that schools in less affluent communities demonstrated higher achievement if they were smaller. Schools in more affluent communities found the opposite effect. In general, these studies have large nationally representative samples of students and schools.

While the literature seems consistent for elementary schools, the high school picture is less clear. Lindsey (1984), in his analysis of over 14,000 high school students found no relationship between school size and achievement. Jewell (1989) examined the relationship of American College Test (ACT) scores or Scholastic Achievement Test (SAT) across all 50 states. After controlling for poverty, he found no significant relationship. Baird (1969) analyzed data from over 21,000 high school students who took the ACT and found that students from small school had lower scores.

In a study conducted by the Florida Department of Education (1997) found conflicting results regarding the school size variable. Scores from almost 1,500 students’ elementary, middle, and high school grades were included. Researchers found a significant relationship between fourth-grade reading and eighth-grade mathematics performance; however, when expenditures were controlled in the analysis, school size was not a predictor of student performance.

Stevenson (2006), in a review of eight South Carolina statewide studies, found that there are so many variations in other factors affecting quality and quantity that findings in one arena may not be applied to others. Coladarci (2006) states in his recent work: “As an influence on student achievement, school size clearly is a proxy rather than a causal force in and of itself.” Other researchers (Fine, 1988; Vishner, Teitelbaum, & Emanuel, 1999; Wasley et.al., 2000) postulate that while size does matter, school size is not enough alone, but rather acts as a facilitating factor for other desirable practices.

**Finding Number 4.** The contextual factor school configuration does not moderate the relationship of transformational leadership to reading achievement gains in charter schools in Broward County, Florida. None of the relationships of transformational leadership behaviors and learning gains in reading were moderated by the configuration of the school. This finding is consistent with much of the current literature. Few studies have been undertaken to determine an ideal configuration of schools. Results of the studies should be interpreted with caution as they are very few in number, cannot necessarily be generalized across schools, and do not control for all possible variables (Klump, 2006). Of the studies done (Becker, 1997; Franklin & Glasock, 1998; Wihry, Coladarci, & Meadow, 1992), researchers found generally higher achievements effects of schools configured in an elementary wide configuration than middle-level grades. However, these studies were predominantly in rural schools and with middle school aged children. Moore (1984), in a study of 18 New York schools, found higher reading
achievement for seventh- and eighth-grade students in K-8 schools than those schools having a 6-8 configuration. Offenberg (2001) studied schools in Philadelphia where he found that students attending K-8 schools had higher reading, mathematics, and science achievement than students in similar middle schools. Ellis, Gaudet, & Hoover (2005) analyzed the Massachusetts Comprehensive Assessment System (MCAS) achievement of urban elementary and middle school students with special needs. These researchers attempted to isolate grade configuration as a school-level variable and also account for other factors such as English proficiency, poverty status, and special needs status. For students who did not meet any of the targeted characteristics, the impact of the K-8 configuration was negative on all exams, although none but Grade 4 MLA and Math findings were statistically significant. The Massachusetts study did find significant positive effects for special needs students in the K-8 configuration. McMillan (2004) in this study, a combined school was one that incorporated any combination above and below the sixth grade. Only one school comprising 16 percent of respondents came from a school that meets the criteria of a K-8 school.

Finding Number 5. Leaders in more effective schools do not use transformational leadership significantly differently than leaders in less effective schools. None of the relationships of transformational leadership behaviors and learning gains in reading were different in more effective and less effective charter schools. This finding is consistent with the literature on principal effectiveness when related to reading achievement. As seen in Finding Number 1, the literature shows only small direct effects if any on student achievement. The small differences in the transformational leadership means of the effective and less effective schools in the study did not produce any significant differences in the relationship of transformational leadership and reading learning gains. Therefore, no differences were found in the use of the behaviors between the groups.

Conclusions

The four major conclusions drawn from this study are explained in the following paragraphs.

1. Transformational leadership does not explain variability in reading learning gains in charter schools in Broward County, Florida. These findings may also indicate a more complex relationship between transformational leadership, learning gains and other factors not included in the study.

2. The charter schools in Broward County, Florida have a moderately high but not statistically significant level of transformational leadership as measured on The Nature of School Leadership scale (Leithwood & Jantzi, 1995).

3. None of the contextual variables, SES, size, or configuration, moderated the relationship of transformational leadership and reading achievement in charter schools in Broward County, Florida.

4. School leaders in more effective and less effective charter schools in Broward County, Florida use transformational leadership in similar ways.

Conclusion 1. Transformational leadership does not explain variability in reading learning gains in charter schools in Broward County, Florida. The absence of a significant direct relationship of transformational leadership and reading learning gains is the major conclusion of this study. Researchers sought for many years to find direct relationships between school
leadership and student achievement. Hallinger and Heck (1996), and Davis, (1998) found through their work that principals exert indirect effects on achievement through developing internal school processes. These processes align with the transformational leadership behaviors identified by Leithwood, Jantzi & Steinbach (1999). Heck (1992) identified building a strong school climate, organizing and monitoring the school’s instructional program as significant predictors of achievement. These elements can also be categorized as in school processes. Leithwood, Louis, Andersen & Wahlstrom (2004) and Witziers, Bosker, and Kruger (2003), found that leadership in schools does effect student achievement but in indirect ways. Although transformational principals can enhance student engagement in learning, studies have not shown any direct effects on student achievement (Marks & Printy, 2003).

Conclusion 2. The charter schools in Broward County, Florida have a moderately high level of transformational leadership as measured on The Nature of School Leadership scale (Leithwood & Jantzi, 1995). The level of transformational leadership should be viewed with caution because there is no available comparison with other samples of participants. This questionnaire asked teachers to complete the survey rather than a principal’s self-rating. Ebmeir (1991) and Heck, Larsen, and Marcoulides (1990) assert that teachers provide the most valid information regarding school leadership because they are the closest to the day-to-day operations of the school and behavior of school leaders. Heck, Larsen, and Marcoulides found in their study of instructional leadership that school leaders in elementary and secondary schools use a similar set of leadership behaviors to influence student achievement. The level of transformational leadership in the context of the charter schools in Broward County, Florida presented here is in its broadest form by including schools with a variety of configurations and contextual factors. Marks and Printy (2003) in their study of 24 nationally restructuring schools found that these schools were ‘promising sites’ for transformational leadership. Charter schools also were found as ‘promising sites’ for transformational leadership.

Conclusion 3. None of the contextual variables, SES, size, or configuration, moderated the relationship of transformational leadership and reading achievement in charter schools in Broward County, Florida. Research in each of the contextual variables used in this study indicates that the factors of SES, configuration, and size are interrelated. Cotton (1996), Howley and Howley (2004), and Raywind (1996), found an interaction between SES and size that effects achievement. Howley and Bickel (1999) also found that the level of affluence in a community affected the achievement of students. Those students with a higher level poverty performed better in smaller schools (Fine, 1988; Vishner, Teitelbaum & Èmanuel, 1999; Wasley et al., 2000) postulate that while size does matter, school size is not enough alone, but rather acts as a facilitating factor for other desirable practices. Lamdin (1995) in a study of Baltimore schools confirmed that the SES had a significant association with size and academic achievement. Caldas (1993) found in a study of Louisiana public schools that a combination of class size, student daily attendance, and school size together accounted for only three percent of the variation in student performance. In a Florida Department of Education study (1997), school size was not found to be a predictor of school performance when school expenditures were controlled. Howley and Howley (2004) state, “even in complex relationship with the most potent influences on student achievement, both school size and the interaction of school size and student SES retain a significant influence on student achievement.”
The limited results of previous research in school configuration found similar results. School configuration alone (Ellis, Gaudet, & Hoover 2005) was found to have negative effects in one Massachusetts study. Other studies completed using configuration as a variable were focused only on middle school and K-8 configurations (Becker, 1997; Franklin & Glasock, 1998, Moore 1984, Offenberg 2001; Wihry, Coladarci, & Meadow, 1992).

**Conclusion 4.** School leaders in more effective and less effective charter schools in Broward County, Florida use transformational leadership in similar ways. Charter schools are a relatively new innovation in schools and as such require transformational leaders. The less effective charter schools (M= 4.75) and the more effective charter schools (M=4.82) both scored in the moderately high levels of transformational leadership. These scores indicate that regardless of the reading learning gains achievement, the school leaders used the transformational leadership behaviors at similar levels. Marks and Printy (2003) in their study of restructuring schools, found that transformational leadership is necessary but insufficient condition for instructional leadership and impact on school achievement. This study supports their finding. Although the levels of transformational leadership were moderately high in more effective and less effective schools, the presence of transformational leadership alone is not sufficient to impact learning gains achievement in charter schools.

**Limitations**

1. All responses were from schools that agreed to respond to the survey. This may cause the results to be skewed, as those schools that did not respond may not have responded because the school leaders were reticent to participate. School leaders that demonstrate high levels of transformational leadership may be more inclined to participate in research that may give insight to the leadership in the school.

2. Only schools within Broward County were surveyed. Schools within Florida and Broward County have mandates that are not necessarily the same nationwide. The establishment of charter schools is in place nationally with the majority of states having charter legislation. Laws governing charter schools vary from state to state therefore results may not be generalized to the greater charter school population.

3. Transformational leadership and school context may not be the only factors that influence charter school learning gains in reading. Such issues as teacher effectiveness, external pressures from the chartering agency, and length of school existence could be factors that influence learning gains.

4. In this study, the relatively small population could have affected the outcome. As mentioned previously, the studies mentioned used large nationally represented samples. The nature of the population of this study may not coincide with the other studies. The interaction of other factors may also influence the results.

5. The use of the ‘Nature of School Leadership’ questionnaire measured only the transformational dimensions of the school leadership in Broward County, Florida charter schools. Transactional dimensions were not included in the study.

**Summary – What Can We See?**
Charter schools have made their presence felt all across America, and in Broward County, Florida. The clamor for school reform, improved schools, and higher test scores gave fertile ground to the charter school movement. Regardless of political positions of liberal or conservative politicians, teachers unions, school boards, or superintendents, these schools and their leaders have staked a claim to a place within the public educational system. Though charters are sometimes seen as a hybrid of public and private schools, the fact that they serve millions of students nation wide and over 15,000 in Broward County gives them clout. School systems cannot ignore the elephant on the table and hope the charter concept will just go away.

There is, however, a moral imperative that requires a rigorous and timely evaluation of these schools on many levels. This evaluation is necessary so that students and families can make informed decisions when selecting to send a child to a charter school. It is also necessary to determine if public monies are spent in an informed way to ‘promote the general welfare’ of our country. While some may suggest that all public schools should be converted to charter schools, there is little evidence that this drastic measure is warranted.

The study of school leadership is also of utmost importance to the success of all schools – public, private, and charter. The question in the literature of school leadership is not ‘do leaders matter?’ The question is what do leaders do directly or indirectly in different contexts, including charter schools, that effects the achievement of students? The renewed focus on education and its leaders fostered by the charter school movement is both blessing and curse. A blessing in that the renewed focus on education stimulated interest and a curse because the criticism, both founded and unfounded, hurts.

Jim Collins, in his best selling book, Good to Great, identified four stages to achieve and sustain greatness. One of these stages is to confront the brutal facts and find the ‘hedgehog’ concept – what is that one thing the organization does well. The system of free and appropriate education in the United States is good. Educators and researches must together face the brutal facts about deficiencies in schools and school leadership. In tandem, they must also determine what schools and leaders do well. Once known, leaders must build on the found strengths to provide for educational future of our youth.

Charter schools provide a new context for the study of schools and their leaders. This study is a small attempt to add to the growing knowledge base of charters, their leaders, and the effect leaders can have on student achievement. This researcher hopes that others will take up the gauntlet and further the study.
The Use of Strategic Leadership Actions by Deans in Malaysian and American Public Universities

Malmuz Z. Yasin - 2006

The purpose of this descriptive non-experimental study was to determine if significant relationships exist between the leaders’ use of strategic leadership actions and their success as perceived by their followers, and mediated by environmental contexts, and demographics. The participants in this study were 124 university professors and 22 Deans from Florida Atlantic University, Universiti Putra Malaysia, and Universiti Teknologi Malaysia. The participants were chosen via a random stratified sampling. They were asked to respond to 77 questions on the Strategic Leadership Questionnaire ((SLQ), which was developed based on Pisapia’s theory of Strategic leadership. The data collected was analyzed through multiple regression and correlation techniques to ascertain the hypothesized relationships. The criterion variable involved in this study was leader success as interpreted by the professors. The predictor variables were the adaptive actions employed by the Deans as interpreted by the professors. Environmental context and demographic variables serve as control variables.

The results of the study revealed that the SLQ was reliable, even though the construct validity of the SLQ was not supported. The instrument is strongly recommended for use in measuring Pisapia’s theory of strategic leadership. The study also found that successful leaders use a wider array of leadership strategies than less successful leaders. There was also a significant difference between the array of action sets used by successful Deans in Malaysian and American Universities and the array of action sets used by less successful Deans in Malaysian and American Universities. Therefore, these findings are supportive of Pisapia’s proposition that leaders often fail because they are trained in and rely upon a linearity of thinking mindset, which does not work in situations characterized by ambiguity and complexity that requires them to be flexible and change oriented.

Conclusion and Recommendations

Two conclusions can be drawn from this study which add to the leadership literature and support the practical application of strategic leadership by leaders in most organizations.

Conclusion 1. The statistical results confirmed that the SLQ is a reliable and content valid instrument for measuring the leaders’ use of Pisapia’s strategic leadership actions sets. The reliability scores of the subscales were high. The only problem is with the high inter-correlations between the subscales. Thus, the researcher was not able to establish the construct validity in this study. However, the researcher believes that the SLQ instrument could be improved further through factor analysis to eliminate the overlapped items from the questionnaire.

There are modifications that should be explored. The context items could be improved by creating more items representative of the leaders’ perception toward their environment. This is to avoid bias towards positive responses such as stable or complex to describe the organizations that they are in. Second, some respondents complained that the 77-item questionnaire is too long and took more time than they thought it would take to complete. Since each action set was
measured by 15 items, they should be reviewed and it is recommended that 5 items from each action set that do not lower the high reliability or construct validity of the instrument be removed from the instrument.

**Conclusion 2.** This study generally supports Pisapia’s theory of strategic leadership that successful leaders are able to use a multifaceted set of leader actions. For example, the study found that successful leaders use a wider array of actions than less successful leaders. It was clear that the array of leader actions is related to success. Therefore these findings are supportive of Pisapia’s proposition that leaders often fail because they are trained in and rely upon a linearity of thinking mindset, which does not work in situations characterized by ambiguity and complexity that requires them to be flexible and change oriented.

The only thing is not clear in this study is when the researcher tried to correlate the context and the leaders’ use of the leadership action sets. For example, it is unclear why when stability increased, leaders’ use of the political strategy also increased. Also it is unclear why when the complexity increased the used of the political strategy decreased. A possible explanation to this is that in stable environment the rules, regulation, procedures and behaviors are so clear that leaders did feel comfortable to use discretion in this environment. In contrast in complex environment that has moved in the direction of chaos, everything was unpredictable and using political actions is basically a gamble that most leaders will not dare to implement.

Pisapia proposed that the use of a wide array of action sets would result in greater leader success in stable, complex and chaotic environments. These propositions and the actual results are displayed in Table 39.

**Table 39**

<table>
<thead>
<tr>
<th>Leader Actions</th>
<th><strong>Stable Contexts</strong></th>
<th><strong>Complex Contexts</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Anticipated</td>
<td>Actual</td>
</tr>
<tr>
<td>Wide Array</td>
<td>Less Successful</td>
<td>Successful</td>
</tr>
<tr>
<td>Narrower Array</td>
<td>Successful</td>
<td>Less Successful</td>
</tr>
</tbody>
</table>

* Chaotic contexts could not be measured due lack of cases reported.

This study confirmed his propositions to a degree. The results show that majority of successful Deans (64.3%) use a wider array set of actions and a majority of less successful Deans (87.5%) were using a narrow array set of actions. The results also show that the successful Deans in Malaysian and American Universities tended to have significant higher (0.485 units higher) array scores than the less successful Deans in Malaysian and American Universities.

Further analysis showed that successful Deans in stable context tended to have significant
higher array scores (0.419 units higher) than less successful Deans in similar context. The results also show that successful Deans in complex context tended to have higher array scores (0.852 units higher) than less successful in similar context Deans even though the relationship was not significant.

The findings clearly suggest that using wider array set of actions in both complex and stable contexts will help make leaders more successful. Using a wider array set of actions means that leaders should use all the four leadership actions in their environment. Thus, instead of proposing a two factor models of leadership, this research clearly supports the four factor model of strategic leadership that include all the four leadership actions (transformational, managerial, ethical, and political).

**Recommendations for Higher Education Leaders**

Although it is premature to draw definite conclusions regarding the importance of strategic leadership actions, this research has demonstrated that leaders with a wider array set of actions were perceived as more successful in their organizations. There is a need for leaders to vary their approach and solutions to the problems in their institutions.

The organizations and its stakeholders nowadays are so dynamic and complicated not like the ones we have in the '80s and '90s. Organization’s needs are harder to predict and demanding, therefore one rigid solution will not cure all the problems the leaders might have in his or her organization. Hence, leaders should be able to provide flexible comprehensive actions to help them deal with the problems and bring positive changes in their institutions.

One noble thing about Pisapia’s strategic leadership theory is the non-egoistic or humble approach of leadership that it proposes. It gives a very strong message to followers that regardless of how ambitious leaders are to bring changes into their organization, leaders should not exempt themselves from the change process itself but include themselves as well so that changes could be embraced from both top-down and bottom-up directions. It is incumbent on the leaders to “walk the talk” and lead by examples so that the change will take place in the hearts and minds of the followers, and they will be more willing to participate in the change process.

**Recommendations for Research**

A study to improve the construct of the SLQ questionnaire is needed. Thus, a bigger number of respondents; for reliable components, respondents should be at least 100, and at least five subjects per variable will be needed so that factor analysis could be done to eliminate unnecessary and overlapping items from the SLQ (Stevens, 1986). There is also a need to be selective in identifying the organizations to be involved in this kind of study. Researchers need to classify the organizations into chaotic, complex, and stable contexts using a short questionnaire that assesses the organizations’ context prior to their selection. By doing this, researchers will have three types of environment as proposed by the theory so that analysis on the leadership strategies could be comprehensively performed. The researcher would also like to suggest that the organizations’ context to be analyzed using both followers and leaders’ perception.

A longitudinal study is also recommended to determine the impact of strategic leadership
on leaders' success over a period of time. At this point it is unclear how this could be done; whether it could be through experimental or ex-post facto research etc. but with proper research designs, planning, and implementations, this could be possible in future research in similar and other leadership contexts: public, organizational and school leadership.

The analysis of the demographics has suggested interesting findings that could be explored in future research. There was a significant correlation between the Deans’ success and arrays with the leaders' age. These findings are probably premature due to the fact that the number of respondents was limited. Hence, it is recommended that a future research with a greater number of respondents and gender be implemented.

These findings were probably caused by a mask of other variables but this could only be known via further research in this area. At this point, there were no clues of the underlying variables that might have influenced the results. This topic may interest some researchers and valid to some culture in the world. With greater participations and an improved questionnaire and research designs, it is hope that a future research on this subject will be able to reveal interesting revelation that will lead to new ideas and knowledge in the field.

**Recommendations for Leadership Development Programs**

Leadership development programs should give a priority to the need of preparing future leaders with wider leadership actions so that they would be successful in today’s organizations. Since the followers in the organization come from different needs, expectations, and backgrounds, the way they need to be treated should be different from individual to individual as well as organization to organization. Leaders need to be flexible and understand the contexts that they are in so that the treatment given will address and fix that particular problem.

The four factors of strategic leader actions (transformational, managerial, ethical, and political) as proposed by Pisapia need to become the thrust of discussions in any leadership programs especially for leaders in higher education institution. This leadership theory and actions need to be transformed into modules and activities, and offered as an alternative to other leadership approaches in the training programs. Then, follow-up needs could be done via research to identify the effects of Pisapia’s theory to leaders’ behaviors and success. This will ensure that the scientific learning process will continue, and organizations will be served by excellent leaders who can bring proposed changes to reality.
SUSTAINING REFORM EFFORTS IN BROWARD COUNTY SCHOOLS:
A STUDY OF THE COALITION OF ESSENTIAL SCHOOLS

SHARON MOFFITT - 2006

States, districts and schools continuously institute school reforms that propose to meet the needs of all students. Reform efforts come and go at such a rapid pace, it is often difficult for a school to participate in a reform effort long enough to give it a chance to succeed. This study looked at the internal and external contextual factors that contribute to the sustainability of a reform effort within a school.

The purpose of this study was to determine the relationship of the level of integration of the core values of the Coalition of Essential Schools (CES) into the management and instructional practices of the school and sustainability of the reform effort. This research is based on the belief that reform efforts must be maintained long enough to become the “way we do things” to have a significant impact on student achievement. Thirty schools within Broward County participated in this study. A survey questionnaire was developed by the researcher and 252 responses were returned. This study employed a quantitative study that was correlational in nature.

Principal turnover results were surprising, as principals changed, sustainability rates rose. Findings indicate principal turnover and coordinator turnover had little impact on integration levels of the core values into the school’s practices. The correlation between a school’s socio economic status and sustainability found that schools with high numbers of students on free and reduced priced lunch had lower rates of sustainability. Research also indicated schools who were CES members for more than four years had high levels of integration of the core values into the school’s practices. Finally, research showed that teacher turnover had a significant relationship to the level of integration of the core values of the CES into the school’s practices and to the sustainability of the reform effort within the school.

Conclusions
The four major conclusions drawn from this study are explained in the following paragraphs.
1. As teachers leave the school, sustainability and integration of the core principles of the CES reform effort also leave.
2. Schools who maintained the reform effort for more than four years demonstrated high levels of integration of the core values of the reform effort into the school’s management and instructional practices.
3. Schools with lower levels of students who qualify for free and reduced priced lunch at the beginning of the reform effort had a greater chance of sustaining the reform effort than schools with higher levels of students who qualified for free and reduced priced lunch.
4. Principal turnover results of this study were surprising. Data showed as principal turnover levels rose, sustainability levels also rose.
5. The stability of reform effort coordinator has less of an impact on the reform effort than teacher turnover even though the job description is one of teacher leader.
Conclusion 1. As teachers leave the school, sustainability and integration of the core principles of the CES reform effort also leave.

The major conclusion of this study was, as teachers leave the school, sustainability and integration of the core principles of the CES reform effort also leave. The relationships of Teacher Turnover to integration and sustainability are significant findings of this study. Teacher Turnover was related in multiple areas of the study. The results support the study by Huberman and Miles (1984) that found personnel stability was a major factor in the institutionalizing of a reform effort. Developing a firm foundation with a cohesive mass of individuals in a school is instrumental in the longevity of the reform movement (DuFour & Eaker, 1998; Fullan & Steigelbauer, 1991; Senge, 1990). Fullan asserts the challenge of sustaining the change effort to transform schools into professional learning communities is the challenge of developing a critical mass of teachers prepared to function as change agents. Teacher stability adds to the chances of developing a sustained critical mass.

Teacher turnover was related to the level of broad integration of 7 of the 10 principles into the instructional practices of the schools. As the level of integration of the Principles 3 (Goals Apply to all Students), 4 (Personalization), 5 (Student as Worker), 6 (Demonstration of Mastery), 7 (Tone of Decency), 8 (Teacher as Generalist), and 9 (Creative Organization) increased, the rate of teacher turnover decreased.

Teacher turnover also had a significant relationship to the level of integration of 7 of the 10 principles into the management practices of the schools. As the rate of teacher turnover decreased the level of broad integration of Principles 3 (Goals Apply to all Students), 5 (Student as Worker), 6 (Demonstration of Mastery), 7 (Tone of Decency), 8 (Teacher as Generalist), 9 (Creative Organization), and 10 (Democracy and Equity) increased.

Teacher turnover was also related to the level of deep integration of the principles into the assessment, curriculum and teacher evaluation practices of the schools. Again, as the level of teacher turnover decreases, the level of deep integration of the 10 principles into the Assessment, Curriculum, and Teacher Evaluation practices of the schools increases. Corbett, Dawson, and Firestone (1984) find reform activities will end unless a school is organized so that incentives and encouragement flow to those making changes, and corresponding changes are made in the rules and guidelines governing instructional behaviors. Real change must reach the classroom level of the school and the instructional strategies (Marzano, Pickering & Pollock, 2001).

All real change must take place at the school level and in the classroom (Negroni, 1992). Teachers in the classroom are the deliverers of instruction. Data from this study show there is a relationship between teacher turnover and sustainability of the reform effort. The findings of this study confirm all of these researchers (Corbett, Dawson, & Firestone, 1984; DuFour & Eaker, 1998; Fullan & Steigelbauer, 1991; Huberman & Miles, 1984; Marzano, Pickering, & Pollock, 2001; Negroni, 1992; Senge, 1990). The schools in the study sustained the CES reform effort and as the researchers tell us, this is impossible without change at the instructional level. Teacher turnover has a major impact on continuity of instruction and reform. With a stable teacher group...
schools were able to deeply integrate the CES core values into the instructional practices of the school and therefore enhance sustainability.

This study found the relationship of teacher turnover to the level of integration of the core values of the reform effort into the practices of the schools and the sustainability of the reform effort within the schools are inversely correlated to the rate of teacher turnover. Sustaining a reform effort demands committed relationships (Hargreaves, 2002). Schools that are able to stabilize the teaching staff, have a far greater chance of committed relationships than those who are constantly introducing new staff. Schools in this study with lower rates of teacher turnover had a greater level of integration and a greater chance at sustaining the reform effort within their schools.

Committed relationships and ownership are important aspects that promote the embeddedness of the reform into the school’s culture (Hargreaves 2002; Miles & Ekholm, 1991). The teaching staff makes up the largest number of individuals in a school setting. If this core group is continuously changing it is difficult for teachers to be committed to each other and take ownership in their school.

Literature points to the significant impact reforming over and over has on a school’s ability to make changes (Cuban, 1990; Fullan, 2000). Teacher stability adds expertise to the school community and adds to the school’s ability to sustain a reform movement thus preventing the cycle of reforming over and over.

Conclusion 2. Schools who maintained the reform effort for more than four years demonstrated high levels of integration of the core values of the reform effort into the school’s management and instructional practices.

Survey analyses conclude that the core values of the reform effort are deeply embedded in the school practices as indicated by “mostly” to “high” levels of integration of the principles both deeply and broadly into the schools practices. Of the thirty schools who participated in the survey, 29 schools were official members of the Coalition of Essential Schools for more than four years. When reform effort indicators become a part of the routine, the effort is more likely to sustain as the way we do things around here (Florian, 2000; Schein, 1992). This study found several significant relationships with teacher turnover, principal turnover, coordinator turnover and SES to sustainability of the reform effort. Integration levels indicate that even when the official membership of the school is over, the core values remain embedded in the schools’ practices. For example, even though schools with high levels of students on free and reduced priced lunch were not able to officially sustain membership, it is clear that many of the core values became more integrated. All of the schools that are considered to have high level of students on free and reduced lunch were official members of the CES for more than five years. Five or more years of implementing a reform effort deepens the understanding and development of the reform effort’s core values and they become part of the school’s practices. These core values are embedded into the values and beliefs of the school and therefore do not disappear even after official membership is removed. Principal turnover and coordinator turnover were both positively related to sustainability (more turnover, more sustainability), but had limited
impact on the integration levels of the core values of the reform effort. A low rate of teacher turnover was related to a high level of sustainability as well as deeper levels of integration. Personnel stability deepened the levels of integration, but the lack of stability did not mean the core values of the CES were no longer deeply embedded into the school’s practices. Lack of sustainability and less depth of the core values into the school’s practices may indicate a culture change is occurring as teaching staff changes. Values embedded into the schools practices become part of the culture and are no longer part of the “new” program or reform effort. Therefore it is concluded that after four years of implementation of a reform effort, the schools in this study have a strong chance of embedding the core values of the reform effort into the practices of the school, however, future study should follow the schools from this study to analyze the integration levels in the years after membership as they relate to personnel turnover.

Conclusion 3. Schools with lower levels of students who qualified for free and reduced priced lunch at the beginning of the reform effort had a greater chance of sustaining the reform effort than schools with higher levels of students who qualified for free and reduced priced lunch.

Schools with lower levels of students who qualified for free and reduced priced lunch at the beginning of the reform effort had a greater chance of sustaining the reform effort than schools with higher levels of students who qualified for free and reduced priced lunch. A significant relationship was found between the Socio Economic Status and the ability of the schools to sustain the reform effort. Hargreaves (2002) finds that professional learning communities strive best in more affluent communities where there is a strong teacher capacity and more resources and support in the system. In these schools teachers are free to design strategies and move beyond the standards. Professional Learning Communities are a significant component to the CES reform effort. Hargreaves also notes, in schools where social and financial resources are lacking, school districts prescribe a curriculum and give teachers more scripted, structured materials and texts. School leaders lose their autonomy to decide the reform effort to be put in place in their school. It is important to note that although the reform effort was not officially continued within the schools with large numbers of students who were struggling financially, several of the principles became more deeply embedded into the practices of the school. The schools identified as those with high levels of students on free and reduced priced lunch did not remain as members of the CES, but the principles that were deeply embedded became even more embedded as the schools’ needs changed. These schools were able to utilize the principle because it was part of “the way we do things around here” (Florian, 2000; Schein, 1992) Respondents indicated the principles of Democracy and Equity, Creative organization, and Personalization were more deeply embedded as the school’s population became more struggling. Respondents also indicated the 10 core values were more deeply embedded into the school’s assessment practices in schools with high levels of students on free and reduced priced lunch. From this finding the conclusion is made that the values that are deeply embedded into the schools structures become the “way we do things.” While schools with high levels of students on free and reduced priced lunch may not remain official members of the CES, the core values that are so deeply embedded remain and are a part of the school’s practices. The official membership in a reform effort is not necessarily an indication that the core values of the reform effort are no longer a part of the school’s practices.
Conclusion 4. Principal turnover results of this study were surprising. Data showed as principal turnover levels rose, sustainability levels also rose.

Principal turnover results of this study were surprising. Data showed as principal turnover levels rose, sustainability levels also rose. Data also showed the more students the school had on free and reduced priced lunch, principal turnover lessened. These two findings are in conjunction with the finding that shows sustainability is less likely in schools with high numbers of students on free and reduced priced lunch. Twenty nine of the thirty schools in this study sustained for more than four years. Schools with high levels of students on free and reduced priced lunch were not able to sustain the CES as state mandates were given and a more prescribed program was instituted within the school. Principal turnover rate is lower in schools with high numbers of financially struggling families. The schools with high levels of financially struggling families may remain dependent on their principal and are not permitted to continue to institute the core values of the Coalition of Essential Schools. The goal of a leadership team to design and implement a plan for the school is less likely to succeed in a school with more mandates due to the nature of their population. As Datnow (2002) points out in her study of 13 schools, schools with strong reputations and protected positions in the district were permitted to carry on as usual thus eliminating the conflict between state mandates and school reform efforts. The relationship of principal turnover and sustainability may be largely related to the SES of the school and the principal’s ability to build a strong leadership team which can carry on even after the leader leaves.

Only 1 of the 30 schools who responded were members for less than four years while 19 of the 30 schools were members for more than seven years. As the reform effort becomes part of the school’s practices, the phenomenon of principal turnover is less significant. Fourteen schools had a principal change in the last five years. Of those 14, 13 were members for more than four years. The goal of sustained reform is to no longer consider the effort a reform. The core values become so deeply embedded into the school’s culture they are no longer identified as part of the new reform (Berman & McLaughlin, 1978). A change in leadership does not immediately change the culture of the school. It may in the worst circumstance force the culture to go underground, but it is not easily destroyed. Even though principal turnover indicated a higher level of sustainability, principal turnover had limited impact on the level of integration of the core values of the reform effort into the school’s practices. A change in leadership did not make a significant difference in the level of integration where the core values were already deeply embedded.

This research points out the impact of a change in principal does not negatively affect the sustainability of the reform effort that is deeply embedded into the school’s practices. Research points out the importance of consistent leadership in the initial stages of the reform effort. (Datnow, 2002; Florian, 2000; Howley, 2001). Implications are schools that are beginning a reform effort need to have consistent leadership that has the ability to build leadership among the staff.

Conclusion 5. The stability of reform effort coordinator has less of an impact on the reform effort than teacher turnover.
Indications are that the stability of reform effort coordinator has less of an impact on the
reform effort than teacher turnover. The Coalition Coordinator in Broward County schools is not
an administrator. The role is assigned to a teacher leader. Although there are significant findings
relating to coordinator turnover, there are not as many as those relating to teacher turnover.
Teacher turnover effect size correlations range from 3 to 10 percent indicating a medium to high
level of variance. Coordinator turnover effect sizes range from two to six percent indicating a
small to medium level of variance. The teacher leader coordinator takes on a strong leadership
role in the school. Perhaps as the teacher leader job description becomes more closely related to
the principal or leader role, the significance of the coordinator as they relate to sustainability
decreases based on the findings that principal turnover had little impact on the sustainability of
the reform effort. In fact, as the principal turnover rate increased, sustainability increased.

3. The coordinator change may be related to the district support for the CES. The
district support was eliminated as this study began. Part of the district support was training for
the CES coordinator. This is a noted limitation of the study, however, it is still significant that the
schools which maintained their coordinator after district support was eliminated, did not have
higher level of sustainability.

Recommendations for District Administrators

The review of literature points out the disadvantages of reforming over and over again.
This study has significant implications for district level administrators who wish to ensure the
sustainability of a reform effort within the district schools. The following recommendations are
made based on the results of this study.

1. District leaders should pay close attention to the rate of teacher turnover of a school
as they plan for school reform.

2. Decision makers in education must research strategies and methods that will promote
teacher stability within schools. Without stability of the teaching staff, sustainable reform will
not occur and our students and staffs will be forced to deal with one reform after another.

3. Districts need to actively recruit knowledgeable and dedicated teachers who are
willing to stay for at least five years in one school.

4. Teacher turnover must be addressed along with school level success.

5. Incentives to retain effective teachers need to be put in place. Monetary bonuses to
include assistance with living expenses.

6. Districts must listen to the needs as identified by the school community. As this
research shows, even if the mandates eliminate the reform effort, the core values remain part of
the culture. The school community needs assistance from external forces, but must have input as
they know the school’s culture and needs of the students. An externally forced initiative will not
produce long term results without the understanding of the school’s deep held values and beliefs.
7. Districts should avoid a “one strategy fixes all low income schools” philosophy and carefully examine a reform effort before putting it in place in schools with high levels of students who qualify for free and reduced priced lunch.

8. Training should be provided for administrators to assist them with successful implementation of a reform and a deep understanding of school culture.

9. It is imperative for all district level decision makers to recognize the impacts of design structures and strategies intended to assist the students and teachers in schools with high levels of poverty. Schools with high levels of poverty must still have a voice in their school plan. Assistance must not come at the expense of the experts at the school level.

**Recommendations for Schools**

1. Administrators must identify effective teachers and put resources in place to retain them while at the same time identifying ineffective teachers and developing or terminating them.

2. School level administrators must realize the impact of teacher turnover and purposefully put systems in place to retain teachers within their schools.

3. School level teachers and administrators should provide active support for new teachers within the school to ensure a low rate of teacher turnover thus promoting the sustainability of the school’s reform efforts.

4. School level teachers and administrators should provide active support for experienced teachers to include recognition for “a job well done” and salaries comparative to that of industry to promote teacher stability.

5. School level administrators must be willing to step back when the staff becomes more self directed and autonomous to ensure that when a principal leaves the reform effort will remain and the core values will remain part of the way we do things around here.

**Recommendations for Universities**

1. Colleges of Education within the department of Educational Leadership should include in their educational leadership classes research focused on effective teacher retention.

2. Universities should require an understanding of the importance of teacher retention for school reform as well as researched strategies to promote teacher retention.

**Recommendations for Future Study**

1. Further research is necessary to determine the reasons and causes of teacher turnover.

2. Future Study is necessary to investigate the level of teacher turnover as it relates to the SES of a school. This study is necessary to determine if the finding that schools with a higher level of students on free and reduced lunch have a lower rate of sustainability is impacted
by the teacher turnover rate. It is possible the schools with higher levels of students on free and reduced lunch have a higher level of teacher turnover.

3. Further research is necessary to determine the relationship of principal turnover in low SES schools and sustainability of the reform effort.

4. Further research should focus on the changing role of the principal as the reform effort was being implemented with close attention paid to the length of time the principal was at the school during the process of embedding the core values into the practices of the school. This study did not take into account the CES process for developing a deep understanding of the core principles and the process of embedding them into the culture of the school before the period of official membership.

5. Further study is needed to determine if schools with high levels of financially struggling families are able to sustain a reform effort other than the Coalition of Essential Schools.

6. Further research is needed to include schools outside of Broward County where the CES is still supported by the district.

7. Future research should include schools that did not have high levels of integration of the CES core values into their practices and those schools that were not able to sustain the implementation of the CES principles.

8. The role of the CES Coordinator is unique to the Coalition of Essential Schools. The CES provided and funded teacher leaders in this position with training in facilitating groups, planning for meetings and strategies to develop effective Learning Communities. Further research is needed to determine the level of integration of the reform effort as it relates to this unique position and its relationship to administration. The role of CES coordinator may be closely related to that of principal.

9. Further research should focus on the sustainability of the CES reform effort as it relates to student achievement.

10. Further research is necessary to focus on the significance of the timing of staff turnovers and its relationship to sustainability.

11. Further research is necessary to investigate the relationship of student turnover and sustainability.

12. Further research is needed to follow the schools in this study to determine if a high rate of teacher turnover will eventually lead to a change in levels of integration to the extent that the core values are no longer a part of the school’s practices.
Summary – What can we see?

Reform is inherent in the public school system. It is this researcher’s belief that we must learn how to implement a reform effort that fits with the school culture and stick with it long enough to make a difference for our students. The system of public schooling has been around a long time and yet we still react as though we are facing new challenges without any past experience. We often times forget to look into valuable research and learn from what is discussed and analyzed in the pages written by the great researchers. It is the nature of human beings to evolve to a different level of understanding. It is imperative as we evolve to higher levels that we look back on lessons learned and good research to direct us on our way. Jonathan Livingston Seagull continuously strived to reach greater heights. He always used his past experience to bring himself to higher levels. It is this researcher’s hope that this research will assist educators to build new experiences while learning from past experiences. Our country has a rich history of research to assist us as we move forward in education and learn what we don’t know yet. As we grow it is also important to understand what we already know. In the words of the great Seagull, Jonathan Livingston, “Don’t believe what your eyes are telling you. All they show is limitation. Look to your understanding, find out what you already know. And you’ll see the way to fly.” This research has been an attempt to look to understanding to discover and organize what we already know and put it together with new information to allow our students to see their way to fly.
Three major conclusions are drawn from this study. School climate and school performance are related to each other in the following ways:

1. When school performance is high, school climate tends to be high.

2. The relationship between school performance and school climate is moderated by school size, school level and socio economic status.

3. School performance can be predicted by using socioeconomic status, school size and school climate variables.

These conclusions are furthered explored in the discussion that follows.

Conclusion 1. When school performance is high, school climate tends to be high. The researcher sought to determine the relationship between school climate and school performance. The results prove that a relationship exists between school climate and school performance that is also moderated by contextual factors such as: school size, school level, and community perspectives. These findings suggest that a school’s climate and community support contribute to high school performance. Additionally, Shelechty (1990), and Tyack and Cuban (1995), concur that Federal programs such as Goals 2000 and NCLB (2001) seek to improve education for all students. On the State level, the FCAT and the School Accountability Program have raised school performance over the past five years. Because of these new educational reforms, no community in the State of Florida or Miami-Dade County currently likes its school to be to be identified as low performing or failing.
Overtime, MDCPS’ magnet programs/schools of choice, enjoyed anonymity, simply because they were labeled “magnet” or “special” schools. The results of this study calls to question the extent of their educational impact on overall student performance. While some elementary magnet programs/schools of choice especially the Control Choice schools, have fluctuated in performance ratings between 1998 and 2004. Some middle and high magnet programs/schools of choice have repeatedly received low performing grades (D or F) over the same period. Such schools have had their curriculum modified.

Parents are no longer comfortable with the mere title of magnet programs/schools of choice. They now ask questions such as: How is that magnet school, magnet program or controlled choice school advancing the academic achievement of the students? What are the performance grades of the magnet programs/schools of choice? Addressing the issue of trends or spikes in survey results based on the school-wide school climate results for the period, 1998-99 to 2001-02 MDCPS’ Research Services (2002) refer to the changes that occur as random fluctuations caused by small independent changes in respondents and conditions in each survey year. Another reason proffered by the District Research Department reads:

Given the variety of conditions faced by our schools, it is possible that trends of interest may wash out in the act of combining all the schools together. Other sources of such trends may be in the changes that might be occurring with SES groupings or in State determined school performance grade groupings. (p. 1)

Concluding 2. The relationship between school performance and school climate is impacted by school size and socio-economic status.

Weighing in on the pros and cons of some magnet programs/schools of choice, Duetler (1990), drawing from a study on New York City magnet schools reminds us that while some
magnet programs/schools of choice are exceptionally good many magnets like non-magnets vary in their ability to deliver high standard educational instruction. Therefore, it is very likely that some of these schools surpass state and district averages while others perform below average. MDCPS’ magnet programs/schools of choice are experiencing a similar situation. As a result, some magnet programs/schools of choice that repeatedly earned failing grades are now in an intensive instructional educational program called “The School Improvement Zone.” These school get additional staffing, instructional hours are extended and tutorial classes are held during the week and on Saturdays.

While the study sought to determine how MDCPS’ magnet programs/schools of choice cope with new state and national performance standards namely, the Florida Accountability Act (2000) and the No Child Left Behind Act (2001) some researchers warn of conclusions that may come from studies of this nature. Fife (1994), First (1991), and Cookson (1994) remind us of the reasons magnets and such schools of choice were created:

1. To create racial balance.
2. To offer specialized programs in schools that would attract students to schools in otherwise unpopular neighborhoods.
3. Magnets are aimed at gifted, talented or at risk students, a clear mix of ability range.

Because of these specifications Fuller (1995) cautions, that magnet programs/schools of choice as other forms of schools of choice should be first assessed to determine if their original acclaimed benefits have actually materialized before embracing further analysis.

Conclusion 3. School performance can be predicted by using socioeconomic status, school size and school climate variables.
This conclusion is aligned with findings by researchers such as Viteritti (1999); Jeneks and Phillips (1998); Kahlenberg (2001); and Spence (2003) who address school reform and the equity issue whether it relates to disparity between blacks and whites or the affluent and the needy. They believe that a positive climate that is supportive of all children regardless of economic status will ultimately lead to a high level of school performance. Hoff (1999) contends also that SES continues to be the variable at the center of attention where student performance and overall school performance is concerned. Therefore, SES is definitely to be considered as a predictor of school performance.

School size as a predictor of school performance draws support from researchers such as Cotton (1996) and Picard (2004) who after reviewing numerous studies on school size and school performance found a high correlation between student performance and district size and school size. In a report to the Louisiana Department of Education, Picard writes:

1. Thirty years of research shows that four factors consistently affect student achievement - smaller schools (300-500 students); smaller class size, challenging curriculum and more highly qualified teachers.

2. The states with the largest schools and school districts have the worst achievement, affective and social outcome.

3. The higher the level of poverty in a community served by a school, the more damage larger schools and school districts inflict on student achievement.

However, on the converse, he admits that there is no universal agreement on the ideal size for schools or districts and that size does not necessarily guarantee success. Supporting and expanding these views Cotton (1996) states, that the research linking school size to social behavior has investigated everything from truancy and classroom disruption to vandalism,
aggressive behavior, theft, substance abuse and gang participation. The research she contends indicates that small schools have lower incidents of negative behavior.

Additionally, Cotton (1996) contends that small schools have higher school climate and school performance because of the following:

1. Adults and students in the school know and care about each other to a greater degree.
2. Small schools have a higher rate of parental involvement.
3. Students and staff have a stronger sense of personal efficacy.
4. Students take on more responsibility for their own learning, and classes are generally smaller.
5. Small schools more often use instructional strategies associated with higher student curriculum, multi age grouping and cooperative learning.

To capture some of the benefits of small scale schooling educators are constantly looking for ways to downsize larger schools. Researchers such as Cotton (1996); Fowler, 1995; Howley (1994); Howley and Bickel, (2000); Lee & Smith 1995; Lee, Smith, Cronizier and Rutter (1998) as reported in Deewes (1999) recommend downsizing larger schools through the school-within-a-school model.

The school-within-a-school model establishes within a large school a smaller educational unit with a separate educational program and its own budget. This program is similar to the magnet program concept that is practiced in MDCPS. This educational model may be an effective and affordable way to capture the benefits of small-scale schooling within larger school buildings. Dewees (1999) further supports this view by listing the following benefits to be derived from small-scale schooling:

1. Participants establish a sense of community and symbolic identity.
2. Participants develop a sense of separateness and distinctiveness.

3. A positive impact is created on teachers and morale is enhanced.

Although there are identified benefits, Dewees (1999), cautions that research on this topic is still in the embryonic stage. He points to the fact that critics argue that sub school grouping encourage inequitable tracking and may even negatively affect school cohesiveness.

**Recommendations for Educational Policy Makers**

This study, further sought to contribute to the debate on the relevance of school climate to school performance by analyzing the MDCPS magnet programs/schools of choice data. Therefore, the results should prove useful to State educational policy makers, district educational policy makers, principals, teachers, and parents. The findings should also serve to inform future research and leadership development. The following recommendations are organized accordingly.

1. Educational policy makers should request or conduct further investigations into the relationship between school climate and school performance, especially as the relationship affects high poverty and low poverty schools. Such a study will highlight the disparities that exist between schools at the extremes of the economic spectrum. Ultimately, such inquiry should lead to corrective action.

2. Educational policy makers should request or conduct further investigations into the relationship between school size, school climate and school performance. The results of the study indicate that smaller schools tend to have a higher school climate and higher school performance than larger schools. Therefore, there is a need to move toward the establishment of
smaller schools or where necessary implement the school within-a- school model in larger schools to lessen bureaucratic tendencies, managerial problems and low performance issues.

3. Increasingly, the educational policy makers should provide funding and other resources to promote smaller schools especially at the middle and high school levels where some schools have populations of three to four thousands and tend to resemble small cities. Such an initiative is supported by researchers such as, Cotton (2001), Moore (2003) and Orstein (1990). They not only make the case for smaller schools but also argue that fewer students provide a more personalized educational environment. It must be understood that results might vary in different locations based on geography.

Recommendations for School Districts

Magnet programs/schools of choice and all public schools in the State of Florida that are graded by the Governor’s A+ Plan have made academic advances over the last five years. However, in order to achieve even greater success, there is still need for additional instructional adjustments to all public school programs.

According to Thompson (2004), school districts must address the following issues if [school climate perceptions] and school performance are to improve:

1. Increase the use of technology in the instructional program.
2. Establish clear goals and priorities [in all public schools].
3. Monitor student behavior.
4. Support teachers’ efforts to up-grade, refine and otherwise improve the curriculum.

Addressing the same issue of school performance, Edmonds (1979) and others, made suggestions that seem analogous to Thompson’s (2004) recommendations for improved school climate and school performance:
1. Strong instructional leadership.
2. High expectations for students.
3. A safe and orderly academic environment.
4. An emphasis on basic skills.
5. Continuous monitoring of student progress.

District policy makers must trend towards providing resources to promote small schools or where practicable to promote the school within a school model.

The impact that socioeconomic status has on school climate and school performance is well documented and is outlined in this study. It is recommended that school districts consider SES and its relationship to school climate and school performance when allocating resources. In MDCPS, over 63 percent of enrolled students are eligible to receive Free or Reduced Price Lunch (MDCPS, 2005). The students enrolled in MDCPS’ magnet programs/schools of choice are included in this number. As stated in Lamendola (2000), White (1982), after examining numerous studies dealing with socio-economic status and student performance, found that SES including low income does negatively impact student academic achievement. Therefore, this situation requires immediate attention.

Increasingly, on the converse, there are studies that have identified high poverty schools with high levels of success. Several summaries of this type of research have been published (Austin, 1979; Edmonds, 1979; Puckey & Smith, 1983). It is important that policy makers at the district level review this body of research in an effort to address student performance and school climate perceptions in high poverty schools. School districts should also consider developing long-range goals for climate improvement in all schools, magnets schools, charters schools and K-12 schools.
Recommendations for Practitioners - Principals at all School Levels

Generating and maintaining high school climate and high school performance require a strong commitment from the principal as the instructional leader, (Sergiovanni 1987). In order to achieve a high school climate that will ultimately generate high school performance Smith and Andrews (1989) suggest that Principals at all school levels do the following:

1. Demonstrate strong educational leadership by involving the staff, parents and students in all school activities.

2. Effectively communicate with all personnel at three levels, one –to- one, small group and large group to articulate the vision of the school.

3. Demonstrate the ability to evaluate and deal effectively with others.

4. Demonstrate the skills necessary to work as a team member.

5. Exhibit a visible presence and interact with students and teachers in classrooms and hallways daily.

6. Constantly display behavior that reinforces the school values.

7. Demonstrate commitment to the schools academic goals.

8. Demonstrate a commitment to a high level of accountability.

9. Demonstrate overall effective management.

Since the principal’s role is germane to initiating and maintaining a high school climate and the overall performance of the school, Principals in MDCPS’ magnet programs/schools of choice should endeavor to adhere to the foregoing strategies in order to improve the climate and school performance in both high and low performing magnet programs/schools of choice.
Recommendations for Classroom Teachers at all School Levels

Teachers are very important in the educational process. In successful, high performing, schools they are often more committed, are harder workers, are more loyal to the school and are more satisfied with their jobs (Sergiovanni, 1987). As a result, such schools often have high school climates and high school performance.

The researcher concurs with Purkey and Novak (1996) that a high or positive school climate can only develop in a school when the indicators stated below are present. Teachers in MDCPS’ magnet programs/schools of choice will contribute greatly to high school climates and overall high school performance when the teaching environment embraces an atmosphere where:

1. All students are accepted and welcomed.
2. All student and staff are treated with respect and dignity.
3. Positive behavior is modeled by staff.
4. Parents and community members are welcomed in the school.
5. High and appropriate expectations are in place for all students.
6. Teachers build a team atmosphere in the school and classroom.
7. Learning is perceived as interesting, relevant and important.
8. Teachers and parents work collaboratively.
9. The school is perceived as an inviting place.

A positive school climate can have a major impact on the behavior and achievement of students. Making it happen will require the efforts of the community, administrators, teachers, parents and students working together.
Recommendations for Parents as Stakeholders

1. The finding in the study indicate that a high variance in the results suggest that school climate moderates school performance. Parents can play a pivotal role in helping to build school climate that will materialize in high school performance. Subsequently, should take action that will aide student achievement which in turn will impact school climate and school performance.

2. Parents must volunteer to work in classrooms in order to get a better understanding of how the system works and to be able to assist their children academically.

3. Parents must find time to observe teachers at work and keep constant contact with their children’s teachers at all times. They should learn to initiate conferences on their children’s progress rather than wait to be called to the school.

In reviewing school climate and its relationship with school performance in MDCPS’ magnet programs/schools of choice, one must be cautious in making the assumption that high school climate necessarily means high school performance. One must always remember that school climate at best is a perception and as such is often subjective. One inference that can be drawn from this study is that the introduction of the Florida School Accountability Act, the Governor’s A+ Plan, and the implementation of the FCAT, played a significant role in reshaping the way in which parents, teachers and students view school performance.

The researcher concludes that while community perspectives are important the key determining factors that influence positive school climate and ultimately high school performance are SES, school size and school levels. While numerous studies attest to the high performance of students in high poverty urban areas,(not addressed in this study) that can only happen if the underlying issues mentioned above are recognized and addressed.
Hence, there is a necessity to address the issue of SES across the board. School size needs to be addressed at the high school level. Parents could recommend to local policy makers that smaller schools at the elementary or middle school levels and schools-within-a-school will reduce the size of schools while enhancing school climate and school performance. However, one must not automatically assume that smaller is better because some very small schools have been low performing for a long time. On the converse when one school has an enrollment of over 3,000 students there are often communication and identification problems.

Finally, this researcher contends that the debate on school climate and its relationship with school performance will continue. There are no easy answers as to what creates a positive school climate. Sergiovanni (1987) reminds us that although schools as organizations share common properties they have uniqueness as well, that is often called school climate. Yet, other researchers, (Hoy & Hannun, 1997) warn that there is no direct relationship between school climate and school performance. They contend that even if school climate makes a difference in student performance [or school performance] the influence of climate is often so loosely defined and have very few clear links with the students’ learning experience. Purkey and Novak (1996), (drawing from Phi Delta Kappan’s *Positive School Climate*, 1987) posit a framework for looking at how schools can become invitational by focusing on five elements – places, policies, programs, processes and people. Their ideas have implications for future research.

The researcher concurs with Sergiovanni (1978) that school climate is the share perception of people who experience a particular school. However, Sergiovanni (1978) also advises that all participants must be fully engaged at all levels academically, socially, and emotionally to ensure a truly successful school where everyone feels wanted and valued.
Recommendations for Future Research, Leadership, and Development

For further research and leadership development, scholars of school climate and school performance, need to review school size as a component. It is also important to look to researchers like Kathleen Cotton (1996) who reviewed 103 studies which identify a relationship between school size and some aspects of schooling at all school levels elementary, middle and high. Cotton’s review drew from works on the Quality of the Curriculum (McGuire, 1989); Cost Effectiveness (Gregory, 1992); Academic Achievement (Burke, 1987); Student Attitudes (Gregory & Smith, 1987); Social Behavior (Kearney, 1994); Attendance (McGanney, Mei & Rosenblum, 1989) and Dropouts (Toenjes, 1989). One central theme seems to resonate through the studies ‘Smaller is Better.’ Some of the major points highlighted in Cotton’s (1996) study are as follows:

1. Academic achievement in small schools is at least equal and often superior to that of large schools.

2. Student attitudes toward school in general and toward school subject are more positive in small schools.

3. Student social behavior as measured by truancy, discipline problems, violence, theft, and gang participation is more positive in small schools.

4. Student attendance is better in small schools than in large ones.

5. A smaller percentage of students drop out of small schools than in large ones.

6. Students have a greater sense of belonging in small schools than in large ones.

7. Teacher attitudes toward their work and their administrators are more positive in small schools than in large ones.
8. Grouping and instructional strategies associated with higher student performance are more often implemented in small schools.

At the University level, Departments of Education should definitely introduce instructional courses to train administrators and teachers how to recognize, build and maintain positive school climates as a medium to improve student performance. However, one should recognize that small size may be applicable and practical at the elementary level it may not be feasible at the middle or high school level. The impact of size varies from place to place and situation to situation.

Limitations of the Study

In drawing implications from this study, one needs to acknowledge that the results could have been different for the following reasons:

1. The small size of the study 73 MDCPS’ magnet programs/schools of choice drawn from a survey conducted for over 356 Miami Dade County Public Schools. Despite the research techniques employed in analyzing the results, Purkney and Smith (1983) remind us that effectiveness of a research depends on a subjective scale of magnitude.

2. The use of a non-experimental design, archival data and the unavailability of the original individual survey responses had disadvantages. In some cases staff, parent or student responses were not reported or were missing for some schools. The researcher therefore challenges other colleagues to expand this study by employing an experimental design with full freedom to review all aspects of the problem.

3. The small number of cases and the limitations of the survey instruments invalidated the school climate construct as postulated in Chapter 3. The sub factors, student behavior,
teacher behavior, instructional resources and school leadership were judged unidimensional. Therefore, it was not possible to break down school climate into the stated sub factors.

4. Only a small percentage of the magnet programs/schools of choice studied had the same principal for the duration of the years studied. Hence, the inability of the study to determine if the contextual factor principal’s tenure [leadership] had a moderating effect on school climate and school performance.

5. The term MDCPS’ magnet programs/schools of choice include three types of schools. Schools that are full magnets, schools that have magnet programs added to their regular curriculum and Controlled Choice schools that are classified as schools of choice for purposes of ethnic balance without emphasis on special academic programs.

6. The components that identify school climate in the MDCPS’ School Climate Survey tend to create a blur between the meaning of school culture and school climate and their effect on school performance. Further analysis is necessary to explore this observation. Unfortunately, that analysis is beyond the scope of this study.

Regardless of these identified limitations, one consistency emerges from a study of this topic, there is no simple recipe to link school climate with school performance and therefore no one measure of effectiveness. Researchers such as Crenshaw (2004), Dillon (2003), Frieberg (1999), Halpin and Croft (1962), Hoy, Tater, and Bliss (1990), and Sergiovanni (1987), support the argument that differences between schools can influence the outcome of both school climate and school performance. With regard to the social environment variables, climate research provides an excellent discussion of the complexity of school environments.

The researcher believes it is important that all stakeholders in the MDCPS’ magnet programs/schools of choice encourage and promote a belief in the value of every person and the
importance of a rich and rewarding educational experience for all students. It is also their duty and responsibility to work as a team to ensure a safe, respectful, nurturing and invigorating learning environments. Only then will high quality learning become an shared ongoing experience in all the schools and high school climate and high school performance be realized in schools at all levels.

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SPECIFIC LEARNING DISABILITY SERVICES: BENEFIT OR RISK?

VIVA BRAYNEN - 2005

The review of the literature suggested that the outcomes of special education are depressing. However, the empirical data collected and analyzed in this study indicate that some benefits are being received through the services offered by the Broward County School District. Two major conclusions are drawn from this study:

- School districts have made important strides in adhering to the federal guidelines regarding the reporting of assessment results, but the local and state agencies may need to go beyond the minimal requirements to raise public awareness about the need for resources aimed at improving student achievement.
- The provision of special education services for students with SLD produces increased achievement for Black and Hispanic students but not for White students.

These conclusions are furthered explored in the following paragraphs.

Conclusion Number One

School districts have made important strides in adhering to the federal guidelines regarding the reporting of assessment results, but the local and state agencies may need to go beyond the minimal requirements to raise public awareness about the need for resources aimed at improving student achievement.

Although the reauthorization of IDEA now calls for states and districts to include disabled students in their assessment systems, many states are just beginning to include students with disabilities in their standardized testing. In most instances where disabled students were included in the state’s assessment results, no information was found in the review of literature that detailed specific performance information on SLD students, especially in high school. Therefore, this research plows new ground and should serve as a catalyst for policy makers to not only begin to start testing disabled students but to go back and analyze their scores and determine the efficacy of special education programs.

The fact that no specific data was found on the performance of mildly academically disabled SLD students who are members of the general education population and are expected to graduate and receive a standard high school diploma was surprising, yet disturbing considering the millions of dollars invested in school systems nationwide to provide these students with a special education services. It is not enough to simply offer students with learning disabilities special services, but they deserve to be in programs that are effective. The effectiveness of such programs can not be realized until longitudinal data has been collected and analyzed as it relates to achievement of students with SLD. Just as policymakers analyze programs in the general education curriculum, and break down test scores to create more effective programs, the same must be done for SLD students. It is impossible to determine the effectiveness of programs if all participants’ scores are not being analyzed and disaggregated to create more effective policies and programs.

The state of Florida provided information on its’ statewide assessment system via web based reporting. Within that data set, information was available on each county or school district in the state.
Participation and performance results were included, but they were included as the students with disabilities (SWD) category, with all disability areas in one group. In order to receive specific information on students with SLD it was necessary to contact the district’s research department and wait months for them to supply the data. Further, when the data was supplied it was incomplete and the researchers could not explain the discrepancies.

Although, exceptional student funding and the placement status of students in Broward County is based on their matrix numbers and total number of ESE instructional minutes, the instructional minutes data is not stored by the district. The district warehouse information page states that they have instructional minute data, but when the report was obtained, only a few students out of the 278 studied in this research had instructional minutes data and that data did not accurately reflect the way minutes are calculated in the district. Therefore, the data had to be discarded.

**Recommendation**

Although IDEA has minimal reporting requirements aimed at informing the public on the achievement status of students with disabilities. Local and state agencies may need to go beyond what is minimally required to ensure that educated decisions can be made regarding evaluating the effectiveness of special programs. A few recommendations for improving the reporting practices within the local district are:

1. Create a database that links the students IEP to the districts data warehouse so that student placement data, instructional minutes, and the information on the supplementary aides that a student receives are easily accessible.
2. When reporting the FCAT assessment data, disaggregate student information by specific disability category and also indicate whether students are enrolled in the standard or special diploma program and make this information available to the public.
3. Report not only the number of students with disabilities in each category, but also the percentage assessed.
4. Create an ongoing database that details the achievement of students with disabilities over time.
5. If students are dismissed from an ESE program, continue to track their achievement data as a student who was dismissed from ESE to allow for possible comparisons of achievement of those who were dismissed from the programs with those who stayed in the programs.
6. This study is just the beginning. More research needs should be conducted on the achievement of SLD students, research such as analyzing specific models of inclusion for SLD students; analyzing achievement scores over time of SLD students; determining which model of classroom teaching works best for SLD students and determining what can be done to improve the academic and social outcomes for these students.

**Conclusion Number Two**

*The provision of special education services for SLD students produces increases in achievement for Black and Hispanic students but not White students.*
Under current state and federal laws, students are eligible for special education services in order to enable them to meet high state standards and to progress from grade to grade. This statutory mandate should enable children with relatively mild learning disabilities, who are the focus of this study, to achieve at high academic levels. Yet, the results do not necessarily reflect this idea. (Hettleman, K. 2004). This research found that 43% of the SLD students are not passing the math achievement test, and 68% are not passing the reading achievement test.

In reviewing the literature, the focus was found to be on the depressing outcomes correlated with special education students. However, this study demonstrated that even though the overall achievement results may remain depressing, some students are benefiting from the services offered. Although it was found in the data that Black and Hispanic students are improving their achievement as a result of the services they receive, they continue to have low achievement scores and as a group are not meeting the state standards. Black students reading scores improve .71 points for every day of attendance in school and Hispanic students’ math scores improve by 10 points for every year of ESE service that they receive.

For years, many practitioners believed that students have benefited very little academically from the special services they receive, and perceived special education to be a one way street. This perception is still true for the White students in this study. They enter with the highest test scores and they decrease by .4 points with each year that they receive ESE services. This study does not negate the fact that the graduation rates are low and dropout rates are high for students with learning disabilities, but there is hope for them and academic failure should not be predestined for these students (Hettleman, K. 2004). This study has shown that some benefit is being received for minority students as a result of special education services. Further research is needed to determine possible causal relationships between ethnic groups and services received, as well as the achievement of various ethnic groups.

Recommendations

This conclusion led to several recommendations. First, if school districts have similar results as Broward County, they should examine their placement criteria for all students, but they must certainly explore the eligibility and referral process for White students as they were found to have a negative relationship with ESE services. Recall that for every year of ESE service that they received, their FCAT reading score declined by 3.5 points. While 3.5 points may not seem like a large number, the average FCAT reading score for White students was 282 (a score of 300 is needed to pass). Based on the results of this study, 6 less of years of services could have resulted in passing scores for White students. Most students are referred to ESE in elementary school by third grade, by the time they get to tenth grade their progress could be hindered by an average of 25 points. Furthermore, since White students start at a much higher level of achievement than Black and Hispanic students, their further growth is quite possibly hindered as a result of ESE services. Therefore, when districts begin to analyze achievement data regarding SLD students it should be carefully decided if their progress is not improved that perhaps they should be sent back to the regular or general education population.

The second recommendation is that for teachers and central staff to analyze the programming and placement decisions being made on the behalf of SLD students. We now know that SLD students are scoring approximately 25 points lower than regular students on their achievement tests. White students scores are declining with every year of received ESE services, as well as Black and Hispanic students having low overall scores although there is some progress being made. Teachers who are referring and then deeming students eligible for special education services need to be aware of the outcomes of being placed in a separate ESE class. Teachers, practitioners, and central staff must seriously ponder if placing a referral for a student who appears to have a learning disability in elementary school has the potential to possibly catch up to his classmates and achieve near grade level in their current setting. Realizing that placement in a special education class may not provide the child with the appropriate opportunity to
develop the skills that are lacking due to the heterogeneity of special education classes being made up of several disability types. The student may have a better chance at success if he or she does not enter into a special program, especially if the student is White.

It is important to realize that most ESE students continue to lag behind their peers for the duration of their academic career. However it is not known whether these students would have been behind even if they were not in special education programs. More research is needed in this area; however, determining whether or not students may do better without ESE services is a challenging task in that, once a student is dismissed from the program an IEP is no longer needed. Further, comparing progress of a student without a disability to a student with a disability may not draw fair conclusions.

In analyzing individual students IEP, it was found that some students were referred to ESE in second grade and were only perhaps one year or less below grade level at the time of eligibility. Looking at the same students’ academic profile in tenth grade, the student is now five years below grade level. It is possible that the student needed some extra assistance back in second grade, but they may not have needed to be placed in a program for students with learning disabilities. It was also found, as a result of analyzing students’ IEP that some students were on grade level when they tested for eligibility in elementary school, but because they were not performing commensurate with their ability in the classroom at the level in which they tested, they were labeled as having an SLD. Further, in analyzing those students test results, it was found that they are at least two grade levels behind in math and reading later on when they get to high school.

Elementary teachers are primarily the gatekeepers of the ESE programs although they do share the decision making process with a child study team. They have great influence over which students get in the programs. District personnel need to educate all teachers on exactly what ESE services are and what exact services the schools can provide. ESE was once seen as a place, but we know now that it consists of services provided to students. Further, with the lack of resources that are prevalent in ESE departments, students may be in a much better position in a regular class. In many instances, a student who is experiencing academic difficulties may be able to receive the same services that he would receive in an ESE class from his/her regular classroom teacher, without the distractions of other students with disabilities.

Teachers may also need to try a little harder to reach low performing students and not assume that it is up to the special education teacher to educate all students that may have different, individual needs. The creative, individualized instruction that is supposed to be offered in an ESE classroom can be offered in a regular classroom with a little effort on the parts of teachers and central staff. If we aimed at offering every student an appropriate individualized education, (because no students learn in the same exact way, not even regular students) then there would be no need for special education services for students with mild academic disabilities.

As the literature indicates, there are measures that practitioners can take to improve the status of mildly disabled students in special education (Hettleman, K. 2004):

1. Prevent most students from entering special education programs in the first place. Most mild learning disabilities diagnoses could be avoided through research based early interventions that include positive discipline, classroom management, and appropriate research based reading strategies. In a large scale clinical trial performed by the National Research Council it was found that early intervention of reading skills in conjunction with positive behavior programs resulted in improved academic achievement in high risk, minority children (National Research Council, 2002).
2. Increase expectations for low income and low IQ children. It is imperative that practitioners understand that low expectations are destructive to a student’s future and begin to recognize that it is not possible to predict expected levels of individual achievement with the degree of accuracy that would be necessary to deny a child the right to high expectations.

3. When creating individualized education plans for students, educators need to set high, measurable, and relevant goals and make sure that the students are working towards attaining those goals. Practitioners devote a great amount of their time to maintaining paperwork on special education students; these IEP’s must be useful and address instruction along with instructional methods, as appropriate instruction is the basic foundation of educational success.

Recommendations for Policy Makers and Educational Leaders

This research has demonstrated that, for some students, special education is a benefit and for others it is a risk. And although, some positive effects of ESE services were found on student achievement, SLD students continue to lag behind their general education counterparts. Now that the standards based accountability movement has made its way to special education, educational leaders must also be accountable for the achievement of special needs students. It is no longer safe to believe that because a child has a disability that he or she is not capable of meeting the standards. There has to be reform to ensure that all students are achieving up to their maximum potential. Some recommendations for policy makers and educational leaders are:

1. To provide the funding that is needed to make special education programs work. If the premise of IDEA is to provide an individualized education for each student; enable the teachers to provide that individual education by mandating low pupil/teacher ratios in classrooms and grouping students based on their ability and achievement level. Not simply, creating classrooms that are cost effective and including several disability types into one classroom setting. The varying exceptionality class is not effective and creates a chaotic classroom environment, when students with several different disabilities are placed together.

2. Provide teacher training on the latest instructional programs that are research based and are proven to work with low achieving students so that they can provide effective instruction.

3. Provide parents with accurate information (such as achievement data) on the reality of the outcomes of special education and what services are truly offered, not what special education ideally is, before they allow their child to be labeled and enter the programs.

4. Revamp the process for identifying a student as having an SLD. The decision to place a child in a special needs program needs to be firmly based on the child’s response to scientifically based interventions. Before a student can be labeled and placed into the special education program with only a mild academic disability, referral team members need to be able to provide documentation on what methods have been used to meet the students needs as well as providing pre and post intervention data that support the need for a disability label.

5. Provide inclusion services for high performing SLD students in the regular classroom with support by the special education teacher

Policy makers must also make the achievement of SLD students a priority. In the past, the responsibility of educating and handling all the needs of ESE students lied within the ESE department, but they are now to be included with everyone else. Because it was found that for every day that a Black student is in attendance his reading score is improved by .71 points, district and school based personnel must figure out ways to get these children in school to provide them with the education that they need. The message needs to get out to parents that a study has shown that for Black SLD students, attendance is imperative and over time could result in significantly higher achievement levels.
ESE students have been the forgotten group for way too long, it is now time for policy makers to provide them with the special education that was promised to them some 30 years ago with the Education for All Handicapped Children Act and although teachers and central staff are on the front lines with the students daily. Policy makers are creating the mandates that govern what happens in the classrooms. Therefore, a significant reform of the current system for SLD students must come from better, more effective policies.

Recommendations for Universities and Colleges

Effective teaching strategies requires not only well prepared teachers but also high-quality, research based curricula, educational tools and protocols, and tested interventions to support the work of well trained teachers (National Research Council, 2002). There is a great need for expanded investments on the behalf of universities and colleges in teacher education programs based on research that focuses on the results of educational practices. Currently, special education and general education are treated as two separate systems, but the responsibility must be shared in all instructional systems. General education teachers lack the knowledge necessary to effectively instruct students with special needs. In some instances, students in special education programs are treated as if they personally belong to those who work in such programs and relegate the task of educating them to ESE personnel. Because special education students must now be included in all accountability systems, and are no longer solely educated in specially designated classes, everyone who works in the school system must be trained in strategies that relate to different learning styles and abilities. What universities can do specifically to aide in this effort is as follows:

1. Educate all students interesting in becoming teachers, or those in teacher education programs on the proper symptoms of a disability, outcomes of ESE placement, and the implications of having a lifelong disability label.
2. Create research and data driven systems for training teachers. Formal teacher training should be based upon solid research about how students learn and what teacher characteristics are most likely to produce student achievement. Encourage all new teachers to treat children with disabilities as general education children first and require that all teachers devote a small portion of their practicum experiences to learning about the disabled population.
3. Provide scientific literature on new, more effective ways of determining whether or not a child has a learning disability. Research now suggests that the current method of identification of a learning disability can not predict a student’s capacity to achieve at any level of certainty.
4. Conduct research to identify the critical factors in personnel preparation that improve student learning and achievement. While recent research has begun to determine critical factors in instruction, more high quality research is needed on instructional variables that improve achievement of students with disabilities (US Dept. of Education, 2002).
5. Train teachers to provide quality reading instruction. The ability to read is the most critical skill a child can learn and this research has provided evidence that SLD students are not reading on or near grade level. In teacher education programs, very little time is allocated to preparing teachers to teach reading unless they are going for a specific reading certification. “Most teachers of the primary grades take only one course in the teaching of reading, and the average is only about 1.3 courses per teacher” (Goodlad, 1997). Higher education programs must implement programs that are research based and linked to student achievement in the area of reading. “Teachers of children who are at risk of reading difficulties and children with learning disabilities need access to the most recent research to more effectively implement instructional methodologies that are scientifically based” (US Dept. of Education, 2002).

Many teacher colleges and preparation programs have failed to provide new instructors with the knowledge necessary to effectively serve disabled students. It is possible that students at the school...
level are not experiencing academic success because many faculties lack the valid, scientific knowledge necessary to teach children with disabilities today. This problem is often further exemplified due to a shortage of special education trained teachers, administrators with special education knowledge and post-graduate instructors. It is strongly recommended that universities and colleges implement the above recommendations to improve the quality of our nation’s teachers and therefore improve the achievement of our students (US Dept. of Education, 2002).
State Planning Strategies to Implement the Scientific Based Research components of the NCLB Act.

Shereeza Mohammed, 2005

This study explored state level implementation from a planning perspective rather than the evaluative perspective found in the literature which spanned a 30 year period. The planning perspective looks at implementation while it is occurring (formative) while the evaluative perspective looks at planning after implementation has occurred (summative). The formative State implementation of the Scientifically Based Research components of the No Child Left behind Act of 2002 was studied. The results, findings and conclusions of this exploration from the formative planning perspective are expected to provide important feedback into the initial stages of the implementation process, the planning stage and add another point of view to the research literature. The underlying idea of the study was to determine if factors thought to be important at the end of the process were considered in the planning process and if they behaved similarly as predictors of its comprehensiveness. While some of the relationships that resulted could have been predicted from the evaluative perspective other predictors produced unexpected results: Horizontal Linkages, Amount of Knowledge of implementers, Technical Assistance internal and external to the system, Partnership and Coordination, Political Support, as well as Negotiation and Reformulation as a strategic approach.

The three federally funded programs: Reading First, Title I A and Comprehensive School reform were studied. Only the Reading First program produced a viable regression model and was used as the program from which the major conclusions were drawn. Some reasons for the prominence of Reading First included the established but more relaxed guidelines from the Department of Education regarding scientific based research, proven scientifically based interventions, and the luxury of a year and one half to produce its implementation document. The other two programs were not presented with guidelines from the federal government in a timely manner that could be used in the production of their state plans for implementation. Furthermore these two programs (Title I A and Comprehensive School Reform) had a shorter planning window and fewer interventions available that were scientifically based than Reading First. These conditions led to less compliance and small sample size of programs to analyze. These factors might have impacted the generalizability of the final conclusions. With this caveat, three major conclusions were drawn from the study.

Conclusion One

The evaluative literature provided a positive but somewhat inaccurate framework to investigate comprehensive planning at the state level.

Three of the evaluative-based frameworks Goggin et al. (1990), Leithwood and Anderson (1988) and Odden (1991) cited all the capacity, contextual and strategic factors represented in Table 69 as being important in producing effective implementation. This study explored the same factors from a planning perspective to see what effect they may have as predictors of
planned implementation comprehensiveness. Furthermore, three assumptions extracted from the evaluative literature framed the study. It was assumed that:

1. A state’s capacity to implement, specifically regarding its institutional factors, personnel factors and financial resources, affects its ability to plan its implementation comprehensively.
2. The ability of a state’s contextual factors to support its political and inter-organizational factors promotes a state’s capability to plan its implementation comprehensively.
3. The implementation strategy a state chooses will affect the extent of comprehensiveness a state plans to implement. If a state chooses a classical strategy it’s implementation plan will be most comprehensive, less if it chooses a political strategy and least of all with a cultural approach.

Based on these assumptions the study expected to find that if the presence of Capacity, Contextual or Strategic factors were high that it would also lead to higher comprehensiveness of implementation of SBR in the state plan. Table 69 displays that at the sub-factor level some of these relationships varied from what was expected. Table 69 displays two perspectives; the evaluative perspective upon which the assumptions were based and results expected, compared with the planning perspective in which the predictions are based on the findings of this study. Hence for the first Capacity sub-factor, if the presence of Horizontal Linkages is high in the state one would expect that it would have a high effect on the comprehensiveness of the state’s plan and also to indicate a positive relationship. However, the findings of this study indicate that if there is a high presence of Horizontal Linkages, it has a prominent effect on the level of comprehensiveness which can be predicted to form a negative relationship. This was an unexpected finding.

Table 69
*Expected versus Actual Relationships based on Evaluative and Planning Perspectives*

<table>
<thead>
<tr>
<th>Factors</th>
<th>Sub-factors</th>
<th>Expected from Evaluative Perspective</th>
<th>Found from Planning Perspective</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Presence in State</td>
<td>Comprehensiveness of a State’s Plan to Implement SBR</td>
<td>Presence in State</td>
</tr>
<tr>
<td>Institutional Factors</td>
<td>Horizontal Linkages</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>Cross Functional Linkages</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>Vertical Linkages</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>Construct 2: Contextual Factors</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>--------------------------------</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Political factors</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Support of stakeholders</td>
<td>High</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>Inter-organizational factors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>External Technical Assistance</td>
<td>High</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>from Agencies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Partnership and Coordination</td>
<td>High</td>
<td>High</td>
<td>High</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Construct 3: Implementation Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negotiation and Reformulation</td>
</tr>
<tr>
<td>Comply and Exceed Deviation</td>
</tr>
</tbody>
</table>

Note: The research literature assumes that a high presence of a factor, leads to the expectation that it will produce a high effect on the criterion variable of compliance with SBR provisions of NCLB. From the planning perspective Prominent means that the relationship found was statistically and practically significant. Low means the relationship found was statistically
significant but not practically significant as measured by effect sizes. Negative means the factor produced an inverse effect on the criterion variable of compliance. All other relationships are positive.

From Table 69, three of the 16 relationships were found to be the same in both the evaluative and planning perspectives: Cross Functional Linkages; Consequences of the Loss of Funding; and Federal Program Grant. In these cases if their presence in the state was high then it was expected from the evaluative perspective that this would lead to a positive relationship with level of compliance in state plans that had a high effect. This was confirmed in the present study since a high presence in these three factors was found to predict a positive and prominent effect level of compliance in state plans.

Alternatively, seven other relationships were found to contradict the expectations of the evaluative perspective and produce unexpected results. For example, Horizontal Linkage, discussed above, was expected to have a high effect on the comprehensiveness of implementation when it had a high presence in the state. However, its high presence in the state was found to reduce the level of comprehensiveness found in state plans. Thus Horizontal Linkages displayed a positive relationship from an evaluative perspective but in actuality is a negative factor in planning programs and hampers the comprehensiveness of SBR implementation. This could result from the fact that external influence from other state agencies would add ambiguity to decisions that were already mandated.

Likewise the high presence in a state of the Amount and Knowledge of Personnel was expected to be positively reflected in a high level of comprehensiveness of implementation. However, this relationship was also negative and resulted in lower level of compliance in the state plan. Amount and Knowledge of Personnel is normally an essential part of implementation from the evaluative perspective but it took on a negative association in the planning perspective where resources spent in this direction appeared to be unnecessary for a program such as Reading First. Is appears that state planners felt that they had adequate amounts of knowledge personnel for implementation of the program. In fact, it was of low practical significance in their planning priority.

Internal Technical Assistance also produced an unexpected result since in a high presence, from the evaluative perspective, it should have been an important consideration in the level of comprehensiveness of planned implementation. However, this study found that while it was of statistical significance it was of low practical significance. This indicates that state planners of the Reading First program did not appear to place any practical consideration of their level of internal technical assistance. This could be due to their dependence on the availability of technical assistance that would accompany the programs they would implement.

The same tendency is seen in the Political Support of Stakeholders. From an evaluative perspective this would have been an important consideration to ensure that resistance was not a problem in the implementation of the program. This study, however, noted that such support from the state legislature, SEA personnel, LEAs and professional educators were given low priority in the planning of the Reading First program. This is surprising since the Reading First
program is based on a controversial shift in the teaching of reading which many professional educators oppose. However, from this study, it appears that state planners decided not pay it much attention which is indicated by the low practical significance it attained.

Similarly, it was expected that a high presence of Technical Assistance from External Agencies in a state would engender high compliance in a state plan. However, this Contextual sub-factor was also negatively related and its high presence reduced the level of comprehensiveness of implementation in the plans. It was also of low practical significance to planners.

In the same way, high levels of Partnership and Coordination were expected to be mirrored as high level of compliance. However, although it had a prominent effect size, high levels of Partnership and Coordination appeared to obstruct the extent of implementation seen in the plans. Even though Technical Assistance from External Agencies and Partnership and Coordination are benefits from an evaluative perspective, it appears that when planning for a program with pre-existing programs and interventions the need for research partnerships and consensus building reduces the efficiency of the implementation.

The final sub-factor which produced a surprising outcome was Negotiation and Reformulation. Its high presence in a state was expected to cause a low level of compliance, a negative relationship. Instead, its high presence in states actually increased the comprehensiveness of state plans to implement SBR, a positive relationship. From the evaluative perspective, the more negotiation and reformulation that occurs the less that which is implemented resembles the original policy. However, when planning implementation it appears that states intending on engaging in Negotiation and Reformulation actually plan more comprehensively. Moreover, this factor also has a prominent effect on implementation planning comprehensiveness.

Finally six sub-factors normally found to be important from the evaluative perspective could not be studied due to insufficient data: Vertical Linkages; Communication and Decision making; Professional Development needs; Funding Level Restraints; and the strategies of fully Complying and Exceeding that outlined in the law or and Deviating from the law. While this is due to the limitations of this study some of these factors may also reflect further differences between the evaluative and planning perspectives. Further investigation along these lines will be needed to clarify the roles of these sub-factors.

In summary, I found that the evaluative literature useful in providing initial guidance in preparing for this study. What was added to the literature was the inability of some factors i.e., Horizontal Linkages, Amount of Knowledge of implementers, Technical Assistance internal and external to the system, Partnership and Coordination, Political Support, as well as a classical approach, all thought to be necessary to support implementation at the state level were not as useful in producing a comprehensive state plan that met SBR provisions that was approved by the federal government. Perhaps the implementation literature should be viewed in two parts, planning in regard to state and federal levels and a separate set of strategies when implementing from state to local levels.
Conclusion Number Two

Policy makers and implementation planners can use these results to make better and more efficient planning decisions thereby saving time and money.

The six most influential factors related to state compliance with SBR provisions of NCLB are Cross Functional Linkage, Partnership and Coordination, Horizontal linkage, Federal Program Grant, Consequences of the Loss of Funding, and Negotiation and Reformulation. These six predictive factors exhibited statistical and practical significance and should be included in planning decisions by implementation planners and policy makers at the State and Federal level.

The key to comprehensive state planning is found in the relationships established with professionals at the school, district and state levels. For instance, the positive relationship with Cross Functional Linkages meant that increasing the input of teams serving various functions among practitioners and administrators from the school, district and state levels enhanced planned implementation comprehensiveness. For programs like Reading First this explained most of the variance in the plan forwarded to the federal government and therefore was the most important relationship and was of high practical significance.

Unexpectedly partnerships, coordination and linking with research institutions such as: private nonprofits agencies; for-profit consultants; national, regional and state research labs; in and out of state universities and faith base organizations, while politically significant, also proved to be statistically and practically significant. However, it demonstrated a negative effect on the comprehensiveness of the incorporation of SBR components into the state plan submitted to the federal government. In fact, the second most influential factor was Partnership and Coordination and was of high practical significance. However, this factor established a negative relationship with the level of compliance in the state plan meaning that allocating resources to it could be hampering the extent of the compliance for programs such as Reading First. Similarly, the third most influential factor, Horizontal Linkage, also displayed high practical significance but formed a negative relationship with the level of compliance with the provisions of SBR in the state plans; meaning that establishing horizontal linkages with other state agencies can reduce the level of implementation planning.

While forming partnerships and coordinating with stakeholders may be necessary from a political perspective it actually hampers the level and effectiveness of planning found in the state plans. Further, by increasing the input of research partners external to the state-district-school system it becomes more difficult to arrive at consensus which is especially counterproductive when many of the programs and interventions are known and sanctioned by the federal government as is the case in the Reading First program. Perhaps partnerships, coordination and linking with research institutions could have a positive effect on meeting SBR provisions of other programs where the criteria is hazy and there are fewer proven scientifically based interventions to guide states. However, for a program such as Reading First with established criteria and interventions little input can be gained from either research institutions or other state level agencies. Thus resources may be more optimally allocated to other areas to build capacity where there is greater need.
Finances, in the form of consequences of loss of funding and federal program grants, provided the second most positive influence (behind cross functional linkages). These two positive statistical and practically significant factors should be understood by implementation planners and policy makers when developing state plans to implement SBR provisions. For example, Consequences of the Loss of Funding was the fourth most influential factor. This relationship demonstrated that as the level of threat of losing federal funding increased, the comprehensiveness of implementation planning also increased. For policymakers this confirmed the influence of fear that has been historically used as the stick in the well known carrot and stick analogy. It also suggested its continued use to ensure full compliance with the criteria in the Act for programs like Reading First. Furthermore, Federal Program Grant was the fifth most influential factor and has practical significance for implementers and policy funders alike. In this relationship the amount of federal funding of grant programs like Reading First appeared to be an important consideration when states planned how comprehensive their implementation should be.

The ability of the state to negotiate with the federal government on the conditions specified for SBR in NCLB led to more comprehensive plans. Negotiation and Reformulation formed the sixth most influential factor that had a positive and practical significance to implementers. As leverage points in the negotiations, states considered citing funding restraints or intended on engaging in recommendations to the ED to increase provision effectiveness. Such a strategy appeared to be influential and to have an effect of practical significance among state strategies when considering level of implementation planning.

From the above discussion, I concluded that states will be well served to place their emphasis and money on positively related factors of Cross Functional Linkage, finances and negotiation in developing their plans to implement federal mandates at least the ones that were subject to this study. I also recommend that they minimize efforts or expenditures to partnership, coordination and horizontal linkages to the degree that it is politically feasible. The reasonableness of this recommendation would have to be made by policy makers in each state. This order of importance is especially appropriate for mandated programs such as Reading First where most of the preparations in terms of research and identifying interventions pre-exist the planning phase.

### Conclusion Number Three

*If there is any money or energy left, there are other strategies states can use to support the establishment of effective and efficient planning decisions.*

Once the states place their priority on the big three of cross functional linkages, finances and negotiations they should consider using four other strategies that have a statistically significant relationship with planning comprehensiveness but when further analyzed yielded lower levels of practical significance. These are Personnel, Internal Technical Assistance, Political support, and Technical Assistance from External Agencies. Although they produced small effects on planning, their influence is still statistically significant and funding can be allocated to them once the first six influential factors have been considered.
The Amount and Knowledge of state level Personnel is the seventh most influential factor on plan comprehensiveness and compliance with SBR provisions, and forms a negative relationship with it. For a program such as Reading First where most of the work at the state level is putting into effect already established and sanctioned interventions, spending resources to provide increased knowledge of SBR appears to adversely affect the level of compliance a state plans. Hence, states may prefer re-allocating their resources to build capacity in other areas.

Internal Technical Assistance available within the state-district system has the eight most influence on Compliance and has no practical significance. However, for a program like Reading First where much of the technical assistance is provided with the interventions, the amount of technical assistance that the state provides to the district can be given low priority in implementation planning.

Political support has the ninth most influence on plan compliance with SBR provisions. This suggests that the political support for SBR in the Reading First program provided by the state legislature, SEA officials, LEA officials and Professional Educators was statistically significant although of little practical significance with respect to the level of compliance a state used in its planning stage of implementation. It could be that there was no overt opposition at the state legislative or SEA levels and that state planners chose not to consider the possibility of an opposing force from professional educators at the district and school levels.

The last factor affecting compliance with SBR provisions is the level of Technical Assistance from External Agencies. For the Reading First program which already had an established research base to support its interventions; states indicated that allocating resources to getting technical assistance from external research institutions or to develop more SBR products with them, detracted from the level of comprehensiveness with which they planned their implementation. Thus, since this effect is of no practical significance, it was given lowest priority by states.

From the above discussion, I concluded that for a program that is similar in nature to Reading First, Amount and Knowledge of Personnel, Internal Technical Assistance, Political support, and Technical Assistance from External Agencies are to be considered carefully in order to optimize the resources and funding available. However for federally mandated programs which do not have the characteristics of the Reading First program these factors identified above may be more important. Further study would be needed to discern this assumption on my part.

Implications of the Study

This study into the comprehensiveness of implementation of SBR provisions in state plans forwarded to the federal government has implications for several levels of the education governance chain and the research literature on state implementation of federal mandates.

State Level Implications. In regards to getting plans approved by the federal government there was a clear and predictive set of strategies that should be used by the state level: cross functional linkages, the consequences of lost funding, and negotiating with the federal
government. From the conclusions and the model formed in this study, for the Reading First program state planners considered capacity, context and strategy when deciding the extent of their implementation. The six most influential factors can be of greatest use to future planners of mandated programs which have the research backing and technical support as that provided for the Reading First program. In such a case consideration of the level of Cross Functional Linkage within their state-district-school system would be a good basis of deciding the extent of implementation that they can realistically achieve.

Further, it appears that the level and the ease with which LEAs form Partnerships and Coordinate with external agencies are of high importance in programs where research, external technical assistance or professional development is required. However, where such is already available state planners can craft their implementation plans appropriately to avoid misuse of funds.

A similar effect is seen where a SEA forms Horizontal Linkages with other state level agencies to promote their capacity to implement. However, this can become redundant and can be a drain on resources when planning for programs like Reading First. Hence the need to consider Financial Resources in terms of the size of the Federal Grant and the Consequences of losing that Funding which are also prominent in the mind of state planners regardless of the program they are looking to implement.

Conversely, state implementers may consider the level of confidence they have in negotiating some of the conditions in the Act by citing funding restraints. A similar consideration would be their intention to engage in recommendations to the ED to increase the effectiveness of certain criteria. Such an approach appears to give state implementers more confidence to plan their implementation more comprehensively.

However, state implementers must also be aware of the same approach that can be used by districts in their negotiations with them. New York City, one district in Boston, and the district of Madison in Wisconsin have all found success in the reading programs that they had been using prior to Reading First (Manzo, 2004 February 4 and 2005 June 8). Believing in their programs these LEAs tried to negotiate with their states to retain the Reading First funding and find a compromise of retaining their original programs. Eventually New York City lost their fight and had to implement the prescribed programs. The Boston and Madison LEAs, however, are still in negotiation with their respective state departments.

Further, from the model, states should consider factors such as Amount and Knowledge of Personnel, Internal Technical Assistance, Political support, and Technical Assistance from External Agencies. Even though these factors are of less importance they can be source of funds and resources that can be better allocated for optimum implementation.

Ironically, even though these were not the most influential factors when planning, their importance can emerge as implementation evolves. For the Reading First program, for instance, there was a negative relationship with the Amount and Knowledge of Personnel in the planning phase. However, in the actual implementation phase states are finding difficulty in their low levels of personnel and are facing problems recruiting staff members and reading coaches
(Manzo, 2005, June 8). This is not unexpected since Finding Number Four in chapter 5 indicated that one-quarter of states were operating with a below average level of personnel. Hence for those states this should have been a serious consideration when planning their implementation.

Similarly, Model II indicated that political support was of low importance to state planners. However, as the implementation proceeds with Reading First, the dissenting voices have emerged among stakeholders such as Professional Educators and LEAs. In fact, many have noted that a select group of researchers, their products and associated publishers are being easily approved for federal funding whereas other programs have been refused the grant (Manzo, 2004, September 8). Therefore the findings of this study suggest that when state implementation planners are considering a program such as Reading First all ten factors should be carefully considered with respect to the uniqueness of their state.

**Federal Level Implications.** The federal level also had a clear set of strategies that positively influenced state compliance such as providing grants and constructing mandates that use loss of federal funding as a consequence of non compliance. Funding from the federal government in terms of the grant amount is without doubt an important consideration in planning. In fact, for the Reading First program many states have prepared their own lists of approved reading programs so that LEAs will be limited to those commercial reading programs that have already gained easy approval for federal funding (Manzo, 2004, February 4). In this study the amount of federal funding released for the program was a highly influential strategy. This confirms many findings in the literature especially in the three frameworks used for this study (Goggin et al., 1990, Leithwood and Anderson, 1988, and Odden 1991). These findings all point to the positive impact on implementation of increased federal funding.

Similarly, the consequences of losing funding or not meeting deadlines have also been shown to impact how comprehensive a state’s plan is to the criteria in the Act. For the Reading First program, for instance, state directors have encouraged the implementation of programs that have shown increased student achievement in a two year period so that they reduce the risk of losing funding (Manzo, 2004 February 4). Hence, the treat of lost funding has propelled the use of a certain limited subset of programs. Thus it appears the compliance levels found in this study were enhanced when the state feared the consequences of losing funding. Where states were concerned about the loss of funding or not meeting deadlines their level of implementation planning was more comprehensive.

The differences in how policy is constructed and regulations and guidelines are written are also important implications of this study. When the three programs Title IA, Comprehensive School Reform and Reading First were examined only the latter appeared to show factors that could significantly affect the extent of implementation a state plans. The first observation to note among these programs is the submission requirements and dates for the plans for each program. First the ED required a separate plan specifically for the Reading First program unlike the other two programs which were part of the Consolidated State Application that also addressed 13 other programs. Using a separate plan, although requiring more personnel and work hours to produce, can allow more details to be addressed at the program level. This, therefore, increases the chance that states will consider and implement the program more comprehensively.
The second observation is the submission date. Whereas for the Title IA and Comprehensive School Reform programs states were given less than five months (from January 2002 to June 2002) from law signing to submission due date; the Reading First program was given an extra year, submission date July 2003. This may explain part of the reason that the Center on Policy found that implementation in the Reading First program exceeded both Title IA and Comprehensive School Reform in their 2004 report (CEP, 2004).

Finally, for programs where a preparatory phase has preceded its enactment the products of this phase boosts the rate of implementation. For instance, in this study since the research on interventions and programs were available, the SBR criteria was made clear and the SBR standard was lowered for Reading First program before the law was enacted; state planning was more comprehensive. Further, because of this preparatory phase states did not need Horizontal Linkages with other state agencies, Partnerships with research institutions or Technical Assistance from External Agencies. Additionally, there was less reliance on state Political support and on increasing the Amount and Knowledge of their state level Personnel. Thus the preparatory phase enhanced the ability of the state to implement it and so the mandate format of the policy was easily translated into comprehensive implementation planning.

Implications for Policy Implementers

The findings of this study can be of use to policy implementers at the district and school levels in reminding them to consider the strength and sufficiency of their cross functional linkages which can be influential for the level implementation they can attain. They should also be cautious about forming unnecessary partnerships which can present obstacles in finding consensus for decision making to be translated into action. Another implication is the need for implementers to remember the consequences that accompany the loss of funding to avoid such dire costs. It is also good if implementers are aware that they can provide essential feedback from a practical perspective to state program directors who can then have evidence with which to negotiate and bargain with federal representatives. In this way, bottom up responses to the policy can direct its re-crafting or reformulation to a more realistic form. Alternatively, implementers can, like the Madison district, mentioned earlier in this chapter, attempt to negotiate with state program directors to attain their own adaptations of the program.

Implications for Researchers

This was an exploratory study to see if a predictive model could be formed between capacity, contextual and strategic factors and the extent of implementation planning. The study produced such a model. The strength of the model produced by explanatory power and its replicability is encouraging in the sense that similar findings are possible for further work in this little explored avenue of the field of implementation.

What this model also demonstrates is the link between research and practice, the underlying goal of SBR and the evidence based practice movement. In fact, since ten of the variables previously used to evaluate implementation are now linked to its planning through this study, this suggests that the implementation theory is being used by states in their practice.
In this study, while a model was found for the Reading First program none was produced when all the programs were combined or when the other two programs were individually examined. The latter could be due to the small sample sizes or due to the manner in which their implementation plans were combined with others in the Consolidated State Application or had to be submitted in a very restricted time frame. These are considerations for further research. Hence when choosing programs to investigate, examination of the planning context is advised to ensure that adequate time and consideration was given to the planning phase. Further studies could also include using a more appropriate indicator of state wealth than Median Household Income to determine the importance of this link with respect to planning as established in the literature.

Of particular concern is the lack of research expertise which was found at the state level but which did not impact the Reading First program since it was already provided. Therefore further research could investigate the impact this void could have on the implementation of programs such as Title IA where not enough guidance has been given to define the SBR criteria resulting in no federally sanctioned list of programs or interventions to follow.

Another type of question raised by this study is how the Contextual and Strategic factors act as mediating factors in the Capacity/Compliance relationships when all the programs are combined and yet appear to have direct effects on Compliance in the Reading First model. These are just some of the issues worthy of further investigation in this comparatively new avenue of implementation planning.

Recommendations for further Research

Taken as a whole, this study illustrates that implementation planning is a viable research area worthy of further investigation for which the existing evaluative perspective can act as a foil. In order to build such a comparative body much more research is recommended. First, it is recommended that more studies be done using programs similar to the Reading First program where a preparatory phase exists before the policy is enacted to see if the results of this present study can be replicated. The more studies that are able to confirm these findings the more evidence will be produced to increase the generalizability of the findings of this foundational study.

Conversely, the second recommendation is for further study using other types of programs where a preparatory phase does not pre-exist the policy’s enactment. This type of study would clarify if the differences between the expected relationships and those found in this study were due to the nature of the Reading First Program or to the characteristics of the planning perspective that are distinct from the evaluative perspective. Even though Title IA would have been a good contrasting program for such a study the sample size was too small and the reduced preparation time for implementation planning presented a problem. This leads to the third recommendation.

It is strongly recommended that when choosing programs for the study of implementation planning future researchers consider the submission criteria and time for plans to the federal government to ensure that the planning phase had the full advantage of time to plan as comprehensively as possible. Once the relationships that promote and predict the
comprehensiveness of implementation are established; then the limiting effects of planning time can be studied.

Additionally, a longitudinal study is recommended that will investigate the planning phase, the implementation phase and the evaluative phase to see if the factors affecting each phase are similar or different for a single program. Further, if the practical importance of these factors can be examined and traced through the lifetime of a program then the manner in which they vary with respect to a phase can be theorized. After confirmatory studies are conducted if such a theory can be developed, then an administrator who inherits a program at any stage of its lifetime will be able to do a factor assessment to make changes and allow for the optimization of its implementation.

Finally, Goggin et al. (1999) uphold the feedback nature of implementation from the implementers to the policy makers as crucial for the refinement of the program. This occurs in continuous cycles until it most realistically fits the context within which it is implemented. It is believed that such an incremental approach ultimately leads to successful program outcomes. Since further research cannot overlook this important aspect of implementation, it is strongly recommended that future studies focus on the effects of the feedback mechanism on planning and re-planning for each cycle that occurs.

With particular reference to this study two other important questions are recommended for further study. First the influence of contextual and strategic factors seems to be both direct and indirect. In Model II the contributing contextual and strategic factors were acting directly on Percent Compliance. However, earlier when their effects were controlled they appeared to be acting as mediating variables and indirectly impacting the Capacity-Percent Compliance relationship through the Capacity factors. Hence further research is recommended to clarify the effects of both Contextual and Strategic factors.

Second, six sub-factors normally found to be significant from the evaluative perspective were not found to be significant in this present study: This could either be due to the limitations of this study or from an actual difference between the evaluative and planning perspectives. Further investigation along these lines is recommended to clarify the roles of these sub-factors: Vertical Linkages; Communication and Decision making; Professional Development needs; Funding Level Restraints; and the strategies of Complying and Deviating from the law.

Although the above seven recommendations center around implementation planning, further research is also important for SBR. For instance, further research is recommended on the effects of the lack of educational research expertise will have on implementing SBR programs. This is especially poignant for programs like Title IA where there is no federal guidance. In such a case SEAs and LEAs will have to either create their own internal technical assistance to choose appropriate interventions or depend on external sources of technical assistance.

In conclusion, I believe that the paradigm shift toward scientifically based research has profoundly impacted both the worlds of educational research, policy implementation and practice. Future research endeavors to clarify issues that surround the implementation of this
influential set of ideas is strongly recommended since they will certainly benefit all those involved in evidence-based practice as well as those in the field of policy implementation.
THE THREAT OF SCHOOL CHOICE AND
CHANGES IN PUBLIC SCHOOL ORGANIZATIONS

Jeanethe D. Thompson - 2004

This study tested the assumption that faced with the threat of losing students via vouchers public school principals would make changes in their organizational practices to improve their schools and avoid this occurrence. Two variables were investigated: (a) the level of threat and (b) school organizational practices. Data were collected using a 55-item mail survey-questionnaire, structured to assess changes in school organizational practices perceived by teachers at the randomly selected schools. The School Organization Teacher Survey was field-tested twice to check reliability and validity. Cronbach alpha values were 0.88 and 0.93 for the pilots.

The unit of analysis for this study was the school. Eight hundred (800) surveys were sent to 160 schools; 331 representing 112 schools were completed and returned for a response rate of 71.3%. Descriptive statistics, multiple regression, and analysis of variance techniques were utilized to determine whether and to what degree relationships existed between the independent variable of grade and threat and the dependent variable of change in the organizational practices by the principals.

The results of this study are consistent with the literature on public school choice or market theory. First, a strong relationship was found between school choice and changes in school organizational practices. Faced with the voucher threat, Florida public school principals made changes in teaching conditions, enhancing opportunities for student learning, and encouraging parental involvement. Second, the level of threat felt dictated the level of response by principals. Principals at low performing schools felt a greater sense of urgency and responded more quickly and to a greater degree. Principals at high performing schools, on the other hand, did not feel this threat and did not make changes in their organizational practices.

The results from this provide support for the use of choice as a mechanism for school reform, since, as the results indicate, principals made changes in their practices to improve the performance of their students when faced with the threat of losing students to other schools through vouchers or opportunity scholarships.

Conclusions

This study investigated the relationship between the threat of school choice via opportunity scholarships and changes in school organization. The results that were reported in Chapter 4 supported theories predicting the response of traditional public schools to competition (Brandl, 1998; Chubb & Moe, 1990; Friedman, 1962; Hadderman, 2000; Hess et al., 1999; Hoxby, 2001; Peterson & Noyes, 1996; Viteritti, 1996). Several conclusions can be drawn from this study that add to the theory of school choice in general and the use of vouchers in particular. The strong response rate of 71 percent allows us to confidently interpret the findings and gives value to them, since the random sample used in this study represented approximately one third of Florida’s 67 school districts.
Conclusion Number One

The analyses of this study suggest that there is a strong relationship between the threat of school choice via opportunity scholarships and changes in school organization. Faced with the voucher threat—the threat of losing students and thereby valuable FTE dollars, Florida public school principals have responded by making changes in the running of their schools. They made positive changes: they improved teaching conditions, enhanced opportunities for student learning, and encouraged parental involvement. In effect, principals buffered pressure from the outside that might interfere with teaching; spent more time in classrooms helping teachers to improve their teaching and solve classroom problems; established clear goals and priorities, and controlled student misbehavior as well as routine duties and paperwork that interfered with teaching. Principals also enhanced the learning environment by supporting teachers’ efforts to improve the curriculum, lowering class size and providing tutoring for students before/after and during the school day and on Saturdays. Lastly, principals kept parents informed of services and programs through newsletters, flyers and other media and increased contact with parents through notes, letters, progress reports and home visits.

Additionally, as indicated in Table 36, almost all of the schools examined improved their performance on the FCAT from 1998-1999 to 2003-2004.

Table 36

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More importantly, 98 percent of the low performing schools showed an improvement. Two schools declined from “D” to “F.” Thus, it seems, school choice via opportunity scholarships has triggered changes in school organization, resulting in school improvement—the effect of the “rising tide” on all boats, as Caroline Hoxby (2001) termed it. Although her studies
involved de facto choice, especially in large metropolitan areas such as Boston, with 70 independent districts in close proximity, her conclusion is applicable: “Interdistrict competition appears to raise performance while lowering costs—the result predicted by market enthusiasts” (p.3). In the case of Florida, the focus of this research, the competitive effects of vouchers have had a positive effect on traditional public schools, at least in the achievement of students as measured by the State on the FCAT. Perhaps, as Hoxby also concluded: “[I]f every school in the nation were to face a high level of competition both from other districts and from private schools, the productivity of America’s schools, in terms of students’ level of learning at a given level of spending, would be 28 percent higher than it is now” (p. 3).

Conclusion Number Two

The level of the threat felt dictated the level of response. This relationship is clearly evidenced by responses of principals at low performing versus those at high performing schools. As predicted, the former felt a greater sense of urgency and, therefore, responded more quickly and to a greater degree. Principal at high performing schools, on the other hand, did not feel this threat and did not make changes in their practice. This relationship is depicted in Table 33.

This level of threat effect supports previous findings (Greene & Hall, 2001) in their case study of the CEO Horizon Scholarship Program in the Englewood Independent District. The researchers examined the effects of this large-scale voucher program on education practices and student achievement and found “negligible results,” which they attributed to the low level of threat felt by school leaders, who were buffered financially by state and other funds. They concluded that:

Absent the threat of a large financial loss, the effects of a voucher program on public education are therefore likely to be weaker than what may have been envisioned by the designers and proponents of school choice. And to the extent that the threat of financial loss is not immediate, the effects of a voucher program may emerge later than expected. (p. 31)

Thus, for the competitive effects of market-based school reform to drive school improvement, the level of threat has to be great enough to motivate teachers and administrators to change their practice or overcome resistance (Hess & McGuinn, 2002). This was the case for the low performing schools studied.

Conclusion Number Three

These conclusions provide support for the proponents of vouchers as a means of school reform. These conclusions can be used to advance the debate on school choice in general and vouchers in particular. Caution, however, should be used in generalizing these results, since the actual sample of teachers responding to the survey-questionnaire is considerably less that ten percent of the teachers in Florida public schools. Furthermore, other that the 2001a Greene study, there is no trend data available to determine the sustainability of these findings.

Implications for Practitioners
This research underscores the fact that the role of school leadership is critical in the reform process. Even in districts that remain insulated, principals responded as the competitive pressure increased; they felt the effects more directly and responded more quickly (Teske et al., 2000). Effective schools literature and studies on high performing schools (Chubb & Moe, 1990) argue that school leadership is critical to student performance; the principal is the “spark plug to accelerate change in their system and provide leverage for reform” (Negroni in Teske et al., 2000).

Based on the results of this study and conclusions drawn, the following recommendations are made to principals of traditional public schools. If faced with the eventuality of the school being graded as low performing, first and foremost, examine the organization of the school; in particular, look carefully at the constructs documented in this study. As the literature indicates (Chubb & Moe, 1990), next to the student’s own ability, the most influential factors in student achievement are family background and the organization of the school.

**Implement changes in teaching conditions**
1. Buffer teachers from pressure from outside the school that might interfere with teaching.
2. Increase the use of technology and help teachers to use it effectively.
3. Spend more time in classroom helping teachers to improve their teaching and solve problems.
4. Allow other teachers and parents to assist teachers to improve their teaching and solve classroom problems.
5. Establish clear goals and priorities.
6. Monitor student misbehavior and paperwork that interfere with teaching.

**Enhance opportunities for student learning**
1. Encourage teachers to experiment with their teaching.
2. Follow through on initiatives and new programs that are launched.
3. Support teachers’ efforts to upgrade, refine and otherwise improve the curriculum.
4. Make every effort to lower class size.
5. Place a strong emphasis on professional development and in-service activities.
6. Provide tutoring for students before, during and after school.
7. Provide Saturday School.

**Encourage parental involvement**
1. Use newsletter, flyers and other media to explain services and programs to parents.
2. Use parents to volunteer in classroom and on fieldtrips.
3. Have teachers make face-to-face or telephone contact with parents.
4. Allow parents to observe classroom teaching.
5. Send home letters, notes, and progress reports to inform parents.
6. Make home visits to parents.

Implementing these changes in teaching conditions and opportunities for student learning is the first step in improving the performance of the school and avoiding further sanctions. Of
course, schools do not have to be rated a “D” or “F” to benefit from these changes; improving one’s practice in these areas is simply good strategy.

These findings also support the recommendation of encouraging parental involvement. This is recommended for school principals and district level policy makers as well. When schools are more appealing and “customer friendly,” parents are more apt to stay, even if given the choice of transferring their children. In considering the parental perspective and co-opting the competitive process by offering the satisfaction and appeal of private or charter schools (Teske et al., 2000) dividends will be reaped. Parents will feel ownership—a sense of “belonging” to their schools, a will be more likely to support change from within.

Although Florida policy makers are sympathetic to equity concerns, they believe that the market hypothesis and competition are positive forces in education (Laitsch, 2002). Not only have they created a statewide voucher plan based on grades rather than income, but also they have implemented the McKay Scholarship for Special Education students, and the Corporate Scholarship program that low-income students may utilize (School Vouchers, 2000). In all probability, then, the A+ Plan will be around for a very long time given the outlook of Florida’s policy makers. It is, therefore, strongly recommended that principals and district leaders alike focus their attention on improving school organization, which for many will involve making changes in their practice.

Implications for Policy Makers
The results from this study have implications for policy debates about school reform and school choice options. Specifically, it provides support for the use of choice as a mechanism for school reform, since, as the results indicate, principals made changes in their practices to improve the performance of their students when faced with the threat of losing them to other schools through vouchers or opportunity scholarships. This is exactly the argument of the proponents of high-stakes testing, the Governor of the state of Florida being one of the most vocal. The results from this study, which involved 109 schools in 22 of Florida’s 67 counties, certainly support one of the major premises of the Bush/Brogan A+ Plan for Education that sanctions work; albeit, such sanctions intricately involve choice options for students and parents.

Both Thomas Paine (1792) and John Stuart Mill (1859) argued that government should not only fund the education of its citizens, but also allow them to attend the school of their choice. At a glance, the policy makers of Florida have attempted to do this through the implementation of the Opportunity Scholarship Program under the A+ Plan for Education; however, the sanctions that are used to trigger the issuance of these vouchers run counter to the intent of these philosophers. In their view, choice was a “right” for all rather than a means to grant access for a few.

Furthermore, the voucher threat only worked for low performing schools, where principals felt a great sense of urgency and made changes in their practices that led to school improvement. At high performing schools, where the urgency was not felt, this threat did not induce principals to make changes in their organizational practices. Thus, this calls into
question the use of sanctions as a vehicle for school improvement. Perhaps it is time to focus on the carrot instead of the stick; it is time to find a means to encourage all schools to improve.

As the 2004 Quality Counts report indicates, Florida ranks in the lowest third when all 50 states are compared on educational standards (Quality Counts, 2004). This, of course, includes all Florida schools, be they graded high performing or low performing on the FCAT. Thus, it is strongly recommended that policy makers shift their focus and place more emphasis on the comparison of Florida standards with the rest of the nation and provide the means for all schools to improve. Rather than let the A and B schools that are comfortable with these labels based on Florida standards “off the hook,” they should hold them to the higher national standards and force them to perform up to their potential.

Implications for Research

This study extends the research on school choice. In particular, its focus on choice from the perspective of the principal, the instructional leader of the school—the individual with the authority to make changes in the organization of the school, an area that has been overlooked in the research on choice. Thus this study helped to fill this need to look at choice beyond its effects on “choosers.”

Additionally, these results are consistent with the literature on public choice or market theory (Chubb & Moe, 1990; Dunleavy, 1992; Murphy, 1996) that espouse the concept of controlling education through markets, built around parent-student choice. By forcing schools to compete for students, all will eventually benefit, since school leaders will endeavor to make their schools “marketable.” Everyone, these theorists claim, would benefit since the competitive threat generated by a market would force public schools to improve their organization (Brandl, 1998; Friedman, 1962; Hadderman, 2000; Hoxby 2001; Peterson & Noyes, 1996; Viteritti, 1996).

The findings from this study indicate that, faced with the voucher threat, school leaders made changes to improve teaching conditions, increase opportunities for student learning, and encourage parental involvement. Such changes are desirable and undoubtedly positive; however, a word of caution is in order. This study only examined the impact of the competitive threat on four leadership dimensions: how principals consult with staff, improve teaching conditions, enhance opportunities for student learning, and encourage parental involvement; the last three of which seem to have had a positive impact on student achievement. An examination of the impact of competition on other areas of school organization still needs to occur as well as assessment and identification of what practices were changed and their effect, if any, on student achievement. Thus, more time has to be allowed to determine if these changes merely increase scores on concepts and skills tested on the FCAT or truly improve the quality of schooling; if these changes are only an initial reaction or will be sustained and intensified over time (Hess et al., 1999).

Likewise, only time will tell the full effects of students exercising their choice options to transfer out of failing schools under the A+ Plan. Will those schools simply go out of existence or, will they become traps for the poor “non-choosing” students with no one to advocate for
them? (Gill et al., 2001; Viteritti, 1999). I venture to say that the implementation of the No Child Left Behind Act of 2001 will accelerate this process. Already, in this its third year, many schools (40 percent in Miami-Dade County) have been declared as failing to make Adequate Yearly Progress (AYP), which gives parents and students the right to transfer from these “non-AYP” schools to high performing public schools (Pinzur, 2004).

In sum, the findings from this study suggest that there is a strong positive relationship between the voucher threat and changes in school organization in the short term. However, further research and time are needed to determine the long-term effects of this phenomenon and their greater implications.

Recommendations for Further Research

The related literature and data from this study indicate that there is a need to extend the examination of the school choice issue from the perspective of school leaders in general and principals in particular. The current study focused on the response of principals to the threat of vouchers; that is, the relationship between this threat and changes principals made in their practice in the running of their schools. It is recommended that future research extend this study to investigate relationship between the threat of school choice and changes in principals’ practice beyond the four leadership dimensions studied herein to the full spectrum of effective schools’ correlates that are much broader and include the culture of the school.

It is also recommended that further research investigate the long-term effects of the competitive hypothesis on changes in principals’ practices to determine if these initial observations prove fleeting and succumb to an early ceiling effect, or are sustained and increased over time.

Additionally, it is recommended that future research investigate in depth the changes made by principals in response to the voucher threat vis-à-vis the changes in the performance grade of the school. This would test the effect of the market theory premise embedded in the A+ Plan much more fully.

Finally, it is strongly recommended that future research focus on the changes themselves that principals made to determine those that were most effective in bringing about positive change, with the goal of developing a model for school improvement. Research in this area would be very beneficial, especially in light of the great need created for school improvement by the implementation of the No Child Left Behind Act of 2001.

Final Observations

In 2002, Justice Kevin P. Davey of the Leon County Circuit Court struck down Florida’s statewide voucher program as violating the State’s constitutional prohibition on state aid to religious institutions (Holmes v. Bush, 2000). This decision was appealed and is still pending; however, the Governor and Florida Department of Education have proceeded with all deliberate speed in its implementation. Each year, yet another facet of the A+ Plan takes effect. As noted earlier, the federal No Child Left Behind Act of 2001 reinforces, and, in some instances, extends the sanctions built into Florida’s plan. As Deputy Secretary of Education noted to Commissioner Horne, “Choice is a permanent part of the public school landscape in Florida”
(E.W. Hickok, personal communication, June 15, 2004). The threat of vouchers has, therefore, become more real for greater numbers of schools districts and school leaders.

Moreover, although greater numbers of students are qualifying for choice, the right to transfer out of their “failing” schools to more high performing ones, there is a limited capacity to accommodate them. If the situation in Miami-Dade County is any indication, fulfilling this option is an almost impossible task, given the overwhelming number of students who qualify to transfer to more highly graded schools or schools that have made Adequate Yearly Progress (AYP). This situation is compounded by the fact that these “receiving schools” are, for the most part, located some distance across the county. It, therefore, behooves practitioners to seek all avenues to bring about improvement. Thus, although competition seems to work, maybe more consideration should be given to the concept of cooperation—cooperation among staffs, cooperation among schools and cooperation among districts. Perhaps by making a concerted effort to learn from each other, we can avoid the stick and benefit from the carrot.
A number of conclusions drawn from this study add to the theory of mentoring and to the practical application of mentoring relationships as a strategy for community college leadership development.

**Conclusion Number One**
Community college presidents are mentoring protégés in whom they see potential to become community college presidents. In this study, six of the 45 protégés (13.33 percent) became community college presidents during or following the mentoring relationships. Newer, less experienced community college presidents appear to be less engaged in mentoring potential new presidents. The availability of experienced, mentoring community college presidents is decreasing due to increased retirements. Newer presidents need to be made aware of mentoring activities and trained to incorporate those activities into their agendas.

**Conclusion Number Two**
In general, the mentoring relationships of community college presidents follow the traditional definition of an older, wiser person sharing knowledge with a younger, less experienced person. Minority representation in the mentors and protégés does not reflect the diversity of community college students; however, mentoring of and by minorities is taking place, although at a lesser rate.

**Conclusion Number Three**
Mentoring activity does predict protégé career advancement. The model used for this study explains over 50 percent of the variations of the factors involved in mentoring a protégé toward a community college presidency.

**Conclusion Number Four**
Protégés value the mentoring relationship and consider the mentoring relationship beneficial to their careers. Community college faculty and administrators with interest in a presidency should be encouraged to seek out community college presidents as mentors.

**Conclusion Number Five**
A broad range of mentoring activities should continue to be pursued, with both mentors and protégés being trained in awareness of the options and recognizing them when they occur. Given the political nature of the community college president’s position in establishing trust with faculty and staff, answering to a Board of Trustees and in responding to the local and state business and economic community, the teaching of the politics of the job may be the most important activity in which s/he can mentor a potential community college president. This will ensure that potential presidents are adequately prepared for the rigors of the job.
Conclusion Number Six

The longer the mentoring relationship lasts, the more opportunities for mentoring activities and career advancement occur. Duration is the contextual variable that adds the most predictive accuracy to career advancement of the protégé in a mentoring relationship.

Conclusion Number Seven

The willingness and ability of both mentor and protégé to develop and maintain an enduring mentoring relationship are significant in aiding the protégé toward career advancement. Career advancements have occurred during the mentoring; however, not all factors in career advancement were addressed.

Implications

The implications of this study are presented in the following five sections. First, implications for community college presidents are addressed, followed by implications for individuals aspiring to a community college presidency, implications for mentor/protégé pairs, implications for the community college system and implications for university leadership development programs.

Implications for Community College Presidents

Since the majority of the community college presidents responding to the Phase I online survey indicated they had mentored or were mentoring persons with potential to be community college presidents, it would appear that there are strategies and techniques to arrange a community college president’s schedule to make time to mentor individuals in whom they see the potential to be a future president. These strategies and techniques should be part of a mentoring training program for new community college presidents.

In order to expand the diversity of the community college presidency to reflect the demographics of the students, purposeful mentoring of minorities must increase (McPhail, 2002; Pando, 1992). Both white and minority presidents should seek to fill this gap by identifying potential minority administrative talent within their own colleges (Vaughan, 2001).

Presidents should select a protégé purposefully and carefully, focusing on one person at a time if possible (Vaughan, 2001), and if favorable to enduring, be patient in allowing the relationship to mature. Community college president mentors may find it useful to evaluate any current mentoring relationships by seeking the protégé’s voice and inquiring of protégés how beneficial and valuable these mentoring relationships are to them.

While the mentor’s intentions should be informed, trained and purposeful, it is ultimately the protégé’s reception and perception of the mentor’s intentions that determines the quality of the mentoring relationship and value/benefit of the experience. The mentor’s perception of the amount and quality of mentoring is often higher than the protégé’s perception due to the mentor’s intentions and beliefs that he or she is mentoring at a certain level (Alleman, 1988).

This implication is consistent with the emphasis placed on protégé voice in the research of Eby et al. (1999), Godshalk & Sosik (2000), Hansman (2002), Sosik & Godshalk (2002),

Mentor behaviors and their effects on protégés depend largely on how they are perceived by the protégé and these effects change depending upon the composition of the mentoring relationship. (p. 104)

Presidents need to pass on the wisdom and experience they have in the political nature of the job (Barwick, 2002; Hoyle, 2002; Mellander, 2003; Vaughan, 2000). It is especially crucial that potential presidents understand the workings of a board of trustees, the legislative bodies and the economic and business stakeholders in the community (Hoyle, 2002; Little, 2002). In teaching the politics of the community college presidency to protégés, mentors need to explain how actions and strategies fit with business objectives, discuss undercurrents, hidden agendas and body language after meetings, instruct about potential political pitfalls, help anticipate and allow for the reactions and responses of others, provide key political tips that are clear, specific and accurate, warn of and suggest ways for dealing with pending political risk, discuss possible scenarios, and teach strategies for dealing with ineffective or hostile superiors (Alleman, 1988).

**Implications for Individuals Aspiring to a Community College Presidency**

Aspiring community college presidents can benefit by seeking out current presidents to be their mentors. Protégés seeking a mentoring relationship should seek one with possibilities for a long-term relationship in the same institution or a neighboring one so that they are not separated by great geographic distance. Protégés also benefit by being trained to recognize potential mentors with whom enduring relationships can develop, prepare realistic expectations for the relationship, and assess effective mentoring activities.

**Implications for Mentor/Protégé Pairs**

Mentors and protégés should both become aware of possible mentoring activities in all guiding, helping and encouraging areas. Anecdotally, one of the mentor/protégé pairs contacted the author following completion of the AMAQ to relate that both had benefited from participating by being made aware of mentoring activities neither had considered previously. “Providing challenge” must be understood as both a positive and a negative in the high levels of agreement in mentor and protégé plotted scores (Alleman, 1988). A mentor may perceive providing challenge as a gift of opportunity, while a protégé may view providing challenge as making life unbearably difficult. Mentors may need to communicate the reasons they assign or direct protégés toward challenging tasks.

Mentors and protégés should be persistent in their mentoring relationships to gain the benefits of being in a long-term relationship. In eight of the nine mentoring activities, high level mentoring activity-scoring agreement occurred in relationships with longer average durations.

**Implications for the Community College System**

The community college system should continue to encourage mentoring relationships to develop, especially among minorities, and continue to offer a variety of opportunities for training both mentors and protégés to be aware of possible mentoring activities (Fisher, 2002; Little, 2002;
Vaughan, 2001). New and experienced presidents may need training from mentoring presidents in strategies and techniques to manage time for mentoring activities. Training may also include how to identify potential minority candidates for future presidencies, especially focusing on cultural and ethnic communication patterns.

Boards of trustees committed to nurturing future community college administrators must make mentoring a top priority, allowing president’s time for one-on-one interaction with a protégé.

**Implications for University Leadership Development Programs**

University leadership development programs should continue to incorporate mentoring and internship opportunities into the formal structure of the programs. The curriculum should include information about the various types of mentoring activities so that aspiring community college presidents can identify and request specific activities in their mentoring relationships. McPhail (2002) suggests universities employ community college presidents and senior level administrators as adjunct faculty or mentors. Graduate programs need to devote time to networking and collaborating with community college leaders and professional associations to develop mentoring relationships for their students.

**Recommendations for Further Research**

Recommendations for future research include the following:

1. Study specific minority groups to discover what mentor/protégé pairs exist and what their mentoring activities are.
2. Determine what barriers exist to mentoring relationships in the community college system – especially for minorities.
3. Determine how and whether existing training programs for mentoring include information on how to identify potential protégés, what mentoring activities are possible, role play to practice mentoring behaviors, and opportunities to access a “mentor about mentoring.”
4. Seek to learn the stories of mentoring relationships that have endured for a decade or more.

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ORGANIZATIONAL SERVANT LEADERSHIP AND ITS RELATIONSHIP TO SECONDARY SCHOOL EFFECTIVENESS

Joel David Herbst - 2003

The purpose of this study was to determine if schools where higher degrees of servant leadership were practiced performed better than schools that practiced lower degrees of servant leadership. Servant leadership is the understanding and practice of leadership that places the good of those led over the self-interest of the leader. The characteristics of servant leadership include valuing people, developing people, building community, displaying authenticity, providing leadership, and sharing leadership. Variables utilized to determine the relationship between servant leadership and school effectiveness included the Florida Comprehensive Assessment Test (FCAT) test scores in writing, reading, mathematics, annual learning gains in mathematics, annual learning gains in reading, annual learning gains made by the lowest 25th percentile of students, attendance, dropout rates, and critical incidents. Additionally, contextual variables were examined to determine their relationship between servant leadership and school effectiveness. Contextual variables included principal tenure, socioeconomic status, ethnicity, and school size.

The primary means of data collection for this exploratory quantitative non-experimental study were obtained utilizing the Organizational Leadership Assessment (OLA) instrument developed by James Laub (1999). This study gathered data from 24 high schools (N=24) in Broward County, Florida. Each school was provided with 46 servant leadership surveys for completion by the school principal, 5 assistant principals, 12 department chairpersons, and 28 instructional staff members. A total of 1,104 servant leadership surveys were distributed and 884 were returned resulting in an 80 percent aggregate return rate.

The data were subjected to correctional analyses utilizing a .10 level of significance due to the exploratory nature of the study. The major find of this study was that positive relationships were found to exist between servant leadership and student achievement. The study also found a relationship of bipolarity between servant leadership and ethnicity. However, the study did not find any significant relationship between other contextual variables and servant leadership.

In general, in schools where greater degrees of servant leadership are being practiced, students are achieving at a higher rate than in schools were lower degrees of servant leadership are being practiced. The findings lend support to the conclusion that principals who embed the characteristics of servant leadership throughout their organizations may expect high levels of student achievement, particularly in mathematics, reading, and annual learning gains.

Conclusions
A significant finding of this research was the difference in achievement for those schools with higher levels of organizational servant leadership. From this research, it can be concluded that principals who embed the characteristics of servant leadership throughout their organization may expect higher levels of student achievement particularly in math and reading. Although it maybe
premature to draw definite conclusions regarding the importance of organizational servant leadership and student achievement, this body of research and the extrapolation of research from the literature review highlight its importance.

**Recommendations for School Principals**

A purpose of this study was to explore the relationship of organizational servant leadership characteristics on school effectiveness variables. Several significant relationships were discovered that provided a positive relationship between organizational servant leadership and student achievement. Therefore, one could posit that imbedding servant leadership characteristics into the leadership style of the principal would thus help to shape a servant organization and subsequently result in higher student achievement. The reengineering of the principals style of leadership and consequently his or her decision making processes focusing on valuing people, developing people, building community, displaying authenticity, providing leadership and sharing leadership would stimulate a much needed internal revolution focusing not on the influence of the principals leadership style but rather on the development of the organization and its leadership capacity within our schools. It is critical that the success of the school not rests on an individual's leadership ability. Building a school organization into a critical mass will serve to combat the institutional loss of an exceptional administrator. As Greenleaf (1980) submits:

> Occasionally institutions of all categories rise to the exceptional under the long-term direction of an unusually able administrator. But, usually, when that administrator leaves, the institution lapses, in time, back to the ordinary. There are not enough of these exceptional administrators around to fill all top administrative posts of all institutions. (p.11)

The responsibility of sharing and institutionalizing the characteristics of servant leadership through staff development is that of the organizational leaders. Every stakeholder should be encouraged to embrace through leadership modeling an attitude of ownership and therefore share the responsibility for internalizing servant leadership characteristics into the school.

The principal selection of staff through the interview process should reflect a style of questioning that seeks to identify servant leadership characteristics in perspective employees. Selecting those with a predisposition for service will better provide opportunities for the development and sustainability of a critical mass within the school.

Finally, it is incumbent on the school organization to create an avenue for imbedding servant leadership characteristics into the school curriculum. The value of these characteristics could materialize in peer to peer mentoring, community service and subsequently produce a better school climate.

**Recommendations for District-Based Leaders**

What the typical university so desperately needs is leadership that will, in every nook and cranny, seek out, encourage, discriminately judge, and reward when successful all genuine initiatives that will make the university better serving; and penalize, to the point of drying up or
radically reorganizing, those departments and schools that fail to maintain themselves by rigorous self-criticism. (Greenleaf, 1972, p. 25)

District-based leaders are responsible for providing the very support needed to ensure that schools are successful. Those departments within the district who fail to audit their impact on improving schools or who ignore school-based needs should as Greenleaf submits be “penalized, reorganized or dried up.” District leaders should create an atmosphere of service to the schools. The district based leadership selection process should include interview instruments that seek to discover whether perspective candidates posses servant leadership characteristics. Additionally, district staff development programs should encourage the instruction of servant leadership characteristics in their leadership development programs.

**Recommendations for University School Leadership Programs**

Greenleaf (1970) provides that the responsibility lay within those in the institution. Universities need to rethink their missions and produce new concepts of what they should do and how they should be governed. They have the internal capability to do this. In fact, the university of the future must be generated inside the university of the present, for that is where the expertise is. The universities must make their own revolution internally. (Greenleaf, 1970, p.23)

Leadership programs should critically review the practical leadership paradigms taught to those enrolled in educational leadership programs. These paradigms should include the characteristics of servant leadership as well as the methodology of imbedding these characteristics throughout the school organization. Additionally, leadership instructors should seek out and review organizations utilizing servant leadership.

**Recommendations for Further Research**

It is recommended that a longitudinal study be completed to determine over time the impact of servant leadership on school effectiveness factors.

Future studies regarding organizational servant leadership and school effectiveness should include a greater number of schools. This increase in the number of schools utilized in a subsequent study would increase the power and thus allow for a greater predictability of determining the nature of the relationship between organizational servant leadership and school effectiveness.

Future studies should include a greater number of personnel to be surveyed. Personnel should include: principal, assistant principal, department chairperson, instructional staff, support staff, custodial staff and food service staff. Surveying these positions would allow for an investigation into the relationship of school culture as determined by position in the organization and organizational servant leadership.

Fruitful areas of further research in the relationship of organizational servant leadership and school effectiveness would be those that address elementary level schools. Hallinger and Murphy (1987) submit that distinct differences exist between secondary and elementary contexts...
of schooling. Therefore, it is recommended that a study be conducted to determine the relationship of organizational servant leadership and elementary school effectiveness.
ENROLLMENT MANAGEMENT STRATEGIES, CAMPUS INVOLVEMENT, AND GOAL ACHIEVEMENT IN PUBLIC RESEARCH UNIVERSITIES

Michele Brown - 2001

Several conclusions drawn from this study add to the theory of enrollment management and to the practical application of enrollment management that can be used by practitioners in higher education.

Conclusion Number One

Enrollment management is a viable technique that allows universities to have some control over the student population. The process appears to be taking on a comprehensive nature as described in the definition of enrollment management: “a comprehensive process designed to help an institution achieve and maintain the optimum recruitment, retention, and graduation rates of students, where ‘optimum’ is defined within the academic context of the institution” (Dolence, 1996, p. 16). Of the 47.3% of the Research universities with a formal written enrollment management plan, 67.9% stated that they had a comprehensive plan that included both a Marketing/Recruitment/Admissions plan and a Retention plan. In addition, the most prevalent goals for Research universities were found to be increasing overall undergraduate enrollment and improving undergraduate graduation rates. These two goals appear to present a combination of recruitment and retention objectives for the universities. Without a successful retention management program, there exists a low probability of having a successful comprehensive enrollment management program (Bean, 1990b, Dennis, 1998).

Unfortunately, some universities are using the label of enrollment management for their recruitment efforts and they are not embracing retention at the same level. Huddleston and Rumbough (1997) stated that “the fact that an enrollment management title exists does not mean that a comprehensive program of integrated services is operational” (p. 2). This study supports that statement. In this study, it was found that the highest level of campus involvement was consistent with recruitment goals, increasing enrollment. Retention goals did not have the same level of campus involvement from numerous functional areas. In addition, of the 47.3% of the Research universities with a formal written enrollment management plan, 28.3% continue to have only a Marketing/Recruitment/Admissions plan in place. The label of enrollment management is used for these programs; however, they are missing retention, identified in the definition of enrollment management, as a vital component. Furthermore, a brief browse of employment listings for enrollment managers reveals the facade. Many positions have requirements of expertise and knowledge in recruitment, admissions, and financial aid. Expertise in retention is seldom listed.

According to Dolence (1989), less than half of the institutions he studied qualified as having a comprehensive approach. While this study did not use the same criteria as Dolence to identify a comprehensive approach, this study supports his statement. Less than half of the institutions who participated in this study had a comprehensive enrollment management plan with both recruitment and retention. Nevertheless, retention is a vital component of enrollment
management and the majority of universities with enrollment management plans are embracing both recruitment and retention.

Conclusion Number Two

Authorities (Dixon, 1995b; Dolence, 1989; Kemerer et al., 1982) agree that an enrollment management plan cannot and should not be copied from one institution in its entirety and adopted at another institution. “No one model of enrollment management applies to every institution; in fact, numerous case studies of institutions’ practices illustrate various approaches to enrollment management” (Penn, 1999, p. 12). The researcher chose to challenge this belief and attempted to develop a model based on quantitative data. A final model could not be developed from the data gathered, consequently, this research provides further support for the literature.

The strong response rate of 70% of the entire population allows us to state with confidence the current enrollment management strategies and practices used in public Research universities. Enrollment management plans should be unique for each individual institution (Dixon, 1995b; Dolence, 1989; Kemerer, Baldridge, & Green, 1982). Due to the unique nature, the data obtained did not reveal a pattern that could be followed as a guideline to developing an enrollment management plan; however, trends and commonalities were revealed and several implications were found for possible use by higher education leaders.

- The Enrollment Management Division is the most widely used enrollment management organizational structure.
- Universities that value maintaining undergraduate enrollment and improving student satisfaction with academic services as important experience a positive level of goal achievement.
- Technology strategies and physical structure strategies are being used the most for recruitment purposes.
- Technology strategies include: (a) change university’s website, (b) provide on-line registration, and (c) provide on-line schedule of courses.
- Physical structure strategies include: (a) build/renovate new residence halls, (b) build/renovate classrooms, and (c) build/renovate student union.
- Policies and procedures strategies are being used the most for retention purposes.
- Policies and procedures strategies include: (a) institute a Freshman Seminar course, (b) work with faculty to improve instruction, (c) work across divisional lines to consolidate the process of services delivered, and (d) investigate “bottleneck” courses.
- Intensive universities have success using technology strategies and policies and
procedures strategies to increase enrollment for specific populations.

- Doctoral/Research universities have a higher level of involvement of functional areas for the implementation of recruitment goals than retention goals.

- Institutional Research and Planning currently plays a greater role in the retention of students than in the recruitment of students.

- Intensive universities have more success than Extensive universities with goal achievement when they value the goal as important and they use a variety of strategies.

Conclusion Number Three

It appears from the data that enrollment management is a technique that continues to be embraced by universities. Almost half of the universities had an enrollment management plan and many of those without plans had enrollment management components in place. Leaders should look at enrollment management as a viable option and an active approach to managing university enrollment and the university budget.

According to Dolence (1993), it takes approximately three years for the full implementation of an enrollment management plan. As seen in Table 8, of the 53 universities which indicated that they had an enrollment management plan, 27 have had the plan in place for more than three years. This seems to indicate that the universities are maintaining the practice of having an enrollment management plan. There were 20 universities which indicated that they have had the enrollment management plan in place for less than one year. This demonstrates a large recent movement of adopting the strategy of developing an enrollment management plan. Enrollment management remains a technique that universities believe will be successful.

Furthermore, more than the majority (67.9%) of the universities with enrollment management plans have a comprehensive plan including a marketing/recruitment/admissions component and a retention component. Fifteen of the universities (28.3%) have an enrollment management plan with only a marketing/recruitment/admissions component. These universities are claiming to have an enrollment management plan; however, this is misleading in that they have not developed into a true concept of enrollment management. These universities comprise over a quarter of the population, but the large number of universities with a comprehensive plan positively demonstrates the evolution of the enrollment management technique.

Institutions with and without enrollment management plans are having success and there seems to be no prescribed model that can be followed. However, this global success can be the result of two factors. First, the definition used in this research for enrollment management was restrictive. The enrollment management plan had to be a formal written plan to be considered. It may not be important to have a formal written plan as long as a plan exists in one form or another; however, this cannot be concluded from this research but it does lend itself to further inquiry. Second, conclusions drawn from the evidence of this research show that some current leaders are embracing only components of enrollment management and experiencing some
success. Of the universities without formal written enrollment management plans, 37.3% reported having an Enrollment Management Division. Furthermore, 52.7% of the Research universities stated they did not have a formal written enrollment management plan, but 70.5% of the entire population stated that an enrollment manager was involved in the process of developing goals for the university. However, institutions with enrollment management plans did show some success with goal achievement versus institutions without an enrollment management plan. Universities with an enrollment management plan experienced a positive relationship between the level of goal importance and the level of goal achievement when maintaining undergraduate enrollment and this relationship was nonexistent for universities without a plan.

The research shows that enrollment management, either in the intended form or in adopted versions, is being used by universities. Using components of enrollment management may lead to success, but leaders should remember the full potential of the comprehensive process. Recruitment and retention are both vital components. Moreover, every area on campus has a role in goal implementation and should be involved in all functions of the university. This approach is synergistic in nature and appears to accommodate the university culture.

Conclusion Number Four

The conclusions provide support for the current literature and research. In addition, the conclusions add to the current knowledge base by providing a snap-shot of the current enrollment management strategies and practices of public Research universities. This research attempted to look at enrollment management from a different approach by looking at different strategies and connecting them with different goals. In addition, the functional areas were identified as ones involved in the implementation of specific goals. This study is unique in that it is a national study that focused on enrollment management in public Doctoral/Research universities and in that it linked, quantitatively, the use of goals, strategies, and functional areas with goal achievement rather than looking at them independently.

Recommendations for Further Research

Enrollment management developed as an approach in the 1960's. The research to date is not extensive and quite limited. There is a strong need for research to gather knowledge to support universities in their efforts to develop their own enrollment management plans and structures. It has become evident with this study that many successful enrollment management plans are diverse in nature and that many universities are successful without a formal plan; however, some guidelines can be developed to help leaders and a need for more research to develop those guidelines exists. Recommendations for further research include the following:

Recommendation Number One

This study could be supplemented with a qualitative study. Interviews conducted with universities would allow for a more in-depth look at enrollment management plans and greater opportunities for explanations.

Recommendation Number Two

This research raises question to the role of the strategic planning process in enrollment management. Herein may lie the explanation for the phenomena for why institutions without a
formal written enrollment management plan or those which may not go through the formal linear process of strategic planning may be having success. These institutions may have well developed systems in place to gather data, they are making informed decisions, and they can respond quickly to the environment. They may have the systems in place a plan does not exist. This may challenge the use of strategic planning as proposed by Dolence and Cope. Rather, it may provide support to Mintzberg; Birnbaum; and Snyder, Acker-Hocevar, and Snyder who question traditional strategic planning. Further detailed research is needed on the relationship between strategic planning and enrollment management.

Recommendation Number Three
Further research that would focus on the functional areas could determine to what extent each of the functional areas were involved in the process. Valuable information could be added to current research by determining the degree of involvement from cursory to very involved.

Recommendation Number Four
This research study focused on public Doctoral/Research Extensive and Intensive Universities. Further research could expand the population to public and private Doctoral/Research Universities. Likewise, research could be done on a sample of different types of universities based on the Carnegie classification system including comprehensive universities and community colleges.

Recommendation Number Five
As enrollment management evolves, a longitudinal study could reveal the barriers, the success, and the development of practices throughout the process.

Recommendation Number Six
An in-depth investigation of the enrollment management plans and the organizational structures is essential. This study revealed that some universities without plans were experiencing success towards goal achievement and many were embracing components of enrollment management. This raises question to the need of a formal written enrollment management plan as the key factor for success. Further study could reveal commonalities and the necessary components of enrollment management that lead to success for institutions with a plan and without a plan.

Recommendation Number Seven
Add questions to this instrument to identify the person responsible for enrollment management at the university and descriptive information regarding that individual. The current format of the instrument only allows for inquiry about the person completing the survey. The process used to determine to whom the survey should be mailed most likely identified that individual; however, there were a few cases where the survey was forwarded to the office responsible for institutional analysis.

Recommendation Number Eight
A point of embarkment for further research, could be an analysis of the inhibitors of change, including money, politics, and the organizational structure of the institution. Universities may embrace the concept of enrollment management. However, when it comes to implementation, many barriers may prevent the comprehensive development of the plan resulting
in the adaptation of components only or stunting the evolution of a new organizational structure. This could provide more information on the challenges to using the technique of enrollment management.

**Recommendation Number Nine**

A future study is needed to identify the key components of an effective enrollment management plan relating them with recruitment and retention results. Dolence’s research identifies twelve critical success factors that he proposes effectively evaluate an enrollment management program. The list includes leadership, comprehensiveness, timing, systems, resources, strategies, key performance indicators, definitions/classifications, participation, assessments, evaluation, and documentation (Dolence, 1989). Based on the conclusions for this study, it is believed that beyond the factors proposed by Dolence, it may be possible to identify key components necessary for a successful enrollment management plan such as specific strategies and policies. This future study would most likely require an in-depth look at the enrollment management plans themselves to associate variance with recruitment and retention results.

**Recommendation Number Ten**

Further research is recommended to investigate additional variables that may have considerable implications on enrollment management. Based on the findings from this study, additional variables that may need to be considered include the following: (a) the demographics of high school students in the location of the universities, (b) how selective the institution is with its admission of students, and (c) the prestige of particular degrees offered at the university. Further investigation is also needed into the limitations encountered by enrollment managers and the relationship of course demand analysis and scheduling with enrollment management. In addition, faculty should be added to the list of functional areas. The literature supports the need for faculty involvement and endorsement for success of any plan or action. During the completion of the instrument, several universities identified faculty as a functional area involved in the achievement of the enrollment management goals; however, a significant representation did not exist. Future research could look into the these variables and relationships to gain a greater understanding of enrollment management.
Currently a debate is underway concerning the current state of Holocaust education in the United States. Some scholars believe that its overall state is quite healthy, while others believe that it is in deep need of repair. To date, the literature about Holocaust education does not allow the debate to be answered because even the most basic analytic information is lacking: who teaches it, where it is taught, when it is taught, how it is taught, and why it is taught. For purposes of this study a new Holocaust questionnaire was developed and sent to a random sampling of public high schools in Illinois. Two research questions were formulated. The first was to answer those aforementioned basic analytic questions. The second was to ascertain those factors that cause particular schools to emphasize Holocaust education more than other schools.

Two major hypotheses were considered in relation to emphasis: school-related factors and teacher-related factors. Correlations and multiple regression analyses were performed in order to ascertain those factors most statistically associated with emphasis. Given the limitations of the model, most factors that related to emphasis were directly or indirectly related to teacher training and preparation in Holocaust education.

Discussion

Based upon the multiple regression models, the teacher factors presented in this model only accounted for 42 percent of the variance, and when both school and teacher factors were combined, they only accounted for 55 percent of the total variance. Therefore, the following discussion needs to be understood within the context that significant factors related to emphasis have yet to be uncovered. However, given these limitations, this study does not support the initial findings of Frampton (1989), namely, that the Holocaust is primarily a subject taught by Jews to Jews. Teaching of the Holocaust is not confined to districts with just significant Jewish student populations and it not only being taught by Jewish teachers. Also, this study does not support the inference by Haynes (1997) that the major indicator of teaching the Holocaust was the academic competitiveness of the school, in the case of this study, the ACT scores. While his findings may be appropriate for Christian colleges, they do not seem to apply to high schools in Illinois.

Rather, the findings in this study seem to confirm the beliefs of Schwartz (1990), Feingold (1988), Shawn (1995), Fischman (1996), and Winkler (personal communication) that teacher education and training lies at the very heart of emphasis placed upon Holocaust education. Though it may be true that school factors and personal factors of the instructors impact Holocaust education, these are factors over which schools have little control, or they are factors that unrealistic for schools to achieve. Schools have little control over the size of their enrollment; they have little control over their location; they have little control over the number of Jewish students; and little control over the economic level of their student body. Since emphasis on Holocaust education seems related to Caucasian and Jewish teachers, schools possibly could hire more white Jewish teachers; however, this hardly seems to be a realistic or even desirable outcome. Since increased academic training and preparation seems to be associated with
increased emphasis, it seems that the most effective and realistic way to increase emphasis on Holocaust education might be to make certain that teachers are adequately trained and prepared to teach about the Holocaust. In gaining additional academic preparation in the Holocaust, teachers seemingly will develop the confidence necessary to teach about the Holocaust.

Implications

The results of this study have implications for teachers, administrators, the Illinois Board of Education, Holocaust centers, colleges/universities, and state legislators who might consider the passage of future Holocaust mandates. Based upon the findings in this study, teachers need to be reminded of their mandate to teach about the Holocaust (along with other subject areas such as African-American studies and women’s studies) and they need to be clear to themselves and their students about the rationale for teaching about the Holocaust. Based upon the findings of this study, teachers need greater exposure to the vast array of films and texts available for teaching about the Holocaust as well as the possible pitfalls in teaching this complex subject, for example, the tendency to Americanize the Holocaust and the tendency to teach the Holocaust within the context of tolerance and prejudice to the detriment of the Church’s role in the Holocaust. As stated by Elie Wiesel, “It is unlike any other subject a teacher will ever teach” (as cited in Chartock, p.p. 27-28). Most important, based upon the findings of this study, teachers need to become aware that increased emphasis on the Holocaust within the classroom might well be associated with their academic preparation and background in the subject.

From this study, school administrators should learn that they, too, play a significant role in Holocaust education. They need to be certain that teachers are adequately trained to teach about the subject. Additionally, they could play a key role in making certain that “all” and not just “some” students are educated about the Holocaust within their schools.

The results of this study have major implications for the Illinois Board of Education and Superintendent of Education. It may true that passage of the Holocaust statute was related as much to politics as education, (see Chapter 2), but the fact remains, that the statute exists and full educational advantage should be taken of it. It is recommended that the Board of Education become more involved in the implementation, management, and leadership of Holocaust education within the State. A place to begin may well be with the learning standards for social studies distributed by the State Board of Education and adopted in 1997 (Illinois State Board of Education, 1997). Nowhere in the sections devoted to the social studies learning standards does the word “Holocaust” even appear. That needs to be immediately rectified. Taken a step further, if the Board of Education desires to take an increasingly managerial role in Holocaust education, it would behoove them to continue the process of surveying teaching practices associated with Holocaust education. It is not enough simply to survey the time devoted to the study of the Holocaust. It would be more important to assess the extent and quality of that education and this surveying process should include on-site investigations to make certain that a major gap does not exist between theory and practice. Ultimately, it might be beneficial from the standpoint of leadership, to create a state-wide commission to examine the current state of Holocaust education and make recommendations for the future. One action that would need serious consideration by this commission is that students be required to take a course in European history along with American History. Not only would such a course provide a more appropriate context for the Holocaust, but it would provide a more appropriate context for American history as well.
Another action that would need serious consideration by this commission would be the creation of a list of recommended books, other than *Night* and *The Diary of Anne Frank*, and films, other than “*Schindler’s List*”. The creation of such a list would further require the commission to develop a set of criteria by which to judge books and films about the Holocaust.

Based upon the results of this study, Holocaust resource centers may want to reconsider their mission statements in order to make certain that a primary function listed in their objectives is that of teacher education about the Holocaust. Rather than producing more curricular guides on the subject, resource centers might serve a more beneficial role to teachers by exposing teachers to those guides that already exist in the marketplace, many of which can be obtained for free.

Based upon this study, colleges and universities may want to consider various facets of teacher education. First, they need to be made aware of the fact that teachers seem to be unclear about those subjects in social studies mandated by the state. They also need to be cognizant of the fact that they have a responsibility to make certain that students have a strong background in the teaching of the Holocaust. For teachers to be adequately trained to teach about the Holocaust, they need exposure to it in college or post-graduate courses. This in turn may mean that college instructors need to be better informed about the subject or, perhaps, colleges and universities need to hire instructors who are experts in the field.

There will never be a way to judge the impact of Illinois’ mandate to teach the Holocaust because there was no base-line study of Holocaust education in Illinois conducted before the passage of the mandate. Only 67.5 percent of the schools reported that they teach the Holocaust because of the mandate. However, given these reservations, it does seem that with all of its flaws, and given the high percentage of schools teaching the Holocaust, the mandate has had some impact. Perhaps future legislators, if they are going to consider mandates to teach about the Holocaust, might want to consider possible implications of this study in formulating those mandates. Rather than only stressing the importance of “never again” as a rationale for teaching the Holocaust, the focus should be broadened to include rationales such as understanding how and why the Holocaust occurred, developing critical thinking skills, and understanding how one individual can make a difference. It may be that, given the findings of this study, a more specific phrase than a “unit of study” should be used, because this phrase is too vague. When a former superintendent of Illinois schools was asked how he interpreted “a unit” of study, “he responded that it could mean anything from mentioning the word Holocaust to devoting several weeks of study to the Holocaust” (personal communication). Legislators might also consider a change in wording about the delivery instrument. Perhaps, future mandates might incorporate the phrase that “all students must learn” rather than “all schools must teach”, to be certain that the intention of the mandate becomes a reality. In addition, states might wish to consider whether some form of censure should be included in the mandate for those schools not in compliance with the mandate. Most important, if emphasis on Holocaust education is indeed correlated with teacher training, an important ingredient for future mandates is teacher training. Teachers might need training in the Holocaust in order to teach about it in the classroom. This in turn means that Holocaust mandates might need to be funded rather than unfunded mandates. In following these
recommendations, lawmakers would be creating mandates that have the necessary ingredients of prescription, consistency, and authority (See Chapter 2).

Since state legislatures often lack funding for subject mandates, perhaps one possible solution would be for the United States Holocaust Memorial Museum to create a superfund whose money would be earmarked for teacher education. Moneys could then be distributed to state agencies or Holocaust commissions to absorb some of the costs of teacher education. In creating such a fund and by leaving the decision-making process up to the states, the Museum would not violate state versus federal control over education. Additionally, a fund of this kind would be in keeping with the original mission of the Museum, as conceived by Elie Wiesel (see Chapter 1).

Recommendations for Future Research

This study points to important research that still needs to be completed within the State of Illinois and for the nation as a whole. Within the State of Illinois, it would be important to determine factors that are missing from the model presented in this study. The school-teacher model in this study only accounted for 55 percent of the total variance, meaning that other factors related to emphasis need to be ascertained by future investigators. Some of those factors might well be of a more abstract nature than those considered in this study. For example, factors such as the innovativeness of a school’s curricula or the ability of teachers within a school to digress from a required curriculum might be important factors associated with emphasis placed upon Holocaust education.

Additionally, it would be important to follow up this study with on-site investigations to determine whether there is correspondence between “what teachers say they do” and “what they actually do” in their classrooms. It would be valuable to assess the entire spectrum of Holocaust education within the state of Illinois by surveying not just public schools, but private and parochial schools as well. Studies also need to be conducted on middle school Holocaust education in Illinois. Along with the high school level, important Holocaust education is occurring at the middle school level. For example, many of the groups who visit the Skokie Holocaust Museum are from middle schools around the state. Such studies as these would provide a more comprehensive picture of the current state of Holocaust education in the State of Illinois. It would also allow for comparisons and contrasts to be made between public, private and parochial schools. Finally, within the state of Illinois it will also be important to survey schools over periods of time to monitor longitudinal changes in the teaching of the Holocaust.

On a national scale, it is necessary to investigate the current state of Holocaust education in the United States. It would be important to understand which states are teaching the Holocaust and which are not. Additionally, it would be important to discover how schools are addressing basic analytic questions for the teaching of the Holocaust: the who, what, when, where, how, and why questions. Comparisons could be then made between those factors influencing emphasis in Illinois with other states to determine if indeed the idea of teacher education seems to be a reliable indicator of emphasis placed upon Holocaust education in all cases. (The issue of emphasis is not solely limited to the study of the Holocaust. It would also be important for researchers within the field of education to assess whether teacher education is in fact the major factor impacting teacher emphasis for any given subject. It may well be that the old adage “teachers teach what they have been taught” lies at the very heart and soul of what teachers
choose to emphasize within their classroom.) On a national basis, it would also be important to survey a state before and after the passage of a Holocaust mandate to establish a baseline study revealing the impact of political mandates on the teaching of the Holocaust.

Conclusion

Up to this point, most of the studies on the Holocaust have been concerned with the ideal and not the reality. The time is now ripe for researchers interested in Holocaust education to move from a more theoretical view to a more pragmatic view, to shift from an examination of how the Holocaust “should be taught” to an examination of how the Holocaust “is actually taught.” To build a structure it is first necessary to know the terrain. In conducting more pragmatic studies, a connection could thereby be made between theory and practice and a bridge created that connects Holocaust education of this generation with Holocaust education in the next.

Back to Top
A quantitative five-year study of secondary school curricular arrays was conducted to determine course scheduling trends before and after the implementation of the FCAT. Student enrollment was counted in specified courses for 23 comprehensive high schools in Broward County Florida for one year before and three years after the implementation of the FCAT. Six contextual variables, dropout rate, ethnic makeup, scheduling platform, school grade, socioeconomic status and stability rate were used to determine their impact on the changes which occurred.

The study found that student enrollment increased in English and math courses and decreased in remedial and vocational courses since the implementation of the FCAT. This research also found a significant inverse correlation between a stability factor and student enrollment in math courses. The stability factor is the percentage of students enrolled in the same school in October and February of a given school year.

A linear regression of the contextual variables and the subject areas studied found three significant relationships. Using the raw score regression weights, three equations were developed to predict future student enrollment in math, Exceptional Student Education (ESE) English and social studies.