An Analytical and Descriptive Assessment of Michael Fullan's Scholarship on Educational Change

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Lynch School of Education
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AN ANALYTICAL AND DESCRIPTIVE ASSESSMENT OF MICHAEL
FULLAN'S SCHOLARSHIP ON EDUCATIONAL CHANGE

Dissertation
by
DAVID A. ESCOBAR ARCAY

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ABSTRACT

AN ANALYTICAL AND DESCRIPTIVE ASSESSMENT

OF MICHAEL FULLAN'S SCHOLARSHIP ON

EDUCATIONAL CHANGE

Dissertation by David A. Escobar Arcay

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ABSTRACT

This thesis is a descriptive and analytical study of the complete works of Michael Fullan as a scholar of educational change. Fullan is one of the foremost individuals who have helped established the field of educational change and who continues to push the field forward. This dissertation investigates, articulates and interrogates the intellectual and strategic contributions of Fullan in the scholarly field of educational change. This is a critical description and examination of the historical events and trends that influenced his research and to which he was responding. It provides insight into a significant area of practice and research in educational administration by looking at the development of a field through the intellectual contributions of one of its most important authorities. The main purpose is to highlight the development and cogency of Fullan's ideas in the field of educational change through an examination and exploration of his intellectual underpinnings.

This study was grounded in the qualitative research tradition, particularly rooted in a conceptual framework of hermeneutics. The task was to search for an understanding rather than explanation and for interpretation rather than prediction. Thus, in this study the researcher was the primary instrument for data collection and analysis. Data was using collected various artifacts, namely: books, journal articles, scholarly papers, technical reports, conference papers, dissertations about Fullan, web-site reports and/or papers, newspaper articles and publicity material.

More specifically, Fullan's writings were primarily accessed through various venues: the internet (especially his website: http://www.michaelfullan.ca/), college libraries and professors who use his books. One person-to-person interview was conducted to clarify. Data was critically analyzed and reported thematically and chronologically in order to position Fullan's works within those historical periods and to identify the development and evolution of his theory of change.

Findings indicate several periods of education reform: innovation and diffusion, school effectiveness and school improvement, restructuring and reculturing, large-scale reform and post-standardization. Fullan's assessments of each period revealed that he has been more influential in the large-scale reform period than the others. Themes unfolding highlighted the importance of stakeholders (students, teachers, principals, parents and community, district administrators, consultants) and concepts (process, objective and subjective assumptions, moral purpose, relationships, knowledge, sustainability, complexity/chaos & evolutionary theories, systems, paradoxes, coherence and theory of action. Connections to key thinkers in sociology, educational change and mentors as well as Fullan' unique approach to the change process among various other change process models, definitions and perspectives were highlighted. Development and evolution of Fullan's theory of education is underscored by the influence of early mentors in sociology as well as decades of

emphasis on certain critical issues within the literature: namely, the absence of the implementation perspective (1970s), meaning-making (1980s), capacity-building (1990s), systems-leading (2000s) and a more recent post-standardization era. Critical and positive commentaries on particular Fullan's works reveal multiple and often opposing values, assumptions and purposes of education that characterize scholar's experiences and advocacy. The study concludes with a brief personal and critical reflection on Fullan's educational change literature highlighting findings of the interview as well as strengths, weaknesses and the future challenges for scholars in the field.

ACKNOWLEDGMENTS

DEDICATION

To My Faith

I dedicate this to the Lord Jesus Christ, the Most Powerful, All-Knowing, Omnipresent change being and agent that world has ever seen. My words cannot describe my immense gratitude for lighting up my path and guiding me with your Spirit. You are the way, the truth and the life. I am joyful and reassured of your love, grace and mercy every single day when I realize that my life has been blessed with God-given gifts and abilities; serves a greater purpose than myself, advances the agenda of the Kingdom by enhancing and promoting social justice and improving and transforming the human condition. Thank you for being my primary source and foundation of all understanding, knowledge and wisdom. The fear of God is the beginning of wisdom.

To My Family

I am proud of my family. You are incredible. You are amazing. Thank you for your support, energy, enthusiasm and patience. Thank you for your understanding. ¡Bendición mami! You are 'un ejemplo' of those single women and dedicated 'madre' who have fought relentlessly with heart, sweat and hands to help your children make it in this complex and demanding life. You have never given up and I am a product of your agape love, integrity, vision and sacrifice. ¡Bendición Tere! ¡Thank you Mami Tere! I am so thankful to God for your faith,

brave and courageous heart. Your 'nieto' recognizes the power of your words and counsel, the richness of your experiences and the legacy of your testimony and character. ¡Dios te bendiga! Thank you brothers for pushing me and mentoring me. Gracias a todos – Felix, Luis, Bethmarie, Emmanuel, Andres, Johnny, friends and spiritual mentors (church brothers and sisters, pastors who have kept me in their knees so that I have the strength and the confidence, and a whole bunch of nephews and nieces who always bring me a smile, who are closed to my heart as they represent the fruits and future ambassador of our family's values, beliefs and 'costumbres' and the reality that we are precious in the eyes of the Lord.

To My Community & People

Let me be very honest and sincere and affirm and attest that this dissertation is a simple yet powerful reminder, proof and celebration that ¡Sí se puede! Let this thesis be more than the achievement of a person and professional with big aspirations and goals. Let it truly be a celebration of a community and people that have endured the struggles, dilemmas, conflicts and challenges that come as a result of often living in the margins, contending with the culture while at the same time negotiating access to it, integrating and accommodating to a culture and country whose values are at least somehow at odds with ours, but which is full of opportunities and dreams and the blessings of freedoms and justice. 'Mi gente aprovecha las oportunidades y hazle frente a los retos'.

To My Roots & Humble Beginnings

From a distance, I dedicate this project to all the Puerto Ricans in the island and the mainland. This is a testimony that with discipline, determination, dedication, 'entrega y pasión', responsibility, wisdom you can achieve it. It is also a testimony that our 100 x 35 miles country-island-nation and people is able to 'make it' if provided the access, the empowerment and the resources. Puerto Rico's unending struggles for a political equality, its rich traditions, history and often mixed status but profoundly humble people are sources of inspiration and a fountain from which to draw in order to strengthen my identity and 'no olvidar de donde vine". I will never forget all the time that it took me to walk to elementary and secondary public schools, the sacrifices that my mother and grandmother endured to educate us and the communities – 'la tierra y la gente que me vieron nacer'. I will never forget one day when my mother hosted several of her friends and relatives and they talked and emphasized the importance of staying in school and heed the advice of the gray and old. Their wise sayings and words will always stay in my memory. I deeply and truly believe in that in the multitude of counsel there is sure victory.

Some Fragments of My Evolving Quest to Understand and Appreciate the Purpose, Meaning, Hope and Ethics of Education, Learning, Teaching and Leadership Practices in Changing Contexts

The task of the modern educator is not to cut down jungles but to irrigate deserts.[1]

The revolution we are in its first and foremost a revolution of the total situation. It is not just new kinds of problems and opportunities that we are facing, but whole new contexts within which these problems and opportunities reside.[2]

It seems to me that education has a two-fold function to perform in the life of man and in society: the one is utility and the other is culture. Education must enable a man to become more efficient, to achieve with increasing facility the legitimate goals of his life. Education must also train one for quick, resolute, and effective thinking. To think incisively and to think for one's self is very difficult. We are prone to let our mental life become invaded by legions of half-truths, prejudices, and propaganda. At this point, I often wonder whether or not education is fulfilling its purpose. A great majority of the so-called educated people do not think logically and scientifically. Even the press, the classroom, the platform, and the pulpit in many instances do not give us objective and unbiased truths. To save

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[1] C.S. Lewis, *The abolition of man.*
[2] Peter Vaill, *Managing as a performing art: New ideas for a world of chaotic change.*

man from the morass of propaganda, in my opinion, is one of the chief aims of education. Education must enable one to sift and weigh evidence, to discern the true from the false, the real from the unreal, and the facts from the fiction. The function of education, therefore, is to teach one to think intensively and to think critically. But education which stops with efficiency may prove the greatest menace to society. The most dangerous criminal may be the man gifted with reason, but with no morals ... We must remember that intelligence is not enough. Intelligence plus character--that is the goal of true education. The complete education gives one not only power of concentration, but worthy objectives upon which to concentrate. The broad education will, therefore, transmit to one not only the accumulated knowledge of the race but also the accumulated experience of social living.[3]

Human life touches on absoluteness in virtue of its dialogical character, for in spite of his uniqueness man [sic] can never find, when he plunges to the depth of his life, a being that is whole in itself and as such touches on the absolute. Man can become whole not in virtue of a relation to himself but only in virtue of a relation to another self. This other self may be just as limited and conditioned as he is; in being together the unlimited and the unconditioned is experienced.[4]

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[3] Martin Luther King, Available:
http://www.stanford.edu/group/King/about_king/major_kingFrame.htm.
[4] Martin Buber, *Between Man and Man*.

El objetivo de la enseñanza es contribuir al desenvolvimiento de las fuerzas intelectivas, poniendo a funcionar los órganos de la razón, según la ley de la razón, a medida que van manifestándose y habitándose a inducir, deducir y sistematizar. En una palabra: se enseñanza para ejercitar la razón.[5]

Educar es ir revelando en la conciencia del discípulo el orden de la verdad e ir formando esa conciencia en aquel orden. Educar es conducir: 'es decir, que educar es como conducir de dentro a fuera; en cierto modo, es como cultivar, y, empleando una comparación, educar la razón es hacer lo que el buen cultivador hace con las plantas que cultiva … Educación es la acción de conducir, guiar, dirigir al individuo humano o la especia humana del estado de ignorancia al estado de conocimiento de si o si misma.[6]

The fallacy of rationalism is the assumption that the social world can be altered by logical argument. The problem, as George Bernard Shaw observed, is that "reformers have the idea that change can be achieved by brute sanity".[7]

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[5] Eugenio María de Hostos, Memoria al Ministro de Instrucción Publica de Chile. Obras completas, t. II. Available:
http://www.hostos.cuny.edu/library/Hostos%20Page/Works_about/PDF/Hostos%20reformador%20de%20la%20educacion.pdf.

[6] Eugenio María de Hostos, *Nociones de ciencia de la pedagogía*, OC XVIII, p. 11. Available:
http://www.hostos.cuny.edu/library/Hostos%20Page/Works_about/PDF/EL_SOL_reforma_de_la_ensenanza.pdf.

[7] Michael Fullan & Susan Stiegelbauer, *The new meaning of educational change*.

Practical men, who believe themselves to be quite exempt from any intellectual influences, are usually the salves of some defunct economist … It is ideas, not vested interests that are dangerous for good or evil.[8]

Democracy cannot be achieved without understanding power itself, how it is exerted, and where it lies.[9]

Responsibility is the readiness to face the absence of meaning, the non-being of self. It requires that a self be formed, a meaning be instated, a policy adopted. The crisis exists precisely because there is no priori decisive resolution of the situation. Responsibility is the willingness to 'leap into nothingness'. But it is more than this: it is the willingness to accept ... the consequence of one's act.[10]

The solution is not to integrate them into the structure of oppression, but to transform that structure so that they can become beings for themselves.[11]

No one can be a great thinker who does not recognize, that as a thinker it is his first duty to follow his intellect to whatever conclusions it may lead, Truth gains more even by the errors of one who, with due study and preparation, thinks for

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[8] John Maynard Keynes, *The general theory of employment, interest, and money.*
[9] Anthony Arblaster, *Democracy.*
[10] H. Fingarette, *The self in transformation: Psychoanalysis, philosophy and the life of the spirit.*
[11] Paul Freire, *Pedagogy of the Oppressed.*

himself, than by the true opinions of those who only hold them because they do not suffer themselves to think.[12]

The new concept of schooling is in its romantic phase, in which the replacement of "mechanical" by "natural" methods has become unhealthy exaggerated ... Previously pupils at least acquired a certain baggage of concrete facts. Now there will no longer be any baggage to put in order ... The most paradoxical aspect of it all is that this new type of school is advocated as being democratic, while in fact it is destined not merely to perpetuate social differences but crystallize them in Chine complexities.[13]

We may reject knowledge of the past as the end of education and thereby only emphasize its importance as a means. When we do that we have a problem that is new in the story of education: How shall the young become acquainted with the past in such a way that the acquaintance is a potent agent in appreciation of the living present?[14]

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[12] John Stuart Mill, *On Liberty.*
[13] Antonio Gramsci, *Prison Notebooks*, Quaderno XXIX.
[14] John Dewey, *Experience and education*.

The simplest explanation is not always the right one, truth is very often not simple.[15]

A man, though wise, should be never be ashamed of learning more, and must unbend his mind.[16]

That education should be regulated by law and should be an affair of state is not to be denied, but what should be the character of this public education, and how young persons should be educated, are questions which remain to be considered.[17]

I have found over and over again that the acceptance of a new point of view ... has much less to do with the validity of that point of view than with [one's] readiness to consider any alternatives whatsoever.[18]

Like almost all other complex traditional social organizations, the schools will accommodate in ways that require little or no change. This is not to say that the accommodation is insincere or deliberately cosmetic but rather that the strength of the status quo – its underlying axioms, its pattern of power relationships, its sense of tradition and therefore what seems right, natural, and proper – almost

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[15] Sigmund Freud, *New Introductory Lectures on Psycho-Analysis.*
[16] Sophocles, *Antigone.*
[17] Aristotle, *Politics.*
[18] Edgar Schein, *Process Consultation Volume II.*

automatically rules out options for change in that status quo ... To create and sustain for children the conditions for productive growth without those conditions existing for educators is virtually impossible.[19]

The term "democracy," as I have said again and again, does not contain enough positive content to stand alone against the forces that you dislike–it can easily be transformed by them.[20]

The pleasures arising from thinking and learning will make us think and learn all the more.[21]

Minds, nevertheless, are not conquered by arms, but by love and generosity.[22]

It is the ability of the leader to reach the souls of others in a fashion which raises human consciousness, builds meanings, and inspires human intent that is the source of power.[23]

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[19] Seymour B. Sarason, *The predictable failure of educational reform: Can we change course before it's too late*?
[20] T.S. Eliot, *Christianity and culture*.
[21] Aristotle, *Ethics*.
[22] Spinoza, *Ethics*.
[23] Warren Bennis, *Transformative power and leadership*.

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CHAPTER TWO

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[1]Scott, J. 2007). *Fifty key sociologists: The contemporary theorists*. New York, NY: Routledge.

CHAPTER ONE: THE OMNIPRESENCE OF CHANGE

Overview

This dissertation presupposes the reality and inevitability of change in society. Many recognize that our society has undergone tremendous change. One way of describing the transformation of change in society is by recognizing the radical transition from the modern to the postmodern era. The shortcomings of modernity, the challenges of postmodernity and the information age have caused many theorists and researchers to redefine public institutions as well as its predominant strategies and practices (Foster, 1986; KcKenzie, 1992; Berquist, 1993; Hargreaves, 1994; Maxey, 1994; Castells, 1996, 1997, 1998; Starratt, 1996; Elkind, 1997; Giddens, 1998, 2003; Bauman, 1998; Murphy & Louis, 1999; Wheatley, 1999; Hargreaves, Earl, Moore & Manning, 2001; Hargreaves, 2003; Hargreaves & Fullan, *forthcoming*).

This introductory chapter briefly reviews the guiding components of this dissertation. A broad overview of change in society is presented as the rationale and background of this study. A short biography of Fullan as a scholar of educational change is described. This is followed by the research questions and methods. The researcher then attempts to briefly provide the significance of this study and its limitations. Finally, this chapter introduces the reader to the thesis by presenting an overview of the study.

Background of the Study - A Broad Overview of Change in Society

> Every few hundred years in Western history there occurs a sharp transformation ... Within a few short decades, society rearranges itself – its world view; its basic values; its social and political structures; its arts; its key institutions. Fifty years later, there is a new world ... We are currently living through such a transformation. [1]

> Everybody has accepted by now that change is unavoidable. But that still implies that change is like death and taxes — it should be postponed as long as possible and no change would be vastly preferable. But in a period of upheaval, such as the one we are living in, change is the norm. [2]

> Change is all around us. Change is inevitable. Change defines our era.

Change gives significance, relevance and / or legitimacy to many of society's shaping institutions as well as to its individuals. One way societal change is recognized is through the radical transition of a society from a modern to postmodern era. Havel, former President of Czechoslovakia, in a conference at the World Economic Forum in Davos, Switzerland brilliantly described the modern era:

> The modern era has been dominated by the culminating belief, expressed in different forms, that the world – and being as such – is a wholly knowable system governed by a finite number of universal laws that man can grasp and rationally direct for his own benefit. This era, beginning in the Renaissance and developing from the Enlightenment to socialism, from positivism to scientism, from the Industrial Revolution to the information revolution, was characterized by rapid advances in rational, cognitive thinking.

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[1] Drucker, P. (1997). *Management challenges for the 21st century*. New York, NY: HarperCollins Publishers, p. 1.
[2] Ibid., p. 73.

This, in turn, gave rise to the proud belief that man, as the pinnacle of everything that exists, was capable of objectively describing, explaining and controlling everything that exists, and of possessing the one and only truth about the world. It was an era in which there was a cult of depersonalized objectivity, an era in which objective knowledge was amassed and technologically exploited, an era of belief in automatic progress brokered by the scientific method. It was an era of systems, institutions, mechanisms and statistical averages. It was an era of ideologies, doctrines, interpretations of reality, an era in which the goal was to find a universal theory of the world, and thus a universal key to unlock its prosperity. (Havel, 1992, p. 15)

Elkind (1997) describes the modern era as one grounded in the tenets of "progress, universality and regularity" (p. 27). Hargreaves (1994) states that the "social and historical project of modernity was pursued chiefly in the name of social emancipation as a way of lifting humanity out of the particularism, paternalism and superstition of premodern times" (p. 25). However, Elkind and Harvey (1989) argued that the project of modernity was doomed to failure because of wars and resulting catastrophes. Elkind stated that "twentieth century realities – two World Wars, the Holocaust, the atomic bomb, and the degradation of the environment – have undermined faith in human progress and the belief that society evolves in a positive direction so as to improve the lot of all individuals" (pp. 26-27). In addition, referring to the optimism of the modernity project, Harvey also admits that "the twentieth century – with its death camps and death

squads, its militarism and two world wars, its threat of nuclear annihilation and its experience of Hiroshima and Nagasaki – has certainly shattered this optimism" (p. 13). As a result, the meaning of the modernity project is being associated with a lack of meaning or ambiguity and with enshrining positive and negative connotations alike (Hargreaves).

The modern era while promising to make the world more orderly, knowable, reliable and predictable has brought upon a crisis of meaning and legitimacy as well as the possibility of ultimate and absolute control by bureaucratic and impersonal forces. Modernity has the capacity to improve the human condition while it also carries the potential to worsen or destroy it. Hargreaves (1994) clearly delineated these perils in a number of areas. For example, economically modernity "has promised efficiency, productivity and prosperity but, especially in its later stages, it has also created workplaces and labor processes which separate management from workers, planning from execution and head from hand" (p. 26). Politically, modernity "has seen the consolidation of the nation state as a military force, and the creation of the welfare state as a supposedly civilizing and elevating one" (p. 27). Organizationally, "the politics and economics of modernity have had significant and systematic effects on institutional life, including schooling" (p. 28). In the case of schools, modernity's legacy is one of schools that operate under modernistic assumptions to the detriment of students and teachers who learn and teach in alienated and

impersonal places where there is a high degree of "bureaucratic inflexibility and unresponsiveness to change" (p. 28). Finally, the modernity project affords individuals in corporations a sense of "long-term security in exchange for company loyalty and a clear sense of place in the wider structure" (pp. 28-29) at the expense of the self.

Thus, the project of modernity presented inherent unsolvable dilemmas that did not provide adequate and timely responses. There was a need for a revolutionary approach that will deal with endless conflicting values and beliefs. Realizing the pitfalls of the modernity project, Havel (1992) responds:

> Everything would seem to suggest that this is not the way to go. We cannot devise, within the traditional modern attitude to reality, a system that will eliminate all the disastrous consequences of previous systems. We cannot discover a law or theory whose technical application will eliminate all the disastrous consequences of the technical application of earlier laws and technologies.
>
> What is needed is something different, something larger. Man's attitude to the world must be radically changed. We have to abandon the arrogant belief that the world is merely a puzzle to be solved, a machine with instructions for use waiting to be discovered, a body of information to be fed into a computer in the hope that, sooner or later, it will spit out a universal solution. (Havel, p. 15)

Havel advocates for a new approach. He blatantly admits that modernity has failed and asks for change. The failures of the modernity era precipitated a new era: postmodernity (Harvey, 1989; Lyotard, 1984). A distinction borrowed from Hargreaves (1994) is made here between postmodernity and postmodernism.

Whereas postmodernity (the object of this section) is a social condition, postmodernism refers to "an aesthetic, cultural and intellectual phenomenon" (p. 38). Elkind (1997) defines postmodernity as an era that "…stressed difference as much as progress, particularity as opposed to universality, and irregularity in contrast with regularity" (p. 28). Postmodernity has led to radical changes in society (Bell, 1973; Toffler, 1980). These changes have been identified as the inevitable effects of a society that undergoes a major transition from an agrarian age to an industrial and then to the information age or knowledge society (Castells, 1996; Drucker, 1993; Rifkin, 2000). The postmodern era has brought globalization (Barber, 1995; Burbules & Torres, 2000; Friedman, 2000; & Giddens, 2003) – a contradictory age full of major political, social, cultural, religious, economic and educational challenges, threats, opportunities, consequences (Bauman, 1998; Handy, 1991; Reich, 1992; Soros, 2002). The collapse of modernistic assumptions and the paradoxical and globalized character of the present postmodern era led many researchers, theorists and policy-makers to call for the rethinking, reconceptualization and restructuring of public schools (Conley, 1993; Elmore, 1990; Elmore, Peterson, McCarthey, 1996; Schlechty, 1990; Smylie & Perry, 1998).

For example, for more than two decades now major national K-12 reports have been produced demanding educational reform (A Nation at Risk, 1983; A Nation Prepared, 1986; Breaking Ranks: Changing an American Institution, 1996;

National Commission on Teaching and America's Future, 1996). Similarly, others like Bransford et al. (1999) and the National Research Council (1999) have called for the application in classrooms of the groundbreaking implications of cognitive science. However, despite these early and late efforts educational change has been largely missing at the classroom level due to social, political and cultural factors that have created the gap between policy and classroom practice (Apple, M. & Jungck, S., 1992; Bailey, 2000; Elmore, 1997; Fullan & Pomfret, 1977; Gitlin & Margonis, 1995; Goodlad et al., 1970; Huberman, 1992; Little, 1990; Lortie, 1975; McLaughlin, 1994; Sarason, 1971; Riseborough, 1984; Waller, 1932).

It is within this framework and background that this study seeks to investigate and uncover the themes, influences, contradictions and objections that contribute to and shape the intellectual underpinnings of the field of educational change as seen through one of its leading authorities: Michael Fullan.

Michael Fullan as a Scholar of Educational Change

One scholar who has commented on the shortcomings and promises of change efforts is Fullan.[3] The former dean of the Ontario Institute for Studies in Education of the University of Toronto (OISE/UT) from 1996 to 2003, Fullan is also a researcher, consultant, trainer and policy adviser on a wide range of educational reform projects with national, state and schools systems as well as

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[3]*see* Appendixes 2A, 2B, 2C, 2D, 2E, 2F, 2G & 2H.

research and development institutes, government and private agencies and teacher unions in Canada, United States and internationally. Recently, Fullan has served as an evaluator of England's National Literacy and Numeracy Strategies project as well as an advisor to the Premier and Minister of Education in Canada. Presently, Fullan is Professor of Theory and Policy Studies at OISE/UT. He holds master's and doctorate degrees in sociology from the University of Toronto. He is a professional sociologist of change and organizations. His work and advocacy on education has been recognized through several outstanding distinctions, some of which include honorary doctorates and principal's council, teachers' association as well as educational research awards. Fullan also serves on the editorial board of the following journals: Curriculum Inquiry, School Effectiveness and School Improvement, Educational Administration Quarterly, Journal of Education Policy, The Chinese University of Hong Journal of Primary Education and Teaching Education.

Fullan's most well-known work is *The Meaning of Educational Change* which was first published in 1982 and subsequently re-written and updated in 1991, 2001 and 2007. His most recent works include *Breakthrough* (2006) and *Turnaround Leadership* (2006). Other works include the *What's Worth Fighting For* series, the *Change Forces* trilogy and *Leading in a Culture of Change* (2001) for which he was awarded the National Staff Development Council's Book of the Year Award in 2002. In addition to these and other publications, many graduate

students have theoretically grounded and written their doctoral dissertations on Fullan's concepts.[4]

Purpose of Study

This will be a study not of the life but of the scholarly work of Fullan. This study attempts to understand the historical events and trends that influenced his research and to which he responded in his writings. That is, this is an analysis of Fullan's contributions to the scholarly field of educational change as well as an analysis of the how themes within his complete works unfold and evolve from previous and past theoretical positions. In short, this paper will attempt to highlight the development and cogency of Fullan's ideas in the field of educational change.

Fullan is one of the foremost individuals who have helped established the field of educational change and who continues to push the field forward.[5] This dissertation investigates, articulates and interrogates the intellectual and strategic contributions of Fullan in the scholarly field of educational change. It provides insight into a significant area of practice and research in educational administration by looking at the development of a field through the intellectual contributions of one of its most important authorities. By undertaking a study of

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[4]*see* Appendix 2I.
[5]*see* Appendixes 2A, 2C, 2D & 2E.

all of his published works, this dissertation addresses the prime question of what are the intellectual underpinnings of change theorist Fullan.

Research Questions

The questions guiding this inquiry are:

1. What are Fullan's major contributions to the scholarly field of educational change?

2. What have been the prevailing themes found in Fullan's work on educational change?

3. What have been the most significant influences upon Fullan's work in terms of mentors as well as prevailing trends within educational change and reform practice?

4. What are some major positive and critical commentaries on the influence of Michael Fullan's work?

Research Methods of the Study

This study will primarily involve an analysis of the historical context of Fullan's work and a critical reading of his published works. It may loosely be considered to employ methods of hermeneutical research. It will follow the research discipline of a 5 step process. The first step will conduct an extensive literature review of the historical attempts to change schools for the better. This

literature is divided into various periods: innovation and diffusion, school

effectiveness and school improvement, restructuring and reculturing, large-scale

reform and post-standardization. Locating the contributions of Fullan within each

period will suggest his major connection to developments in the field. The second

step is to read Fullan's published works (from 1982 to May of 2008) in order to

describe prevailing themes that unfold. Third, using a timeline of all the writings

of Fullan (scholarly articles, newspaper reports, technical reports, books etc.), I

will attempt to identify the main ideas within each decade of his scholarly life.

This analysis should point out the development and evolution of Fullan's work. In

short, in this third section I will provide a map as well as a narrative of how

Fullan is moving toward richer theory. The fourth step is to select two major

commentaries on Fullan's work, one positive and one critical. Finally, I will

consider and evaluate the strengths, weaknesses and future challenges of Fullan's

ideas on educational change. I will point out what, in my view, is present and

missing in his works in addition to what I perceive and understand is its present

and future value. This section will include a report of an interview[6] with Fullan,

in which I have attempted to gain greater clarity on some questions and issues that

remained unresolved.

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[6]*see* Chapter Seven as well as Appendixes 1D & 1E.

Significance of Study

I am setting out to present one study of the complete works of Fullan. The significance of this study is that subsequent readers will be able to view a coherent analysis of Fullan's past and present theories as well as the significance of his works within prevailing trends in the fields of educational change and reform practice.

Limitations

While I am grounding my commentaries in the historical contexts as well as on the published works themselves, this study will still involve interpretation on the part of the researcher. I will attempt to counteract unwarranted personal opinions by basing my commentary on citations of Fullan's work, and by interviewing Fullan in order to verify / clarify my interpretation.

Overview of the Study

This study is divided into seven chapters. The first chapter of this dissertation describes the background of the study which includes a broad view of change in society as well as in education. This chapter also includes the research questions, a brief overview of the research design used and the limitations of the study. The second chapter provides an extensive literature review of the historical contexts of educational reform through several periods. The contributions of

Fullan within each period will suggest his major connection to developments in the field. The third chapter details the research design and methodology used. This chapter also describes data collection and analysis. Chapter four classifies and describes the content of all Fullan's books in major themes. Chapter five explores the development and evolution of Fullan's theory of educational change theory by using a timeline. Chapter six critically examines specific ideas of Fullan on educational change by looking at compelling and persuasive positive and negative commentaries. Finally, chapter seven presents the findings of an interview conducted to Fullan as well as a personal and critical reflection of the strengths, weaknesses and future challenges of Fullan's theory of educational change.

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CHAPTER TWO: HISTORICAL CONTEXTS OF EDUCATION

REFORM: A LITERATURE REVIEW

Overview

The history of efforts to change and better public schools has taken place

over several periods throughout the last five decades. This literature review

attempts to capture these periods of educational reform. It identifies, describes

and analyzes five periods: innovation and diffusion, school effectiveness and

school improvement, school restructuring and reculturing, large-scale reform and

a reflective comment on the unfolding period of post-standardization. These

periods often if not always overlap each other. As the history of the past 45 years

unfolds, it does so not in clearly delineated straight line yearly segments, but more

in a disjointed, canonical fashion. Through citing major studies, the origins, major

proponents, philosophical underpinnings and practical implications for reform and

theory are addressed. The end of each section is followed by a brief comment on

the contributions of noted scholar Fullan.

The Innovation and Diffusion Period

Since the early 1960s, efforts to improve public schools have generated

various approaches to bringing about educational change. Two of these

approaches concern school restructuring and reculturing. This section examines

the legacy of these two vehicles of school improvement. It first outlines the antecedents of school restructuring. Then it explores the origins, meanings and strategies of school restructuring as well as key studies. The following section explicates school reculturing by investigating the origins and types of culture, describing the advocates, meanings and models of school culture as well as several of its key theoretical and empirical analyses and studies. Finally, Fullan's assessment of school restructuring and reculturing is explored in order to capture his contribution within this period.

During the late 1950s, the Soviet Union successfully launched the world's first artificial satellite to orbit the earth. This launch ushered in numerous technological, military, scientific and political developments. One of the reactions in the United States was that the American education system "was not producing enough scientists and perhaps more important, that its teaching techniques and curricula were effectively extinguishing students' interest in science and scientific careers" (Sarason, 1996, p. 47). Thus, the United States federal governmental initiated a number of large scale innovations and curriculum projects especially in math and science (Elmore, 1995). Among the curriculum reform projects were the Physical Sciences Study Committee high school physics curriculum, the Biological Sciences Curriculum Study and Man: A Course of Study. Most of these curriculum designs were intended to accomplish and deliver content organized around key concepts that revealed the structure of the discipline of

physics and biology in addition to pedagogical methodologies. These were accompanied by reform initiatives in the organization of teaching that included flexible scheduling, team teaching and open plan schools. These major change efforts were driven by university scholars whose pedagogy was informed by the theory that learning was a process in which students "discover not only knowledge of the subjects, but also the thought processes and methods of inquiry by which that knowledge is constructed" (Elmore, 1995, p. 11). Thus, these scholars called for the redefinition of teacher and students roles so that teachers became coaches while students were seen as active learners. While most innovations embodied this progressive theory of education, the absence of a clear and articulate theory of action of how to put these changes into practice, large scale innovations were rarely implemented successfully.

During the 1960s, educational research and practice functioned and operated as a technical process (Berman, 1981). Educational research on school innovations exhibited The Guba and Clark model (cited in House, 1979), known as the 'Classification Schema of Processes Related to and Necessary for Change in Education'. This consisted of four stages: Research → Development → Diffusion → Adoption (R, D & D). In the research stage, knowledge was gathered for development. In the development stage, a solution to the identified problem was built. In the diffusion stage the innovation was introduced to the practitioners. Finally, in the adoption stage the innovation was to be incorporated in the school.

The major proponent of the R, D and D approach across disciplines was Rogers (1983) who claimed that the diffusion of an innovation or reform was a sequential process that followed an S-shaped curved. In addition, Havelock, 1971, noted the assumptions of this R, D and D change model as having a "… rational sequence in the evolution and application of an innovation; planning usually on a massive scale; a division and coordination of labor; a more-or-less passive but rational consumer who will accept and adopt the innovation …" (p. 10). Berman (1981) noted that this R, D and D rational approach functioned and was governed by the technological-experimental (TE) paradigm where "educational change was a problem amenable to technological solutions" and schooling could be improved if tested and replicable products (technologies) were disseminated widely to schools" (Berman, p. 257). Educational research and practice focused "on the innovation itself, its characteristics and component parts and on how to produce and introduce the innovation (House, 1981, p. 28). In short, educational reform was predominantly seen as a technical, rational and linear process and imposed by external experts in the scholarly disciplines.

Two key and now classic studies during the early 1970s confirmed the assumptions that underpinned research and practice on school innovations and their consequences. Both of these studies were concerned with organizational innovations. Gross, Giacquinta and Bernstein (1971) investigated the implementation of the catalytic model – a curricular innovation aimed at altering

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the teacher-pupil relationship. Smith and Keith (1971) studied the creation of Kensington School – an organizational innovation rooted in the new and progressive elementary education model.

In both of these cases, one of the factors that influenced the implementation process of organizational or curricular innovations was that teachers did not have clarity regarding the goals of the innovation and the means to enact those goals. In their study on the adoption of the catalytic role model (curricular innovation) at the Cambire school, Gross, Giacquinta and Bernstein (1971) noted that "teachers never obtained a clear understanding of the innovation" (p. 123). The catalytic model was intended to target "the problems of motivating lower-class children and of improving their academic achievement" (p. 10). The catalytic model was designed to allow, encourage, ensure and help children become intrinsic, self-motivated, responsible, competent learners in a changing society. Given these objectives and assumptions, under the catalytic model, the goal of the innovation was to redefine the teacher's role as one who "assisted children to learn according to their interests…", "to emphasize the process, not the content, of learning" …. [and to] "Function as a catalyst or guide" (pp. 12-13). Despite these intentions, teachers did not have a clear picture of what and how they were expected to implemented the catalytic model. When asked about their understanding of the goal and the means of implementing the catalytic

model in their respective classrooms, most teachers responded in terms of the new types of behavior to be adopted and behavior to be abandoned.

For example, teachers mentioned that the catalytic model demanded that they give children "freedom to choose activities, offer multiple activities, and individual attention," and "tolerate noise" (p. 124). On the other hand, teachers mentioned that the catalytic model expected them to abandoned the teaching of "formal lessons and group recitations" and "serving as authority figures" (p. 124). Teachers faced enormous difficulties explaining and acting on the goal and means of the catalytic model. While they could talk and show what pupils should be doing; however, they could not talk about "specific behavioral requirements of the catalytic model with respect to their performance" (p. 126). These findings supported the fact that planning for the implementation of the catalytic role model was inadequate, or worse, nonexistent.

In their study on innovation educational organization, Smith and Keith (1971) also noted that although users had a well-described statement of goals, they were not able to articulate its practical aspects. Within this organizational innovation, a school in a lower class suburban school district in a large metropolitan area in the Ohio River valley, contracted an architectural firm to design a school that would represent and have embedded the "new elementary education of team teaching, individualized instruction, and multi-age groups" (p. v). The curriculum had an emphasis on "process development as opposed to

content development. There was to be no one, central focus such as textbook-centeredness, pupil-centeredness, or teacher-centeredness; instead, numerous facets of the school were to shape the learning environment. Learning was viewed as an interactive process that varied from individual to individual" (Smith & Keith, 1971, p. 33). The Kensington innovative school also included the redefinition of teacher-pupil roles. In order to socialize the faculty with its new role, the teachers would meet for four weeks – the summer workshop – before the start of the school. Organizationally, the Kensington School had three divisions: Basic Skills, Transition and Independent Study (ISD). Each division had a distinctive function, multiple and varied means of achieving that function, a basic unit of organization, a specific organizational structure and differentiated means for measuring pupil progress. On its institutional plan, the elementary school sought to "assist pupils to become fully functioning mature human beings," "meet the needs of individual differences" and "provide skills … which will enable pupils to identify worthwhile goals for themselves, and to work independently …" (Smith & Keith, 1971, p. 32). Despite this statement of goals and structures, users were not able to articulate the operational plans of the Kensington innovation due to various conflicts. Users experienced a tension between the superintendent's call and view to 'build a school," the principal's institutional plan, and their own educational views.

Another source of conflict was the highly formalized educational doctrine. Due to its newness and to the perceived weaknesses of American education at the time, the district leadership saw the need to define and codify the educational doctrine at Kensington. The result of this action led to a doctrine that was abstract, wide in scope, complicated, unique and too rigid. Staff conflict, difficulties in procedures and incongruence with community were the outcomes. This all led to a façade or an image that the school used as "a cloak or screen covering the realities of organizational practices" (p. 40). Goals were stated, however, the means to achieve those goals were not provided. As the authors concluded, "common guidelines that guided did not exist; the language of school organization, teaching and goals for pupils remains metaphorical and literary but neither practical nor scientific" (p. 53).

In addition to failure of clarity, a related factor that weakened the implementation process in the innovation and diffusion era was the restricted nature of the planning that preceded and the feedback that accompanied the implementation. Gross, Giacquinta and Bernstein (1971), for example, noted that teachers reported no specific differences in their conceptions of the catalytic role model between November, when the innovation was announced, and January when they were first asked to implement the model in their classrooms, a pattern that largely persisted into April.

Similarly in the case of the Kensington innovation, teachers were expected to create and implement a curriculum rooted in individualized instruction, but were not introduced to it until four weeks before the official opening of the school. At this time, in a summer workshop teachers were trained by representatives of the National Training Laboratory. This was a "unique kind of learning experience in which a number of persons meet together and the activity of the group develops out of the growing relationships among the members of the group. The training was intended to make individuals more perceptive of group processes and their own personal relationships within the group" (Smith & Keith, 1971, p. 58). However, these four weeks generated and crystallized several conflicts. One of these had to do with 'substantive' versus 'process' staff orientations (p. 62). In the training process, primary attention was given to substantive concerns. The focus of planning became the institutional plan's mantra to help children become "fully functioning mature human beings" (p. 66). During the four weeks of planning, curriculum subcommittees could not reconcile the dilemma highlighted by the administration's expectations to build a "totally individualized child-selected curriculum as opposed to a structured and sequenced set of experiences formulated by adults …" (p. 70) and on the other hand the administration's discouraging and intolerant attitudes toward critical or different points of view about the innovation among the staff. To illustrate, a staff member of the ISD division was immediately removed when it was discovered that his

views were different from the team and blocked the functioning of the team as well. Instead of planning and providing an open space for the Kensington faculty to have authentic dialogue about the practical implications of pupil autonomy and individualized instruction in the classroom, the summer workshop highlighted the assumptions of the implementers and blocked the development and nurturing of a professional and collaborative educational climate.

In addition to problems of clarity and planning, both of these cases highlighted how the characteristics of the user could present a significant barrier to the implementation process during the innovation and diffusion period. Gross, Giacquinta and Bernstein (1971) noted that at Cambire, teachers "did not possess the capabilities needed to perform in accord with the new role model" (p. 129). Teachers reported facing several problems at different times during their efforts to implement the catalytic role model. Most teachers reported having serious difficulties, lacking the help they needed to carry out their new roles, while problems during the initial phase persisted.

Teachers also reported facing several other difficulties that arose during their efforts. Some of these included discipline issues, minimal learning, low interest and motivation of children, pupil misuse of materials and ineffective interaction with colleagues. It was thus concluded that teachers at Cambire were unable to develop and execute the competencies under the catalytic role model. Smith and Keith (1971) noted that teachers at Kensington experienced great

difficulties enacting their roles in the innovative teacher-pupil relationships,

especially in terms of defining and facilitating pupil responsibility in relation to

the scheduling of classes in a new building. Another crucial factor that

undermined implementation during the innovation and diffusion period was the

poor quality as well as absence of appropriate materials. Teachers at Cambire did

not have the required instructional materials. While, the director made very clear

that in order for teachers to act as catalysts, "they must make available to their

pupils curriculum materials that are highly motivating and self-instructional in

nature" (p. 136). Teachers indicated that available materials were inadequate:

"they hardly represent instructional materials that would permit a pupil to

progress very far in a meaningful way on his own …" (p. 137). In short, at

Cambire it was not only deficiency in the quantity, but also the quality of

materials that undermined implementation of the catalytic model. Smith and Keith

(1971) also noted that the alternative of grandeur in the sense of simultaneous

whole school change that was employed at Kensington, placed heavy demands of

time and energy on teachers. The changing of multiple components and structures

at the same time led to an increase of unintended consequences, heightened

uncertainty and excessive demand on both internal and environmental resources.

The final factor that affected the implementation process in both of these

cases was leadership or management. Gross, Giacquinta and Bernstein (1971)

referred to "the failure of the administration to recognize or to resolve problems to

which it exposed teachers when requested them to implement the innovation" (p. 191). The implementation strategy of the Cambire director required the explanation of the philosophy and objectives of the catalytic role model, the granting of freedom to teachers to implement the innovation, the delegating of responsibility and the availability of additional funds. Gross, Giacquinta and Bernstein (1971) reported that this strategy failed because difficulties arose when the innovation was initiated by teachers was not taken into account and no mechanisms were made available to deal with unanticipated problems. Potential obstacles were not identified. Feedback mechanisms and opportunities to voice concerns and disagreements about the catalytic role model were largely suppressed. The director's assumptions regarding the operation and functioning of the catalytic role model at Cambire negated the identification of issues and facts that could have helped the director cope with the factors of implementation mentioned above.

On the other hand, Smith and Keith (1971) noted that at Kensington the upside-down authority structure negated the work of democratic school administration. The traditional view of the district central office, the principal's inability to delegate responsibility, his role as a statesman and his hyper-rationality in planning led to several consequences. Some of these included the costs translated into staff conflict and hostility, changing personnel, new organizational structures, confusion in handling pupils and pupil dissatisfaction.

In short, the management strategy employed at Kensington triggered problems and issues that were counter to the egalitarian and democratic ethos that the educational innovation was intended to observe in the first place.

The innovation and diffusion period introduced major curricular and organizational innovations to schools. The general intended goal was to educate children so they were able to compete in a world that was in a global and competitive economy, technology, and scientific world. However, innovations were only initially / partially adopted. Innovations were not fully implemented because goals and the means to enact these, planning, roles, resources and management were not articulated operationally or enacted culturally. The organizational realities of the schools did not reflect the actual description of the innovation. By the end of this era, it was becoming clear that the implementation of educational change was a neglected process (Berman & McLaughlin, 1978).

Michael Fullan's Assessment on the Innovation and Diffusion Period

One of the scholars who pointed to the massive failure of educational innovations in early educational research and practice was Fullan. Fullan (1972) noted that the R, D and D approach to educational change had certain problematic assumptions regarding the role of the user. This model assumed that innovations were developed and tested by experts; users were treated as passive receivers "either accepting or rejecting packaged innovations" and that innovations "could

readily be accepted into a user system" (p. 4). Change was viewed as a subject in which certainty was measured by quantitative and experimental methods. Fullan explained that the failure of the innovation and diffusion period stemmed from the educational research assertion that "to measure school innovativeness was to ask individuals how many specific innovations (from a predefined list) they had adopted over a given time period" (p. 5). The focus was on the innovation, not the user. Fullan claimed that "there was little awareness that innovations require unlearning and relearning and create uncertainty and concerns about competencies to perform these new roles" (p. 15).

Lack of attention to the complexities of using innovations in actual practice was the missing link. To respond to the challenge of the neglected user in the implementation process, Fullan (1972) offered the elements of effective educational change processes at the user level model: user's objectives → adoption of sound innovations → user's acceptance → user's capabilities → effective outcome.[7] The implications of this model called for close examination of the role of teachers in the change process.

Fullan (1972) concluded that "radical change can come only through the steady development of individual's capacities to play active roles …" (p. 218). Teachers had to play an active role in the change process. Their capacity and skill was crucial to the implementation of the change initiative. Unfortunately, teachers

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[7]*see* Appendixes 5C, 5D & 5E.

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were expected to implement the adopted change in exactly the same manner that it was announced and prescribed. Worse, there were almost no mechanisms of communication or feedback between those choosing the initiative and those called to implement it in their corresponding classrooms.

In their major review of curriculum reforms, Fullan and Pomfret (1977) also affirmed the importance of closely looking at implementation if one wants to ensure that educational change has taken place. "We simply do not know what has changed unless we attempt to conceptualize and measure it directly; to understand some of the reasons why so many educational changes fail to become established; failure to do so may result in implementation being ignored, or else being confused with other aspects of the change process such as adoption (decision to use an innovation), or even the confusing of the determinants of implementation itself" (Fullan & Pomfret, pp. 337-338).

A distinction was also made between implementation studies that had a fidelity perspective where the aim is to "determine the degree of implementation of an innovation in terms of the extent to which actual use of the innovation corresponds to intended or planned use" (p. 340) and those that had a mutual adaptation which is "directed at analyzing the complexities of the change process vis-à-vis how innovations become developed/changed …" (p. 340). This major review basically argued that the implementation process takes place along the characteristics of the innovation strategies, characteristics of the adopting unit,

and characteristics of macro sociopolitical units. Implementation is a process that should take into account local agents and/or users. They are the ultimate decision-makers. Thus, it is at the local level that implementation takes place.

Fullan and Pomfret (1977), however, clearly indicated that they are not "suggesting that local users determine all innovation decisions" (p. 393). The implementation process should be the focus and relationships must be re-defined. "We are saying, however, that if implementation is to occur on a wider scale, different aspects of the innovation process must be emphasized and a different basis for central/local relationships and process must be developed" (Fullan & Pomfret, p. 393). These claims sought to broaden the focus on innovation by highlighting to policy-makers and researchers the complexities of the implementation process. Implementation was looked at as a process in a social system affected by relationships and users.[8]

Large-scale innovation during the innovation and diffusion period faced serious difficulties because of predominant technical assumptions. Implementation[9] was expected to take place without attention to the user thus the unraveling and logical unfolding and unanticipated consequences and uncertainties. While Fullan's scholarly commentary never led a change period, it provided a perspective at the end of the period of why certain initiatives (within the period) succeeded and others did not. Change was assumed and treated to be a

[8]*see* Appendix 5J.
[9]*see* Appendixes 5A & 5B.

rational and linear process. The absence of a clear and articulate theory of action implied that adoption equaled implementation. The gap between the statements behind progressive practices and realities in the classroom documented by studies in the 1970s led a series of reform movements whose source was predominantly external and structural as the next section shows.

School Effectiveness and School Improvement

In an effort to respond to the alarming failure of large scale innovations during the 1960s, educational researchers focused on finding what made schools effective as well as how could they improve. While the predominant issue during the 1960s was the innovativeness of educational reform driven by a response to Sputnik and a desire for national superiority, the overriding strategy since the 1970s had been twofold: to identify the characteristics of effective schools and their impact on pupil outcomes and to pinpoint the processes of change that schools needed in order to become better. The former refers to the school effectiveness knowledge base, while the latter refers to the school improvement practice base.

This section briefly reviews the research traditions of school effectiveness and school improvement. I will first outline their origins, aims, assumptions and missions. I shall then explore their definitions and models and highlight Fullan's critical assessment of school effectiveness. Finally, the features of school

effectiveness and school improvement are described in order to show the features

that can bring them together. Two action research projects that illustrate attempts

to link school effectiveness and school improvement are briefly described in order

to then capture some of the unresolved issues that characterize these paradigms.

Origins, Aims, Assumptions and Missions

The genesis of the school effectiveness movement in both the USA and

Britain can be traced back to significant evaluation and reports of failed

innovations during the late 1960s that claimed that home, family background and

socioeconomic status, not schools, determined student success (Coleman, 1966;

Plowden, 1967). It is critical here to acknowledge that the purpose of Coleman's

report was to provide a basis for President Johnson's policy on school

desegregation and for increasing support for schools serving high poverty

communities. Coleman did not start out to document the failure of prior

innovations in the early 1960s. He basically tried to identify inputs and outputs

and found that schools inputs of any kind made little or no statistical difference in

student outcomes.

In addition to these accounts, others similarly suggested that 'education

cannot compensate for society' (Bernstein, 1970); that hereditary reasons

explained academic achievement (Jensen, 1969) and that social inequalities were

at the root of underachievement (Bowles & Gintis, 1976). While all of these

claims illustrated the different ways that schools did not make a difference, the one thing that they held in common was that "they all vastly underestimated the influence of school on pupil progress" (Hopkins, 2001, p. 43).

In the United States, the policy implications and practical consequences of the claims in the Coleman report were so disturbing that the education community started to raise significant questions regarding what schools actually could do to make a difference in the lives of disadvantaged students. Lieberman (1998) noted that "researchers now began to look inside the school trying to assess how new curricular, pedagogical and organizational ideas were organized, how teachers worked with students and with each other and what the role of leadership was" (p. 16). These questions led to optimism about the impact of schools on children and to the birth of the school effectiveness movement. Inspired by the phrase "all children can learn", the school effectiveness movement (Edmonds, 1979) claimed that schools made a difference in the lives of disadvantaged children when they were characterized by five factors: strong administrative leadership, school climate conducive to learning, high expectation of children's achievement, clear instructional objectives for monitoring student performance and emphasis on basic skills instruction.

School effectiveness was defined as the ability of the school to raise student outcomes beyond what their socioeconomic and family background variables would have predicted. Thus, a suburban school serving predominantly

privileged and stable families would be expected to produce high student outcomes and would not therefore, according to the definition of effectiveness, be considered effective unless these students performed significantly above what would be expected. An urban school, however, with modest student test scores in basic skills might be considered effective because its students would be seen as achieving beyond what might have been expected given their socioeconomic backgrounds.

On the other hand, the school improvement paradigm is a direct response to the failure of top-down education reform in the 1960s. Top down education reform was predominantly guided and governed by the technological paradigm (Berman, 1981; Rogers, 1983). Educational innovations were brought by people outside the schools, especially university professors and based on the paradigm of expert knowledge in the academic disciplines at the high school level and child development at the elementary level (Elmore, 1996). These curricular and organizational innovations were primarily directed at student outcomes; focused on the school more than the teacher and were grounded in a quantitative rather than in a qualitative paradigm (Reynolds et al., 1993). The result of the documented failure of this top-down technological view of educational reform led to the birth of the school improvement paradigm. "The failure of 'top-down' approaches to educational change led to 'bottom-up' approaches that involved practitioner rather than external knowledge. The focus shifted from the

educational organization as a unit for change to changes in educational processes"
(Fink & Stoll, 1998, p. 305). In short, while the school effectiveness movement
was a challenge to the prevailing educational discourse that schools did not make
a difference, the birth of the school improvement paradigm was a reaction to an
education reform approach that lacked teacher ownership and treated educational
reform and change as an event, rather than as a process.

Thus, school effectiveness and school improvement not only represent
different responses to the failure of large-scale educational innovations in the
1960s, but also contrasting aims:

> School effectiveness researchers have examined the quality and
> equity of schooling in order to find out why some schools are more
> effective than others in promoting positive outcomes, … [while
> running parallel] … school improvement researchers have focused
> their studies on the processes that schools go through to become
> more successful and sustain this improvement … (Stoll, 1996, p.
> 51)

These aims imply that school improvement rests on a set of different
assumptions from those of school effectiveness. According to Hopkins et al.
(1994) school improvement practice operates under the following assumptions:
the school as the center of change; a systematic approach to change; the internal
conditions of schools as a key focus for change; accomplishing educational goals
more effectively; a multi-level perspective; integrative implementation strategies
and the drive towards institutionalization. In contrast to school improvement,

school effectiveness has been historically grounded on: "a pragmatic response to policy initiatives; a commitment to quantitative methods; a concern with the formal organization of schools rather than with their more informal process; a focus upon outcomes which were accepted as being a 'good' that was not to be questioned and a focus upon description of schools as static, steady-state organizations generated by brief research study" (Hopkins, 2001, p. 57).

Consequently, school effectiveness and school improvement have different missions (Creemers & Reezigt, 1997). School effectiveness is heavily research-based on outcomes and school improvement is innovation-based. For school effectiveness research "there are no time limits, while school improvement is an answer to a question requiring immediate action" (Creemers & Reezigt, p. 399). School effectiveness is also focused on developing theories and research results to gain quantifiable, objective knowledge about causes and effects, while school improvement is focused on change and problem solving strategies in order to gain subjective knowledge of how the individuals involved in reform manage to accomplish educational goals. Yet another difference concerns its methodology. School effectiveness researchers use rigorous statistical techniques for data analysis, while school improvement researchers have a "more developmental character; do not always begin with a well-phrased question and do not always end with a clear answer to that question" (Creemers & Reezigt, p. 400). Finally, school effectiveness researchers mainly focus on change in pupil

outcomes and classroom level processes, while school improvement researchers

expand their focus to include other factors and variables beyond the school level,

such as school context. A discussion of the models advocated by each movement

will provide an understanding of how these assumptions and missions have

impacted educational reform and change.

Models

In order to capture the theories and models that characterize school

effectiveness and school improvement, it is imperative to start by defining them.

In its basic and original form the school effectiveness knowledge base is

outcomes- and equity-oriented (Levine & Lezzotte, 1990) while school

improvement practice is process-oriented (Fullan, 1991; Hopkins 1994). That is,

the former seems to be concerned with identifying those correlates or predictors

of students' academic achievement, the *what* of educational change, while the

latter represents a "systematic sustained effort aimed at change in learning

conditions and other related internal conditions in one or more schools, with the

ultimate aim of accomplishing educational goals more effectively" (van Velzen et

al., 1985, p. 48), the *how* of educational change. In short, school effectiveness is

about the ends and school improvement is about the means of educational change.

Although, this may be a rather simplistic way to characterize these two

movements, it nonetheless provides a framework to start examining their evolution as approaches to educational change.

As previously mentioned, the school effectiveness knowledge base began with Edmonds' (1979) five factor model. It was argued at the time that if schools adopted these principles then educational goals would be accomplished. Despite successfully challenging the 'school makes no difference' thesis and thus highlighting the importance of equity in schools, this model had several limitations. Edmond's five factor model was limited due to "its emphasis on basic skills, its assumption of causality based on correlational evidence, the independence and locus of factors and the tautology of relating an emphasis on basic skills to achievement in basic skills" (Stoll & Fink, 1996, p. 38). It is important to point out that it was under Edmonds' principalship that his school produced the results in student outcomes. It is thus critical to recognize that Edmonds did not set out with a 5 factor model. This model was developed by studying what Edmonds did as a principal. Measures of basic skills were the critical measure of effectiveness then. However, critics did not call for abandoning basic skills, but for going beyond them.

In its place, the Edmonds' (1979) five factor model was expanded and replaced by two significant studies: Fifteen Thousand Hours (Rutter et al., 1979) and School Matters (Mortimore et al., 1988). Fifteen Thousand Hours, a study of 12 secondary schools serving disadvantaged children in South London, aimed at

answering if different schools have different effects on children's progress and if this was the case then to identify what makes some schools more successful than others. The findings in this study revealed that schools showed considerable differences in terms of delinquency rates, behavior patterns, attendance and academic achievement. What was most striking about this study was that the schools "most likely associated with positive outcomes had created a particular ethos: a positive view of young people and of learning" (Mortimore, p. 88). This implied that individual actions or means cold have been combined to create a particular ethos or set of values and expectations that will characterize the school as a whole.

On the other hand, School Matters, a longitudinal study of primary schools, aimed at documenting the progress of a cohort of students from ages 7 to 11 to establish the reasons as to why some schools are more effective than others and to find out differences in the progress of pupils having taken into account variations in their intake characteristics. Similarly to Fifteen Thousand Hours, this study revealed that primary schools were also uneven in their effects. Mortimore et al. (1988) identified 12 key factors for effectiveness: purposeful leadership of the staff by the head teacher; the involvement of the deputy head; the involvement of teachers; consistency among teachers; structured sessions; intellectually challenging teaching; work-centered environment; limited focus within lessons;

maximum communication between teachers and pupils; record keeping; parent involvement and positive climate (Mortimore et al., pp. 250-266).

Fifteen Thousand Hours and School Matters significantly supported and deepened Edmonds' (1979) thesis that 'schools make a difference' and expanded his five factor model. They demonstrated that "most factors which emerged as being strongly associated with positive outcomes fell within the control of principals and teachers and few appeared to be determined from outside of the school" (Mortimore, 1998, p. 88). In essence, what these studies accomplished was to replace the simplistic input-output framework embodied by Edmonds' original correlates of achievement which were the parameters established by Coleman's research, with a much more rich and complex context-input-process-output model. Other attempts to expand this focus on context and process include an explanation of situational and contextual variables using contingency theory (Scheerens, 1992; Teddlie & Stringfield, 1993).

In addition to these studies, other researchers have sought to broaden the contributors and variables and definitions of effectiveness. For example, Purkey and Smith (1983) outlined what they deemed the most important organization-structure variables for effective schools. These included: school-site management, instructional leadership, staff stability, curriculum articulation and organization, school-wide staff development, parental involvement and support, school wide recognition of academic success, maximizing learning time and district support.

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Furthermore, Sammons et al. (1995) also identified eleven factors for effective schools: shared leadership, shared vision and goals, a learning environment, a concentration on teaching and learning, high expectations, positive reinforcement, monitoring progress, pupil rights and responsibilities and purposeful teaching. In short, school effectiveness studies have grown from the simple five factor model (Edmonds, 1979) into an extended and expanded list of variables and models.

In contrast to school effectiveness, school improvement researchers are very reluctant to provide models. Rather, school improvement practice offers perspectives, frameworks, guidelines and approaches (Ainscow et al., 1994; Caldwell & Spinks, 1988; Fullan, 1991; Hopkins, 2001; House, 1981; Joyce, 1991). School improvement researchers advocate for these instead of models because their aim is to demonstrate that educational change is a process, not an event.

Two key studies that illustrate this process-based definition of educational reform and change are Huberman and Miles (1984) and Louis and Miles (1990). Huberman and Miles was multi-case study of 12 chosen sites within a large sample of 146 sites or schools from suburban, rural, and urban settings. It aimed to "develop explanations, a reasonable web of causal influences that help us understand, not just that a school improvement effort worked or failed in the special circumstances at the [chosen sites], but why it did" (p. 1). Using ethnographic methods, researchers reported that the adoption of an innovation

was heavily influenced by multiple motives that were strongly related to career plans, the centrality of classroom life and the initial attitude toward the program (Huberman & Miles, p. 44). The key finding of this study was that school improvement requires confronting several dilemmas: (1) Fidelity versus Adaptation; (2) Centralized versus Dispersed Influence; (3) Coordination versus Flexibility; (4) Ambitiousness versus Practicality; (5) Change versus Stability and, (6) Career Development versus Local Capacity (Huberman & Miles, pp. 278-280).

On the other hand Louis and Miles (1990), an in-depth multi-case study of five high schools located in major American metropolitan cities, was guided by the argument "that creating more effective schools requires a significant change in patterns of leadership and management at the school level" (Louis & Miles, p. 19). Researchers argued that school improvement required that the old model (organizing for stability), a bureaucratic one due to its "clear division of labor among people in different roles and to its clear hierarchy" (p. 22) needed to be replaced by a more adaptive model, one that is predicated upon the "need for constant learning and evolution to improve the basic functioning of the school" (Louis & Miles, p. 26).

The key finding of this study was that there are certain action motifs that successful and effective change leaders and agents must follow. Change leaders must articulate a vision – "Effective school leaders are able to talk about what

they want for the school" (p. 30) and "…help people develop images of 'how to get there' which are process themes" (p. 31); get shared vision ownership – "sharing responsibility and accountability" (p. 31) and, "…staff should be rewarded for suggesting and trying new things, not only for succeeding" (p. 31); use evolutionary planning – "…not a hand-to-mouth approach, but coherent, intelligent adaptation based on direct experience with what is working toward the vision and what isn't" (p. 32). On the other hand, change agents must negotiate the school's relationship and its environment. As environmental managers, effective school agent requires that change agents "…being proactive by grabbing, getting, and taking advantage of potential resources rather than waiting for them to be provided; think constantly of assistance, training, and support as a master resource that will help other staff; think very broadly about resources and extend the traditional teacher-buffering activities of principals to include a more active negotiating stance in relation to the district office" (p. 33). In addition, change agents have coping skills. In order to obtain and achieve these skills, change agents are called to "coordinate and orchestrate the evolution of the program within the school" and be "deep copers" (p. 34) by having "enormous persistence and tenacity" (p. 35) and to have a "high tolerance for complexity and ambiguity" (p. 35). In sum, school improvement requires the adoption and articulation of a shared vision and image, evolutionary planning, effective relationships, resources, and coping skills.

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The findings of these two school improvement studies demonstrate that there is no recipe or single solution that can help schools get better. Rather, school improvement researchers provide evidence that the development of effective schools and effective teaching is a process full of contradictions and dilemmas.

Coming Together: The Legacies of School Effectiveness and School Improvement

Despite having different intellectual orientations and missions, researchers have pointed out that school effectiveness and school improvement need each other's approaches, perspectives and findings (Clark et al., 1984; Creemers & Reezigt, 1997; Gray et al., 1996; Hopkins & Reynolds, 2001; Lezotte, 1989; Mortimore, 1991; Reynolds et al., 1993). In fact, Stoll (1996) claims that school effectiveness and school improvement not only complement each other, but also that their corresponding shortcomings can be counterbalanced by their separate strengths:

> School effectiveness researchers can provide knowledge for school improvers about factors within schools and classrooms that can be changed to produce high-quality schooling, whereas school improvement strategies provide the ultimate test for many of the theories posited by school effectiveness researchers. (Stoll, 1996, p. 55)

Building and sustaining links between school effectiveness and school improvement demands an examination of their respective legacies. This section

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examines the possibilities of merging these two movements by listing their contributions and the ways they complement each other.

According to Stoll (1996) the school effectiveness knowledge base has made a number of significant contributions to the study of change in schools. Researchers in school effectiveness focused on outcomes and equity. Historically, the quality of education in the United States has been dependent on wealth and socio-economic status (Murphy, 1992). As a result, educational achievement has been directly associated with resources (input). School effectiveness researchers have challenged this prevailing view by highlighting what schools can do to make a difference in student outcomes (Mortimore et al., 1988; Rutter et al., 1979). School effectiveness has also demonstrated that despite divergent socio-economic backgrounds, all students can learn and achieve but not necessarily with equal results (Edmonds, 1979; Nuttall et al., 1989; Teddlie & Stringfield, 1985). Researchers of school effectiveness have redefined school success "not in absolute success but as the valued added, beyond wealth and family background influences, to what students brought to the educational process" and claimed that "effectiveness depended on an equitable distribution of learning outcomes across the entire population of the school" (Murphy, p. 95).

In contrast, school improvement researchers rarely focus on outcomes and at times this focus on process often appears as a goal in itself (Fullan, 1991) and neglects an impact on student learning by "underemphasizing the end of the

chain" (Hopkins, et al., 1994, p. 39). In the age of accountability and multiple innovations, school improvement researchers can use the characteristics of effective schools to test their strategies for accomplishing educational goals. School improvement researchers can be informed by the historical emphasis on equity (Edmonds, 1979) of the school effectiveness movement. School improvement researchers should also be "aware of the background of the student population in a school before they assess the value added by the school's change effort over and above what the students might be expected to learn given their background, prior knowledge and attitudes" (Stoll. 1996, p. 55).

In addition to a focus on outcomes and equity, researchers in school effectiveness have embraced the use of data for decision-making and provided knowledge of what is effective elsewhere (Stoll, 1996). Due to its outcomes-based research and practice orientation, school effectiveness "offers a database to help schools in their own planning" (Stoll, p. 56). School effectiveness helps schools determine where they are by identifying their needs. The use of data can help school improvement researchers to determine what strategies and approaches are meeting the needs of different student population groups. In addition, the school effectiveness knowledge base provides schools with a list of characteristics of effective schools that has been evolving over the years and in which there is a significant overlap (Edmonds, 1979; Purkey & Smith, 1983; Sammons et al., 1995). Consistent findings of school effectiveness studies conducted over time

can also guide school improvement researchers in the reaffirmation and reformulation of frameworks, processes, strategies and approaches to educational change (Lezotte, 1989).

Researchers in the school effectiveness movement have also emphasized that the school is the focus of change (Stoll, 1996). Educational change should have a school-based orientation. As it was mentioned earlier, top-down education reform was unsuccessful because it treated educational change as a large technical matter. It did not take into account the people that study and work in schools as well as the unique contextual characteristics. School effectiveness researchers stress that "individual schools need to take responsibility for their own change efforts" (Stoll, p. 56). The school as a focus of change can inform school improvement researchers of the need to appreciate and determine those strategies and processes of change that may work in one context (secondary), but not in another (elementary).

Researchers in the school improvement paradigm have also made a number of significant contributions to the study of educational change (Stoll, 1996). School improvement researchers claim that educational change is a process and that it is permeated by an orientation towards action and ongoing development. School improvement researchers have focused on providing assistance regarding the change process. Specifically, researchers within this tradition have pointed to the phases of change: initiation, implementation and

institutionalization (Berman & McLaughlin, 1978; Crandall et al., 1982; Fullan, 1991; Louis and Miles, 1990; Miles & Huberman, 1984; Sarason, 1971). Building on these findings, school improvement researchers have argued that due to the dynamic nature of schools as institutions, approaches to educational change should not aim at imposing specific solutions. Schools are constantly changing, therefore "only by studying this process of change and its impact can we really understand schools" (Stoll, p. 57). School effectiveness researchers should take into account that educational change is a process, not an event (Fullan) and that teacher ownership is critical. Thus, researchers in school improvement can help broaden effective school characteristics by adopting a process orientation that encompass teacher outcomes (Rosenholtz, 1989) as well as a progress orientation that include the evaluation of children across multiple outcomes (Stoll & Fink, 1996).

Another contribution of the school improvement movement to the study of educational change includes an emphasis on school-selected priorities for development. School improvement researchers point out that one of the major reasons why early educational change efforts failed often was due to a lack of ownership at the user level (Fullan, 1972; 1991). Therefore, school improvement practice highlights the need of engagement on the part of teachers directly responsible for implementing educational innovations at schools. Various school improvement approaches such as school development planning (Hopkins, 1996);

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self-managed schools (Caldwell & Spinks, 1988) and the doors to school improvement (Joyce, 1991) represent deliberate and practical actions and projects that highlight the critical importance of involvement and ownership of the process of change. Given its emphasis on school-selected priorities for development, school improvement researchers' expertise can be useful in the application and translation of school effectiveness characteristics.

In addition to selected-school priorities, researchers in the school improvement tradition have tried to get inside the black box of educational change by examining the impact and role of the school culture (Fullan & Hargreaves, 1992; Rosenholtz, 1989; Siskin, 1994). Recently, school improvement researchers have focused on the potential of the school culture to develop and nurture or inhibit a climate of trust and collaboration that is conducive to continuous learning (Hargreaves, 1995; Little, 1990; Stoll & Fink, 1996). A focus on culture informs and guides school effectiveness researchers in their quest for relevance and usefulness.

School improvement researchers can help school effectiveness researchers broaden their definitions by adopting a multilevel perspective on characteristics. On one side, school improvement researchers view the school as the centre of change. This implies that education reform should be context-sensitive (Hopkins, et al., 1994). One size does not fit all. On the other side, schools "cannot be separated from the context around it" (Stoll, 1996, p. 58). Schools need to be part

of a wider context under which they operate (Sirotnik, 1998). Schools need to make connections to other schools and districts as well as universities, community organizations and businesses.

The legacies of school effectiveness and school improvement feature a series of components that can be used to make closer links between the two. School improvers can be provided with the factors that build capacity to improve instruction that, in turn, enhance student learning. School effectiveness researchers can be provided with the strategies to field test effective characteristics. One area of inquiry where these two paradigms have come together is action research.

Combining School Effectiveness and School Improvement

Two action research projects that illustrate the linking of the school effectiveness and school improvement paradigms are the Halton Effective School Project (Stoll & Fink, 1996) and Improving the Quality of Educational for All (IQEA). The Halton Effective School Project was an "attempt to bring the results of school effectiveness research carried out within Britain (Mortimore et al., 1988) into the schooling practices of Canada …" (Stoll). However, due to the difficulties found in the implementation of the project, a school improvement approach was adopted to generate and inform change strategies.

> Essentially, top down mandates to schools to address the characteristics of   effectiveness failed because they did not engender ownership and commitment, nor did they pay attention to the process and impact of change on those who worked through it. (Stoll, 1996, p.58)

Building on the school improvement literature, Halton was based on the assumption that the school is center of change (Fullan, 1991). This meant that the school was not viewed as an isolated entity, but as connected to the wider community. Halton was also guided by a strategic plan in which the district played a significant role. This strategic plan included a school growth planning process consisting of four stages, namely assessment, planning, implementation and evaluation (Reynolds et al., 1993); a focus on instruction, where the district established student outcomes and the staff development. The purpose of this strategic plan was to build a system that "provided a framework within which growth planning could occur and offered support for success" (Stoll, 1996, p. 59). This was the significant role of the district in Halton.

Halton's model of school effectiveness was measured by the use of questionnaires. Through these parents, students and teachers were able to offer an assessment of where the school was in reference to clear indicators. In addition, schools were also encouraged to examine curricula and instructional strategies and education initiatives emanating from the Ontario Ministry of Education.

Halton's key finding was that school growth planning led to greater staff involvement, a collaborative culture and the collective building of a vision among teachers and principals. Researchers found that the "growth planning process showed that the creation of an effective school depends on much more than the knowledge of what has been successful and effective elsewhere" (Reynolds et al., 1993, p. 48). In short, process strategies are shaped by the unique context of the school.

The IQEA project, involving a number of schools belonging to the English Local Education Authorities, aimed at "strengthening the school's ability to provide quality education for all its pupils by building upon good practice" (Ainscow et al., 1994). Similarly to Halton, IQEA seeks to combine the school improvement and school effectiveness paradigms. IQEA is "pupil orientated, involves measurement of program success or failure at outcome level but is also concerned with the within-school study of school processes from a qualitative orientation" (Reynolds, et al., 1993). IQEA was based on the assumptions of enhanced outcomes, the role of the school culture, school background and organization as key factors, a clear and practical focus for development, a simultaneous focus in the conditions as well as the curriculum and a strategy that links priorities to the conditions.

The key finding of IQEA is that improvement strategies work best "when a clear and practical focus for development is linked to simultaneous work on the

internal conditions of the school" (Reynolds et al., 1993). In the IQEA project, schools use the impetus of external reform to enhance student outcomes. Schools identified priorities; created internal conditions and selected strategies. These strategies included staff development, inquiry and reflection, leadership, coordination and collaborative planning. What is significant about the IQEA project is that it employs a holistic strategy (curriculum, conditions, strategies etc.) to accelerate the achievement of students and the improvement of schools' conditions.

The two projects briefly described above demonstrate that it is possible to link the school effectiveness knowledge base and school improvement practice. These two paradigms do not have to be mutually exclusive. They can complement each other. A close examination of the legacies of these paradigms and possibilities for a fruitful union are provided. The Halton and IQEA projects represent two examples of this possible merger. School effectiveness can provide the knowledge of those factors that can be manipulated by change strategies. School improvement can provide the change strategies that can be used to test the factors identified by school effectiveness. However, questions regarding the relevance and implementation of characteristics of effective schools as well as the measurement of improvement projects remain critical issues to be dealt with before close links can be made between school effectiveness and school improvement.

The main task here is to combine school processes with student outcomes. Some issues that remain unsolved in this task are whether the characteristics of effective schools remain relevant today as well as whether they can be implemented. The school effectiveness knowledge base runs the risk of becoming irrelevant due to the fact that "key studies carried in the 1970s and 1980s … are largely based on what makes schools effective in the here and now, not what is necessary in a fast changing world …" (Fink & Stoll, 1998, p. 303). School effectiveness studies can also become irrelevant due to the narrow and de-contextualized measures of student outcomes employed and relied upon which can perpetuate "instruments of social inequity and educational reductionism" (Stoll & Fink, p. 303).

In terms of whether the characteristics of effective schools can be implemented, the pressing issue is that schools deal with multiple innovations (Fullan, 1991; Wallace, 1991) and represent "unique cultures, contexts, macro and micro-politics" (Stoll & Fink, 1998, p.304). The message here is that there is a strong need for "multidisciplinary, multi-leveled descriptions of schools and their communities as complex, interrelated non-linear systems that can help inform educational change efforts" (Stoll & Fink, p. 304).

One last issue to be attended in the merging of school processes and student outcomes is how to measure the impact of school improvement projects (Stoll, 1996). There are two issues here. One is how to measure the progress of a

school towards a chosen focus. Another is how to measure the change process itself. The former is about the attainment of student outcomes. The latter concerned the evaluation and monitoring of specific school improvement strategies. The challenge was how to ensure that student progress and outcomes were reached without sacrificing school and teacher quality. This tension highlights the potential contributions that a merging between the school effectiveness and school improvement paradigms bring to the study of educational change.

The failure of large-scale innovations in the 1960s was followed by the birth of the school effectiveness and the school improvement movements. School effectiveness began by challenging the thesis that schools do not make a difference. School improvement represented a direct response to the top-down education reform approach of the 1960s. The former aimed at identifying the characteristics of effective schools and its impact on pupil outcomes while the latter aimed at illuminating the processes schools undergo in order to become better.

Fullan's Assessment of School Effectiveness and School Improvement

Thus, school effectiveness and school improvement have historically operated under different assumptions and been guided by distinct missions. In fact, school effectiveness advocated for models that identified correlates for

effective characteristics while school improvement researchers called for guidelines and frameworks.

Fullan (1985, 1991) affirms that the impact of school effectiveness is narrow and limited due to the neglect of process factors and variables. Fullan (1991) states that school effectiveness "has mostly focused on narrow educational goals, and the research itself tells us almost nothing about how an effective school got that way and if it stayed effective" (p.22). Moreover, Fullan (1985) points out that Purkey and Smith's (1983) list of organization-structure variables is limited. He argued for process variables as a mean to achieve organizational factors. That is, organization-structure variables should be accompanied by process factors in order to fuel the dynamics of interaction and development. These included: leadership feel for the improvement process, the presence of an explicit implemented value system, intense interaction and communication and collaborative planning and implementation. The idea was that school improvement is the result of the combination of organization-structure and process factors. Fullan's scholarly commentary does not lead the period, but rather provided a perspective in the middle of the debate as to what school effectiveness is lacking. In the middle of this period, Fullan presented himself as an advocate of school improvement in addition to school effectiveness. In sum according to Fullan, educational change is not only about effectiveness and outcome factors, but also about improvement and process factors.

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The field of educational change has advanced as a result of the development of the school effectiveness knowledge as well as the school improvement practice bases. Clearly, the unresolved issue between efforts to merge these two stemmed from the tension of outcomes and processes. The 1980s dealt with this tension by calling for a reexamination of the schools in terms of their structural and cultural issues. Thus, educational change now turned to restructuring and reculturing.

Restructuring and Reculturing

Since the early 1980s, efforts to improve public schools have generated various approaches to bringing about educational change. Two of these were school restructuring and reculturing. This section examines the legacy of these two vehicles of school improvement. It first outlines the antecedents of school restructuring. Then it explores the origins, meanings and strategies of school restructuring as well as key studies. Following school restructuring, this section explicates school reculturing by investigating the origins and types of culture, describing the advocates, meanings and models of school culture as well as several of its key theoretical and empirical analyses and studies. Finally, Fullan's assessment of school restructuring and reculturing is explored in order to capture his contribution within this period.

Antecedents of School Restructuring

The antecedents of the current movement to restructure schools can be traced back to controversial national commission reports and privately funded studies during the early 1980s (Jacobson & Conway, 1990; Murphy, 1991). The most influential of these was the report of the National Commission on Excellence in Education (NCEE) *A Nation at Risk* (1983). This initiated what is known as the first wave of reforms (1982 - 1985) and the beginning of the excellence movement which operated under the assumption that problems in education "were traceable to low standards for workers and low quality of production tools" (Murphy, 1990, p. 22). Therefore, *A Nation at Risk* pointed to the failure of the American education system and the risk that this posed to the nation's democratic and economic well-being. The NCEE supported these claims by citing international comparisons of student achievement, high school and adult illiteracy rates and SAT scores. In order to correct these deficiencies, *A Nation at Risk* made five major recommendations: content, standards and expectations; the expansion of time; new approaches on teaching and learning the basics; the reconceptualization of leadership; and strengthening fiscal support. It was recommended that high school students take a significant number of courses in the five new basics: English, math, science, social studies and computing. It was also recommended that K-12 and higher education institutions *"adopt more rigorous and measurable standards, and higher expectations, for academic

performance and student conduct …"[10]; "significantly more time be devoted to learning the New Basics"[11] and that major steps be taken for the improvement of "the preparation of teachers or to make teaching a more rewarding and respected profession".[12]

Despite awakening millions of Americans to a 'crisis' in elementary and secondary education, *A Nation at Risk* did not produce fundamental changes. Jacobson and Conway (1990, p. 8) concluded that "recommendations were often vague, only weakly linked to empirical knowledge about teaching and learning and noncommittal to implementation". For example, recommendations on curricular content urged attainable goals, namely the increase in course requirements in English, math, social studies, science and computer science; however, little was proposed about "teaching students and teachers the skills they must know to work effectively with academic content" (Jacobson & Conway, p. 9). Similarly, recommendations for higher standards for student performance reasserted the value of traditional grades and standardized tests of achievement while ignoring "the issue of grade inflation or the difficulty of developing uniform, usable criteria for determining appropriate standards for grading" (Jacobson & Conway, p. 9). In short, *A Nation at Risk* was written under the

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[10] United States Department of Education. (n.d.). 1983 A Nation at Risk: The Impetus for Educational Reform. Retrieved November 1st, 2005, www.ed.gov/pubs/NatAtRisk/risk.html.
[11] United States Department of Education. (n.d.). 1983 A Nation at Risk: The Impetus for Educational Reform. Retrieved November 1st, 2005, www.ed.gov/pubs/NatAtRisk/risk.html.
[12] United States Department of Education. (n.d.). 1983 A Nation at Risk: The Impetus for Educational Reform. Retrieved November 1st, 2005, www.ed.gov/pubs/NatAtRisk/risk.html.

assumption that the existing system was basically sound, and that schools could be improved by fine tuning and by simply doing more of what they already did. The chief goal of these Wave I reforms was to restore excellence and quality by fixing the system in a mechanical and standardized manner (Murphy, 1989, 1990; Sedlak et al., 1986). The underlying common philosophy of wave I reforms was "that the conditions of schooling contributing to poor student outcomes are attributable to the poor quality of the workers and the inadequacy of their tools and that they are subject to revision through mandated, top-down initiatives - especially those from the state" (Murphy, 1991). The policy mechanisms used to improve schools were simplification, prescription and performance measurement (Hawley, 1998).

Origins, Meanings and Strategies of School Restructuring

The genesis of school restructuring was a result of the consensus among the education and policy community that Wave I reforms measures were insufficient (Boyd, 1987; Chubb, 1988; Elmore, 1987). According to Murphy (1990), educational reformers concurred that there was a need for "a fundamental revision in the way schools were organized and governed" (p. 25). For example, the Carnegie Forum of Education and the Economy in their report *A Nation Prepared* stated: "We do not believe the educational system needs repairing; we believe it must be rebuilt to match the drastic change needed in our economy if

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we are to prepare our children for productive lives in the 21st century" (cited in Murphy, p. xx).

Known also as Wave II Reforms, school restructuring is guided by the assumption that "problems are traceable to systems failure" (Murphy, 1990, p. 2) School restructuring, therefore, implies a shift from the bureaucratic model of control and compliance perceived to be rooted in centralized top-down mandates to a radical change of governance and work structures through bottom-up initiatives.

While there is no single meaning of restructuring, the central idea implies some sort of fundamental change in the way that schools are organized and in the way they operate (Conley, 1994; Hallinger, Murphy, & Hausman, 1992; Harvey & Crandall, 1988; Woods, et al., 1997). According to Murphy (1991), restructuring strategies include school-based management, choice, teacher empowerment and teaching for understanding. For the Carnegie Forum on Education and the Economy, restructuring entailed changes in teacher professionalism, autonomy and career rewards and changes in the structure towards placing decision-making authority near those at the schools. The National Governors Association also proposed the redesigning of curriculum and instruction to promote teaching for understanding; decentralizing of decision-making to the local school; differentiating the roles of teachers and providing a variety of accountability strategies (National Governors Association, 1989).

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Across the different dimensions of restructuring, all proposed strategies encompass one or more of three specific models: the technical model that seeks changes in the way teaching and learning occur, or in the core technology of schooling; the professional model that seeks changes in the occupational situation of educators, inclusive conditions of entry and licensure of teachers and administrators along with changes in school structure, conditions of work, and decision-making processes within schools; and the client model that seeks changes in the distribution of power between schools and their clients or in the governance structures within which schools operate (Elmore, 1990). Based on these strategies and models, the educational and policy community designed and enacted various restructuring initiatives or reforms at the local, district and national levels (Berends & King, 1994; Datnow et al., 2002; Fullan, 2000; Newmann & Associates, 1996; U.S. Department of Education, 2002).

Key School Restructuring Studies

Elmore et al. (1996) conducted a case study of restructuring experiments in three urban elementary schools to investigate the idea that education and policy-makers "can change how teachers teach and how students learn by changing the ways schools are organized" (Elmore et al., p. 1). Researchers provided case analyses of the literary, scientific and mathematical practices of four individual teachers at each school.

The researchers found that all three schools restructured successfully. They changed the way students were grouped; provided time for teachers to meet and share knowledge by working in teams; accessed new ideas through professional development opportunities; enacted a common vision of student learning and acquired greater responsibility on matters that had been decided in the past by the district or the state. Schools also exhibited major differences. All schools were different in the length of the change process, the district environment, teaching practice and knowledge. The key finding of this study was that changing teaching by changing the structure of the organization is a relationship that is "weak, problematic and indirect" (Elmore et al., 1996, p. 237) because "structural change often detracts from the more fundamental problems of changing teaching practice" (Elmore et al., p. 237). No "single set of structural changes that schools can make will lead predictably to a particular kind of teaching practice" (Elmore et al., p. 238). Likewise "It is just as plausible for changes in practice to lead to changes in structure as vice versa" (Elmore et al., p. 239). Elmore et al. concluded that changing teaching practice is "fundamentally a problem of enhancing individual knowledge and skills" (Elmore et al.,p. 240). In sum, this study affirmed the complexity of teaching and the importance of recognizing that since good teaching practice involves addressing the nature of learning explicitly, the structural conditions that can foster it are important but not sufficient for educational change.

A second study aimed at documenting the impact of restructuring initiatives in schools and youth-serving community agencies on the life chances of disadvantaged youth (Wehlage et al., 1992). This study claimed that "unless restructuring is directed at the school's core cultural beliefs and values affecting the quality of students' experiences and teachers' work lives, the modification of mere organizational structures will have little payoff in terms of better outcomes for students" (p. 54). The study reported on the impact of various interventions in several long-term structural reforms which included: site-based management and teacher empowerment, extensive staff development training activities and ways of collaborating and coordinating with other organizations and agencies" (p. 58).

Wehlage et al. (1992) concluded that long-term structural reforms were not sufficient to stimulate the restructuring of schools. Interventions did not bring about fundamental change, change the core of classroom activities, engender greater faculty investment in their schools or fully develop the linkage needed between stakeholders and schools to improve social relations. In sum, this study indicated that structural changes in schools and youth-serving community agencies were not successful because they represented supplemental programs that left the basic experiences of students and teachers unchanged.

A third study reported on how restructuring efforts impact the quality of instruction and achievement for all students. This synthesis of four studies was conducted by the University of Wisconsin-Madison sponsored Center on

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Organization and Restructuring of Schools from 1990 through 1995. It focused on a variety of restructuring strategies: site based management and shared decision making; students and teachers organized in teams; multiyear instruction on advisory groups of students; heterogeneous groupings of students in core subjects and enrollment based on student and parental choice (Newmann & Wehlage, 1995). The scholars found that organizational changes in school did not necessarily address the quality of student learning. "New administrative arrangements and teaching techniques contribute to improved learning only if they are carried out within a framework that focuses on learning of high intellectual quality" (p. 51). This occurred when students were allowed and encouraged to construct knowledge "through disciplined inquiry to produce discourse, products and performances that have value beyond certifying success in school" (p. 51). Three kinds of supports were crucial for this kind of student learning: authentic pedagogy, school organizational capacity and external support by agencies and parents.

These key studies demonstrate that structural reform does not necessarily lead to change in teaching, institutional and student learning practices. Core beliefs and values about the inner world of teaching and learning remain largely untouched. At the same time, student as well as adult learning is inhibited by the organizational context of teaching in terms of its traditional and outmoded structures. Partly in response to these and other limits, the school improvement

movement evolved from an emphasis on procedures and formal processes such as

school development planning to focus more on the study of school culture

(Fullan, 1993; Hargreaves, 1992, 1994, 1997) in terms of the role of beliefs,

relationships, commitments and motivations in change efforts.

Origins and Levels of the Concept of Culture

The concept of culture originates from anthropology, psychology,

sociology and corporate world theorists and researchers (Deal & Kennedy, 1982,

2000; Geertz, 1973; Van Maanen, 1979). In anthropology, culture represents a

historically transmitted pattern of meanings embodied in symbols (Geertz) while

in psychology culture is considered "a system of attitudes, actions, and artifacts

that endures over time and produces among its members a relatively unique

common psychology" (Vaill, 1989, p. 147). Schein (1985) claims that an

organization's culture refers to "the deeper levels of basic assumptions and beliefs

that are shared by members of an organization, that operate unconsciously, and

that define in a basic 'taken-for-granted' fashion an organization's view of itself

and its environment" (p. 6). Similarly, Deal and Peterson (1999b) viewed culture

as the "invisible, 'taken-for-granted' flow of beliefs and assumptions that gives

meaning to what people say and do; "shapes how they interpret hundred of daily

transactions…and is reflected and transmitted through symbolic language and

expressive action…consisting of the stable underlying social meanings that shape

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beliefs and behavior over time" (p. 3). Bolman and Deal (2003) deepened the

understanding of culture by defining it as "both a product and process". As a

product, culture refers to the accumulated wisdom of the past. As a process, it

undergoes constant renewal and recreation as newcomers learn the old ways and

eventually become teachers themselves. Deal and Kennedy (1983) simply view

organizational culture as 'the way we do things around here'. In sum, culture is

the sum total of assumptions, values, norms, beliefs and expectations that have

emerged and evolved over time in a specific organization or context.

     According to Schein (2004), there are three levels of culture: artifacts,

values and basic assumptions. These measures depend exclusively on the degree

of visibility to the researcher. Artifacts refer to the physical and social

environment. Artifacts include the school's physical space, its dress and language,

climate, stories, rituals, myths and ceremonies. At a more complex level are

espoused values and beliefs. According to Schein, as these problems develop,

they are solved. For example, when a faculty faces a problem the group decides

on a course of action or solution. Basically, a choice is made based on some sort

of assumption as to what will eventually work or not. When this course of action

or solution becomes, through repeated choices, an effective way to solve a

particular problem, then this converts into a shared value or belief that is often

taken for granted. These solutions then become the accepted norms and rules of

behavior that will dictate and predict the actions that make and end up in artifacts.

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The problem with these shared values and beliefs is that they often tend to be forgotten with the passage of time and thus people continue to profess ideals they do not practice; hence they are called 'espoused' values (Argyris, 1976). At an ever deeper level than both artifacts and values are basic assumptions. These are the most unconscious, implicit, invisible and invincible elements of culture. Assumptions are harder to pinpoint than the artifacts that are highly observable when one walks into schools. They are hardly confronted and thus almost impossible to change. Facing the assumptions that govern actions demands the reexaminations of beliefs that make up the conservative and stable configuration of people's cognitive structure. In short, culture can be best described by understanding and exploring three levels: artifacts, values and basic assumptions.

Advocates, Meanings, Models of School Culture and Teacher Cultures

Partly in response to the limits inherent in restructuring as a sole strategy of educational change, researchers and writers in the school improvement tradition have shifted their focus towards the study of school culture (Fullan 1993; Hargreaves, 1992, 1994, 1997). The complexity of school culture is underscored by the multitude of ways it has been defined. For example, Purkey and Smith (1982) defined school culture as "a structure, process, and a climate of values and norms that channel staff and students in the direction of successful teaching and learning" (p. 64). McBrien and Brandt (1997) viewed it as "the sum of the values,

cultures, safety practices, and organizational structures within a school that cause it to function and react in particular ways" (p. 89). Barth (2002) observed that school culture is a "complex pattern of norms, attitudes, beliefs, behaviors, values, ceremonies, traditions and myths that are deeply ingrained in the very core of the organization" (p. 7). Hargreaves and Fullan (1996) describe it as the guiding beliefs and expectations that are clearly evident in the way that the school operates, particularly in the manner people relate to each other. Dufour and Burnette (2002) claimed that school culture refer to "the assumption, habits, expectations and beliefs of the staff" (p. 1). Goldring (2002) points out that culture functions as "the connecting glue between people that informs members of the group the way in which things are done" (p. 33). Senge (2000) describes school culture as "being embedded in people's attitudes, values, and skills, which in turn stem from their personal backgrounds, from their life experiences, and the communities they belong to" (pp. 325-326). In sum, while there is no single universal meaning of school culture, the central approach is to examine and uncover those less tangible, implicit and unspoken aspects that guide the beliefs and relationships of students, teachers and principals within schools.

But what then is the role of school culture in school improvement? The existence and critical role of school culture has been widely documented. Early on, Waller (1932) affirmed and stressed the organizational culture of schools: "Schools have a culture that is definitely their own. There are, in the school,

complex rituals of personal relationships, a set of folk ways, mores, and irrational sanctions, a moral code based upon them. There are games, which are sublimated wars, teams, and an elaborate set of ceremonies concerning them. There are traditions and traditionalists waging their old-world battle against innovations" (Waller, p. 96). More recently, Rosenholtz (1989) highlights the necessity of attending to the cultural dimensions of schooling when it was documented that "student learning gains have been associated with a handful of school characteristics without convincing rationales and empirical support for how it affects the internal dynamics of schools" (p. 2). In short, research reveals the existence of a school culture and of its critical role in student achievement, teacher learning and school improvement (McLaughlin & Talbert, 1993; Sarason, 1991, 1996).

Researchers also point out different models of schools culture that can help educators identify the degree to which their particular schools are developing and improving. For example, Stoll and Fink (1996) claim that school culture is expressed in four ways: moving, cruising, strolling and sinking schools. The argument here is grounded on two dimensions, namely, effective, ineffective and improving-declining. Moving schools are not only characterized as effective in 'value added' terms but consist of a staff that is able to respond to the changing context and to further development. Cruising schools are described as effective organizations by multiple stakeholders and through various standardized data.

However, these schools reflect and reinforce the 1965 nostalgia and model of education and therefore are unable to allocate time to prepare pupils for a rapidly changing world. Strolling schools are neither effective nor ineffective. These are governed by contradictory aims and goals that frustrate efforts at both effectiveness and improvement. Struggling schools are considered ineffective but improving in the sense that they may have the will but not the skill to change. Networks and consultants can facilitate skills development in struggling schools. Finally, sinking schools are both ineffective and unable to improve. These schools are not only undermined by previous historical and cultural traditions, such as isolation, self-reliance, blame, functions that inhibit improvement, but also by lower SES characteristics and by a discourse that places school failure on families and children.

Another model through which school culture can be examined embodies one of two domains: instrumental and expressive (Hargreaves, 1995). The instrumental domain is based on social control while the expressive domain reflects social cohesion. Grounded in a high-low continuum, school cultures are classified into five types: (1) traditional (low social cohesion, high social control—custodial, formal, unapproachable; (2) welfarist (low social control, high social cohesion—relaxed, caring, cozy; (3) hothouse (high social control, high social cohesion—claustrophobic, pressured controlled, (4) anomic—low social cohesion, low social control—insecure, alienated, at risk) and (5) effective

(optimal social cohesion, optimal social control—fairly high expectations, support for achieving standards). The point of these models is not to locate a particular solution within a specific model but to initiate a discussion to identify aspects that are distinctive of school culture, especially aspects which affect student learning. The models may suggest appropriate strategies teachers and principals can use to shape school culture in the name of student learning and professional development.

In addition to these two typologies of school culture, the educational change literature has gone further to investigate the significance of teacher cultures. Hargreaves (1992) distinguished between the content and the form of teacher cultures. The content of teacher cultures "consists of the substantive attitudes, values, beliefs, habits, assumptions and ways of doing things that are shared within a particular teacher group, or among the wider teacher community," while the form of teacher cultures "consists of the characteristics patterns of relationship and forms of association between members of those cultures" (p. 219). The form of teacher cultures may be individualization, balkanization, collaboration and contrived collegiality. In the culture of individualism, teachers work independently and in isolation from each other; teachers display Lortie's (1975) orientation of presentism, conservativism and individualism. In the culture of balkanization, teachers are separated and united by the loyalties and identities that they attach to particular groups of their colleagues. In a culture of

collaboration, teachers work together and share ideas. "Collaborative cultures require broad agreement on educational values, but they also tolerate disagreement, and to some extent actively encourage it within those limits" (p. 226). Finally, cultures of contrived collegiality are characterized by mandated, imposed and regulated initiatives. Some of these may include mentor coaching, peer coaching, joint planning, and scheduled meetings. The significance of teacher cultures is that these dictate where teachers learn to teach and influence the kind of teacher they will become.

Models of school culture and teacher culture highlight the need for educational research and practice in the name of student learning. Rather than offering solutions, these can ignite a discussion as to what factors and challenges educators and policy-makers face when striving to increase student achievement. Those challenges may point to a concerted effort at reculturing the school. The next section examines some of these issues.

Reculturing: Theoretical and Empirical Studies on School Culture

Based on various empirical and theoretical studies and analyses, researchers and writers have argued for the reculturing as well as restructuring of schools (Elmore, 2002; Fullan, 1993; Hargreaves 1992, 1997). One of the most critical issues in the reculturing literature is the superficiality of change when the effort is based on a vocabulary of crisis or reform employed by federal and state

policy-makers. Cuban (1990) aims to explain the contradiction of long-term stability amid constant change inherent in schooling improvement. He claims that change does not necessarily imply or mean progress. There are two kinds of planned change in school reform. One is first-order changes that will include, for example, the recruitment of teachers and the raising of salaries. The other is second-order changes that include open classrooms and teacher-run schools. The distinction between these two changes explains the "durability that we find in the governance, pedagogy and structure of schooling" (Cuban, p. 74). In short, this analysis points out that attempts to reculture schools need to be reframed in questions of depth and extent of intended school reform that place in the foreground the goals of proposed changes as well as the history of previous efforts.

Another significant question within the reculturing literature is whether beliefs and relationships that shape reform are based on a bureaucratic view or professional approach. Darling-Hammond (1990) convincingly argued that part of the solution to the problems that plague public education stem from the diminishing professionalization of teaching. The increasing centralization and bureaucratization of education is dehumanizing and constraining. It focuses on what is specific, measurable and predictable, and therefore reduces school's responsiveness to distinctive student needs. The professionalism of teaching implies a more client-oriented and knowledge-based view for structuring schools

and teaching practice. Attaining the conditions and benefits of professionalism requires changes in the preparation for and structuring of practices, new models of decision-making and the allocation of resources. Professionalization of teachers develops responsibility and authority and accountability for student learning that are grounded on a redefined and broadened view of teaching as a profession characterized by continuous learning and reflection.

Similarly, Johnson (1990) documented the extent to which the bureaucratic conditions of the workplace impact the quality of teaching. This inductive and exploratory study consisted of interviews of exemplary teachers nominated by their own principals from public, independent and church-related schools. It aimed at gaining insight regarding how teachers experienced their schools as workplaces, the particular features that supported or compromised their best teaching and the changes they perceived were needed to help them become better. One significant finding of this study revealed that the professional status of teachers was circumvented. "Their special interests and expertise were neutralized; they were expected to comply rather than invent. They doubted their students' needs were well met" (pp. 144-145). Unsuitable and large bureaucratic structures included such elements as standardized testing, prescribed curricula, block schedules and graduation requirements. In sum, Johnson (1990) concluded that the reculturing of schools requires that policy-makers and administrators

spend fewer resources on the formalization and standardization of education and more on permitting and promoting flexibility and adaptation.

A third challenge surfaced by researchers in the reculturing literature is how to cultivate and promote collaboration. Little (1990a) describes the possibilities and limits of collegiality among teachers. She highlights how collaboration during which teachers mutually examine teaching and learning is rare. "Collaborative efforts run counter to historical precedent, tending to be unstable, short-lived and secondary to other priorities" (p. 187). She also underscores that collegiality has both benefits and risks associated with it. It can be a mean for coherence and uniformity as well as an instrument that can crush individual inventiveness and independent initiative. Institutional supports at all levels of the school and system are thus a necessary condition. Similarly, distinguishing between the form and the content of collegiality helps illuminate the value and significance of collegiality to alter beliefs and commitments in teaching as part of school reculturing efforts. Little (1990b) affirms that forms of collegiality move from independent to interdependent points on a continuum as the demands and changes for collective autonomy and teacher-to-teacher initiative increase. Storytelling and scanning, aid and assistance, sharing and joint work constitute such forms. The issue is to recognize that they militate against the inherited traditions of non-interference and equal status. Thus, the motivation and

reward to move from one form to another is found in the work of teaching and "not in the absence of interdependent work-related interests" (p. 523).

The content or substance of collegiality is a result of the mutual influences among teachers. In this way, collegiality is an effect of unspoken teachers' values and beliefs about children which can either "advance the prospects for students' success" or intensify norms unfavorable to children" (p. 524). The intellectual dispositions and capabilities of teachers can represent "the creative development of well-informed choices or the mutual reinforcement of poorly informed habit" (p. 525). Likewise, the commonalities held among teachers "may lead them to pursue new courses of action and support one another in the attempt – or gain together to preserve and reinforce the status quo" (p. 527). That is, an emphasis on collegiality can promote either the potential benefit of allowing teachers to revisit and reexamine questions of teaching and learning or the reassertion and reinforcement of beliefs, norms and relationships that confirm traditional norms of schooling. In short, Little's (1990a, 1990b) analysis indicates that an emphasis on collegiality to reculture schools does not automatically promote changes in teaching and learning always.

Similarly, Hargreaves' (1994) expands the value and significance of collaborative structures for the reculturing of the teaching profession. This study aimed at documenting the relationship between time, work and culture in teaching. It was conducted in 12 elementary schools in two school boards in

Ontario, Canada where elementary teachers shared a minimum of 120 minutes or more of preparation time per week. The focus of this qualitative and exploratory study was "to investigate the meanings that teachers and principals attached to preparation time and other non-control time and the interpretations they put on its use" (p. 121). The key question of this study was whether preparation time would lead to collaboration and collegiality among teachers or whether the use of such a time would be absorbed into the existing culture of individualism. Hargreaves (1994) revealed that the safe simulation of contrived collegiality dominated preparation time study. The properties and consequences of this pattern of teacher collaboration clearly emerged during mandated preparation time use, consultation with special education resource teachers and peer coaching. "In contrived collegiality, collaboration among teachers was compulsory, not voluntary; bounded and fixed in time and space; implementation- rather development-oriented; and meant to be predictable rather than unpredictable in its outcomes" (p. 208). The major consequences of contrived collegiality were inflexibility and inefficiency. The former referred to the difficulty of programs to fit to the purposes and practicalities of particular schools and classroom settings thereby eroding teachers' professionalism and discretionary judgment. The latter referred to the reluctance and unwillingness of school and educational systems to delegate to their teachers substantial responsibility for the development and implementation of curricula. The unwillingness at the district, state and national

levels to un-write curriculum guidelines to allow teachers greater flexibility in their own work contributed to their inefficiency. This work highlights the fact that restructuring and reculturing are both crucial. It also illustrates that restructuring initiatives overshadow the reculturing of teaching which is often undermined and inhibited by politics and the bureaucratization of teaching.

The complexity of reculturing schools also stems from the political and normative dimensions of reforms. The study of the implementation of the Carnegie Council on Adolescent Development Turning Points-reforms of middle-grades schooling is a case in point (Oakes et al., 1998). This study sought to problematize the change and policy environment of the reform mill and provide educators with "legitimate avenues for questioning the values and politics that drive much contemporary school reform" (p. xiv). In doing this, Oakes et al. described and analyzed the experiences of sixteen schools in five states that were trying to be more effective and embrace virtue through the creation of educative, socially just, caring and participatory places for students grounded in the American traditions and legacies of Jefferson, Lincoln, Adams, and King respectively. Despite great efforts, Oakes et al. concluded that "reform is a very fragile human process, not a technical one" (p. xxiii). The schools in this study struggled with conventional policy implementation attitudes and norms steeped in instrumental and technocratic means and ends that treated teachers as passive and isolated consumers of knowledge and skills. As a result, new structures were

adopted and enacted without giving attention to deeper beliefs and meanings. For example, many teachers serve on teams without inquiring about their nature, rationale and meaning. One teacher explained how "… everybody kind of jumps on the bandwagon and does them without really thinking about the process of change and how do we make that happen. Some people think that because they've changed the structure, they're there" (Oakes et al., p. 242). In short, Oakes et al. concluded that reculturing schools is complex due to the fact that reform strategies and structures are often hierarchical, impersonal, normative and seldom redefined and reexamined by teachers in terms of their potential and implications to change underlying beliefs and norms about teaching and learning.

One last critical issue within the reculturing literature is whether successful reforms can be spread from one school or district to others. Elmore (1995) addressed this issue when he commented that " we can produce many examples of how educational practice could look different, but we can produce few, if any, examples of large numbers of teachers engaging in these practices in large-scale institutions designed to deliver education to most children" (Elmore, p. 11). This is known as the sustainability of educational change (or whether what matters spreads and lasts) (Hargreaves & Goodson, 2006). Several key studies document the difficulty of sustainability. For example, Datnow, Hubbard, and Mehan's (2002) study of the scaling up of comprehensive reform design models documents that the failure to sustain reform is a result of the actions of reformers

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in distant locations that are insensitive to the culture of the schools or the perplexities of the daily life of educators. Similarly, Stein, Hubbard and Mehan's (2004) comparison of reform strategies in New York and San Diego highlights that the spreading of educational change depends on an appreciation of the political dimensions of reform (Oakes, 1992, 1999); the learning demands of the reform; the size and pace for reforms and the degree of alignment between various cultural, organizational and political elements and the programs that are advocated. In sum, reculturing schools is exceedingly difficult due to the fact that transferability and sustainability (the breadth of reform in this case) is both a function and effect of contextual variations.

To recap, researchers in the field of educational change have shifted their focus towards the study of school culture. Known as reculturing, this is an attempt to study the beliefs, norms and relationships that shape and guide the actions of people and institutions in order to understand cultures' influence on efforts to improve schools. Theoretical as well as empirical evidence highlights the complexity of reculturing schools. School reformers often fail to reculture schools because of the superficiality of change embodied in the rhetorical discourse used by top policy-makers, the increasing bureaucratization of teaching, the risks associated with collegiality, the technical and hierarchical nature of reforms and the lack of breadth of educational changes. But what then does Fullan says about

the restructuring and reculturing of schools? The next section delves into his contribution during this period.

Fullan's Assessment on Restructuring and Reculturing

In terms of school restructuring, Fullan (1991) claimed that structural strategies and reforms "do not struggle directly with existing cultures within which new values and practices may be required" (p. 25). What is thus needed is the opportunity and skill for teachers to question and change their beliefs and habits. In his own scholarly reflection and analysis, Fullan (1998) points out that this signals the need for change capacity. In other words, the problem of change is how to make the educational system a learning organization. Fullan (1993) asserts that moral purpose and change agentry is at the heart of a learning organization. The moral purpose involves educators' commitment "to make a difference in the lives of students regardless of background and to help them produce citizens who can live and work productively in increasingly dynamic complex societies" (p. 4). The latter is to be "self-conscious about the nature of change and the change process" (p. 12). Moral purpose is not only about personal caring and interpersonal sharing, but also about broader social, moral and public responsibilities and purposes. Change agentry requires personal vision-building, inquiry, mastery and collaboration. Experiencing and thinking about the change process demand the recognition of the normal nature of complexity, dynamism

and unpredictability. A new paradigm of dynamic change is thus based and predicated "on one's ability to work with polar opposites" (p. 40). Finally, Fullan concluded that the ultimate purpose was to change schools from bureaucratic organizations into thriving communities of learners. This underscored the need for schools to live interactively with the environment, the importance of teacher education, and the role of inner and outer learning in helping teachers produce a learning society.

On the other hand, Fullan argues that reculturing schools demands attention to the elements that characterize the culture of teachers and schools, the need to go deeper and wider and the need for leadership of the change process. Fullan and Hargreaves (1996) claim that one of the challenges of reculturing is the particular way teachers engage with each other as they work towards school improvement. The way to promote teacher collegiality is to advocate for the totality of the teacher. This refers to the purpose, person and context of the teacher. In addition to the totality of the teacher, Fullan and Hargreaves further argue for examining the totality of the schools. The guiding question is "what kinds of work communities or school cultures are most supportive of teacher growth and school improvement? (p. 37).

Moreover, Fullan and Hargreaves (1998) argued that reculturing depends on building connections between purpose, passion, emotion, hope and structural initiatives. This means going deeper. They also argue that there is a need to

reframe relationships with the outside. In their own words, reculturing is facilitated when connections are created and cultivated with parents and communities, governments, technology, businesses and teacher education institutions.

Reculturing schools requires new forms of leadership. At the school level, Fullan (1997) highlights the non-rational and paradoxical world of the principal. The world of the principal is a complex one full of conservative tendencies that "inhibit sustained attention to change" (p. 3). He also urges principals to be cognizant of the fact that the system is unreasonable and thus full uncertainties and dilemmas. Thus, the role of the leader is to capitalize on and "foster a climate where people are able to work with polar opposites; push for valued change while allowing self learning to unfold; see problems as sources of creative solution; have good ideas but not be blinded by them: and strive for internal cohesion as they are externally oriented" (p. 16).

At the policy level, Fullan (2001) expands the concept of leadership for reculturing. He argues that mobilizing educators to reconsider and reexamine the beliefs and norms governing the delivery of instruction is not enough. "Development of individuals is not sufficient" (p. 65). Fullan argues that relationships are crucial for school improvement but only if they establish greater program coherence and bring in resources. Thus, relationships are not ends in

themselves. They can be positive or negative. In short, the role of leaders in reculturing is to cause greater capacity and coherence.

To summarize, Fullan acknowledges the existence, value and necessity of restructuring; however he insists that it does not lead to school improvement when there is no space for teachers and principals to question their beliefs as well as the values and norms that shape and guide their relationships. Thus, he claims that reculturing requires attention to the culture of the schools as it affects its teaching and leadership force.

So far, I have attempted to examine the legacy of restructuring and reculturing as vehicles for school improvement. I have discussed the origins, models, advocates and some of the strategies as they are shown in theoretical and empirical analyses and studies. While restructuring has been advocated by state and federal policy-makers, reculturing is fore grounded by several theorists and researchers in fields such as the organizational psychology and corporate world.

As we have seen, restructuring reveals a lack of depth in school reform. It hardly gets to core issues in teaching and learning. On the other hand, reculturing underscores the lack of breadth of school reform. Reculturing is often undermined by bureaucracy and historical/contextual factions many of which block the spread of reform. That is, while restructuring indicates the rationality and technical character of educational change, reculturing demonstrates the difficulties and complexities of changing beliefs and norms that are inherent in the historical,

social and political contexts of schooling. Fullan's scholarly commentary never led this change period, but was somehow part of it and provided a perspective, in the middle of the school restructuring and reculturing period, that called attention to the superficiality of restructuring efforts. Teaching and learning values and practices remained largely intact. He advocated for the reculturing of schools. In addition to restructuring, Fullan argued for ignited moral purpose, a focus on total teachers and schools and new conceptions of leadership.

Large Scale Reforms

Partly in response to the lack of depth and breadth of educational change in school restructuring and reculturing respectively, policy-makers and researchers have adopted the systemic perspective (Smith & O'Day, 1990). Beginning in the 1990s, governments across the world began instituting large scale reforms (Fullan, 1999, 2000; Fullan & Earl, 2002; Leithwood et al., 1999, 2002; Levin, 2007a,b). Reformers turned their attention to improving the overall system. Rather than focusing on a single subject, grade, department and school, entire school districts as well as states and countries became the unit of change. Large scale education reforms intended to go deeper and broader than previous isolated and specific (noted earlier under restructuring and reculturing) initiatives. That is, key issues in large scale reform constitute the conditions and action that are necessary to ensure that reforms are embedded and sustained beyond the

initial conception, adoption and implementation stages (McLaughlin & Mitra, 2001). The extent to which progress or regress is reached or compromised under the current climate and orthodoxy of standards-based education reform and high levels of consequential accountability remains to be seen (Earl, Watson & Katz, 2003; Hargreaves, Earl, Moore & Manning, 2001; Hargreaves & Goodson, 2006; Hasser & Steiner, 2000).

To examine the factors that promote and inhibit large scale education reform, this section highlights Fullan's contributions. This section consists of four parts. Large scale reform is defined. Examples of large scale education reforms at the district and national levels are briefly described. Professional learning communities as a key strategy to the embedding (deepening) and sustaining (broadening) of large scale reform over time are described and analyzed. Finally, Fullan's writings on large scale education reform are highlighted in order to ascertain his contribution within this period.

Definition and Models of Large Scale Education Reforms

Although there is no universal definition of what large scale education reforms mean, Fullan (2000) defined it as initiatives focusing on an "entire system where a minimum of 50 or so schools and some 20,000 or more students are involved" (p. 8). Models of large scale education reform include the whole-school reform designs, school district, state/provincial reform and national reform

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initiatives. Basically, large-scale reform is a system-wide strategy that attempts to bring change by articulating a clear theory of action (Fullan, 2001, 2005).

Whole school reform designs are also known as comprehensive school reform (CSR) models (American Institutes for Research, 1999; Berends et al., 2002). Success for All (SFA) is one example of a CSR model. SFA was created and established by Robert Slavin in 1987 and a team of researchers at John Hopkins University. Thus, SFA is a research-based design that organizes resources to focus on prevention and early intervention to ensure that students succeed in reading throughout the elementary grades. SFA consists of three programs: an Early Learning program for pre-kindergarten and kindergarten students; Reading Roots, a beginning reading program; and Reading Wings, its upper-elementary counterpart (Slavin et al., 1992). Major components of SFA are 90-minutes of daily reading instruction, eighth-week assessments; one-to-one reading tutors; cooperative learning; family support team, local facilitators for mentoring and counseling, staff supports for implementation and training and technical assistance by SFA staff. SFA is guided by a theory of action derived from organizational and staff changes, family and community support, supplies and materials, a focus on curriculum and instruction and the assessment of student progress and performance. In addition, Slavin and Madden (1998) point out that SAF encourage districts and school staff to examine program materials and visit

exemplary schools as well as require a vote of 80% of the faculty, a full-time

facilitator, a certified teacher tutor and a family support team to engage in SFA.

School District Reforms

Another example of large-scale reform is school district reform (Elmore &

Burney, 1999). New York City District 2 is one of 32 community school districts.

It has 22 elementary schools, 7 junior high schools and 17 Option schools, which

represent alternative schools organized around common themes. District 2 serves

a diverse student population. When in 1987 Alvarado became superintendent the

district ranked tenth in reading and fourth in mathematics out of a total of 32

community districts in NYC. In 1996, District 2 came in second place in both

reading and mathematics. This success was attributed to Alvarado's strategy

which was a set of organizing principles and staff development models. This set

of organizing principles was accompanied by a system-wide strategy that

employed an embedded professional development theory of action model that

included a Professional Development Laboratory, instructional consulting

services, inter-visitations and peer networks, off-site training, oversight and

principal site-visits. District 2 considered professional development as something

administrators did rather than a specific and isolated task that was assigned to

particular experts or departments. In sum, "professional development is a

management strategy rather than a specialized administrative function" (Elmore & Burney, 1999, p. 272).

In addition to New York, the San Diego City Schools (SDCS) is another example of attempted school district reform (Stein, Hubbard & Mehan, 2004). SDCS is the eighth-largest school system in the United States. During 2001-2002, it had 137,536 students. SDCS is a K-12 district with more than 150 schools. It serves a diverse student population of which most are Hispanic and twice the percentage of English language learners when compared to New York (28.4% in SDCS while 13.9 in District 2). During the early 1990s, SDCS was characterized as a decentralized, autonomous, reactive and competitive system (Earl, Watson & Katz, 2003). This resulted in the inequitable distribution of resources, information and capacity across district clusters managed by multiple area superintendents. In the mid 1990s, the Greater San Diego Chamber of Commerce's Business Roundtable focused on education reform through changing the district leadership. As a result, in 1998, the Board appointed US attorney Bersin as superintendent and Alvarado as chancellor of instruction. Similar to New York District 2, SDCS reform was guided by a theory of action grounded in major organizational changes focusing on instruction. SDCS was reorganized into seven clusters. Each cluster consisted of 25 schools and was managed by area superintendents called Instructional Leaders (ILs). These ILs received specific and specialized training from the University of Pittsburgh's Learning Research and Development Centre.

ILs were trained to coach and evaluate principals and monitor student performance.

In the spring of 2000, SDCS adopted a The Blueprint for Student Success. This plan constituted a content-driven, centralized, comprehensive and fast-paced reform. The focus was on literacy and mathematics. Central leadership initiated major changes in operations, instruction and professional development. Reform changes were mandated and expected in all schools.

ILs conducted monthly conferences with their cluster school principals and in turn principals conducted monthly meetings with their teachers. A partnership with the University of San Diego provided professional development to the district and school leaders. Weekly visits to schools, videotaping of principal conferences, walkthroughs, coaching and problem-solving sessions were other mechanisms used at all levels of the systems.

Chicago Public Schools (CPS) is one more example of district reform (Bryk et al., 1998). This is the third largest school system in the United States. It has more than 500 schools serving communities with very diverse populations. During the 1980s, a series of commission reports documented the decline of CPS in terms of its dropout rates and student achievement in multiple standardized tests. As a result, CPS adopted the Chicago Reform Act of 1989. This act was grounded in the idea of democratic government. This meant a "shift from centralized democratic control, exercised through a bureaucracy to expand local

democratic control exercised through school councils" (p. 17). The theory of action guiding CPs was one rooted in the principles of citizen participation, community control and local flexibility. A complete reorganization of CPS shifted power and responsibility to local school councils (LSCs) from the Central Board of Education.

According to Bryk et al., 1998, CPS reform was based on six principles. LSCs were established. Each LSCs consisted of 11 members. These included 6 elected parents, 2 elected community members, 2 teachers, the principal and 1 elected student member for high schools. LSCs were responsible for evaluating, hiring and firing principals and developing and approving the school improvement plan and budget. They also provided advice regarding school curriculum, instruction and budget through the Professional Personnel Advisory Committee. The principalship was reshaped in terms of its authority over school staff and various incentives and sanctions. Principals were also able to recruit and hire new teachers; remove incompetent teachers; had more control over physical plant and ancillary personnel and more freedom regarding the use of discretionary money. Teachers had a greater role and influence in school decision making. Fiscal resources were redirected to the school level in order to generate equity across the system. Central Office expenses had a cap; budgets were implemented at the school level; funds were allocated in equitable ways to individual schools and high percentages of low socioeconomic students who received larger

discretionary revenues. Central office authority was decentralized and curtailed. The authority of the Central Board of Education to appoint principals was eliminated; their control over curriculum was restricted and line control over regular school operations as eliminated. Finally, there was a centralized focus towards improving student learning. This included the creation and establishment of system-wide goals for student learning and school improvement; the development and updating of three-year school improvement plans; annual report of progress and a set of sanctions and external interventions intended to move forward nonimproving schools.

National Reform Initiatives

A key example of large scale at the national level is England's National Literacy and Numeracy Strategy (NLNS) (Barber & Seba, 1999; Fullan, 2000; Fullan & Earl, 2002; Fullan, Early, Leithwood & Watson, 1999); NLNS is both a response to as well as a result of changes in government and policy (Earl, Watson & Katz, 2003; Levin, 2001). From 1979 to 1996 a Conservative government came into power and began to enact legislation that resulted in substantial changes in educational policy. These included greater parental choice, local management of schools at the expense of powers of local authorities, a national curriculum, national assessment, a national system of school inspections (The Office or Standards in Education), the repeal of Labour legislation signifying in part the

ending of collective bargaining for teachers and the creation of a teacher training

agency which was directly appointed by the Education Secretary.

In 1997, the Labour government defeated conservatives in the general

election. The NLNS thus began as an effort to establish literacy and numeracy as

first order priorities (Fullan & Earl, 2002). Using 1996 as the baseline (57% of

11-year olds achieved proficiency level in literacy and 54% in numeracy

respectively), policy makers announced 80% for literacy and 75% for numeracy

as targets. In order to move schools forward from their evidently underperforming

status, the English government based its reform in a High Challenge: High

Support model (Barber, 2001 cited in Fullan & Earl, 2002). Capacity-building

strategies were added and combined with the accountability mechanisms

established by the previous conservative government.

Whether at the school, district or national level, educational scholars claim

that large-scale education reform is possible and it makes a difference in student

learning, in teacher professionalism and in generating public support (Elmore,

2004; Fullan, 2007; Hargreaves & Fink, 2006; Hopkins, 2005; Levin, 2007a,b;

McLaughlin & Mitra, 2001).

> The central lesson of large-scale educational change that is now
> evident is: Large-scale, sustained improvement in student
> outcomes requires a sustained effort to change school and
> classroom practices, not just structures such as governance and
> accountability. The heart of improvement lies in changing teaching
> and learning practices in thousands of classrooms, and this requires

focused and sustained effort by all parts of the education system and its partners. (Levin, p. 323)

One way to view the challenging nature of large-scale reform is to describe and question the pressing factors that facilitate both the embedding (deepening) and sustaining (broadening) of reform over time. One key factor and strategy advocated to deepen and embed large scale reform is the adoption and implementation of professional learning communities (PLCs).

Background Prior to Professional Learning Communities (PLCs)

During the 1980s, attention shifted towards a focus on both the corporate and public education worlds on how work settings influenced the quality of work and workers themselves. Deal and Kennedy in *Corporate Cultures* (1982) described and analyzed how business and private industry managers can pinpoint those cultural factors that promoted and inhibited change. Moreover, Senge's (1990) *The Fifth Discipline: The art and practice of the learning organization* as well as Block's (1993) *Stewardship: Choosing service over self-interest* and Whyte's (1994) *The Heart Aroused: Poetry and the preservation of the soul in corporate America* highlight the role of the learning organization. All of these works sought to "emphasizes the importance of nurturing and celebrating the work of each individual staff person and of supporting the collective engagement

of staff in such activities as shared vision development, problem identification, learning, and problem resolution" (Hord, 1997, p. 12).

Linking Large Scale Reforms to PLCs

One way to accomplish large-scale reforms and thus bring about improvement in learning at the school and district levels is to build professional learning communities. It is well documented that professional development contributes to school capacity that is the provision of knowledge and skills (Newman et al., 2000). However, this approach may be too individualistic and thus lack organizational development. It is exceedingly complex because it is like sending a changed agent into an unchanged institutional culture. Thus, school capacity is about both individual and organizational development. School-wide PLCs purports to seek ways to acknowledge and support how the environment and relationships can lead to better student outcomes (Cochran-Smith & Lytle, 1999; Darling & Hammond, 1996; DuFour, 2005; DuFour & Eaker, 1998; Hord, 1997; Louis & Kruse, 1995; McLaughlin & Talbert, 1993; Scribner, Cockrell, Cockrell & Valentine, 1999; Wenger, 1998;). A consistent focus on collaboration, teaching and learning and assessment data can help accomplish large scale reforms (Huffman & Hipp, 2003; Newmann & Wehlage, 1995; Newmann, King, & Youngs, 2000).

According to DuFour and Eaker (1998), the concept of 'Professional Learning Communities' (PLCs) consist of three foundational words. 'Professional' is someone that has received advanced training in his/her position and is thus responsible for remaining up to date in the changing knowledge base of that particular field (p. xi). 'Learning' points out the life-long commitment of that individual to purpose, ongoing study, along with habits of questioning, curiosity and inquiry. Finally, 'Community' refers to "a group linked by common interests" (DuFour & Eaker, p. xiii).

Although there is no universal definition of PLCs, various researchers and theorists have attempted to define what it means or implies. Astuto et al. (1993) (cited in Hord, 1997, p. 6) proposed three related communities: (1) the professional community of educators, (2) learning communities of teachers and students (and among students) both within and outside the classroom, and (3) the stakeholder community. Taylor (2002) defined a learning community as "schools where the leaders have intentionally shaped the culture and acted to ensure that all members, adults and students, are learners and that teachers and other community members are addressing challenges and issues, particularly those related to student learning" (p. 1). Huberman (2004) states that "a group is a learning community when members share a common vision that learning is the primary purpose for their association and the ultimate value to preserve in their workplace and that learning outcomes are the primary criteria for evaluating the success of

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their work" (p. 4). Hargreaves (2003) insists that "if schools are to become real knowledge communities for all students, then teaching must be made into a real learning professionals for all teachers" (p. 161). Building on Astuto et al. (1993), Hord (1997) states that PLCs are those which seek to "enhance their effectiveness as professionals for the students' benefit … also termed as communities of continuous inquiry and improvement" (p. 6). DuFour and Eaker (1998) claim that a PLC "is the identification and pursuit of explicit goals that foster the experimentation, results orientation, and commitment to continuous improvement that characterize the professional learning community" (p. 100). DuFour (2005) defines PLCs by reflecting on the core principles that undergird this concept. PLCs operate under the assumption that the "core mission of formal education is not simply to ensure that students are taught but to ensure that they learn" (DuFour, p. 22). PLCs also function under the assumption that "educators … must work together to achieve their collective purpose of learning for all. Therefore, they create structures to promote a collaborative culture" (DuFour, p. 36). Finally, PLCs "judge their effectiveness on the basis of results" (DuFour, p. 39). The key idea here is that PLCs are guided by the core principles of learning, collaboration and results. DuFour, Eaker and DuFour (2005) define PLCs by the challenges that educators face in developing them: developing and applying shared knowledge; sustaining the hard work of change and transforming school culture.

Moreover, based on their work and research, DuFour and Eaker (1998) have developed six characteristics of PLCs: (1) shared mission, vision and values, (2) collective inquiry, (3) collaborative teams, (4) action orientation and experimentation, (5) continuous improvement and (6) results orientation. In addition, in a major review Hord's (1997) reports that PLCs make a positive contribution to both staff and students in schools. PLCs results in the reduction of isolation of teachers; increased commitment to the mission and goals of the school and increased vigor in working to strengthen the mission; shared responsibility for the total development of students and collective responsibility for students' success; powerful learning that defines good teaching and classroom practice, that creates new knowledge and beliefs about teaching and learners; increased meaning and understanding of the content that teachers teach and the roles that they play in helping all students achieve expectations; higher likelihood that teachers will be well informed, professionally renewed, and inspired to inspire students; more satisfaction and higher morale, and lower rates of absenteeism; significant advances into making teaching adaptations for students, and changes for learners made more quickly than in traditional schools; commitment to making significant and lasting changes; higher likelihood of undertaking fundamental, systemic change. PLCs are also beneficial for students (Hord). It has also become evident that PLCs have the potential of benefiting students by decreasing dropout rates; lowering rates of absenteeism; increasing learning that

is distributed more equitably in the smaller high schools; resulting in larger academic gains in math, science, history, and reading than in traditional schools; and decreasing achievement gaps between students from different backgrounds (Hord).

More specifically, various studies have documented the critical role of PLCs in ensuring teacher quality, student learning and school improvement. Rosenholtz's (1989) study of 78 schools in eight districts in Tennessee, as it was noted earlier, specifically addressed the importance of collaboration and its relationship to continuous improvement. This study classified school in three ways: 'stuck,' 'in-between,' or 'moving'. Stuck schools had little or no concern for school wide goals. Teachers worked in isolation with limited teacher learning and increasing degree of uncertainty about what and how to teach. Rosenholtz described stuck schools as schools where:

> Teachers seemed more concerned with their own identity than a sense of shared community. Teachers learned about the nature of their work randomly, not deliberately, tending to follow their individual instincts. Without shared governance, particularly in managing student conduct, the absolute number of students who claimed teachers' attention seemed greater … teachers talked of frustration, failure, tedium and managed to transfer those attributes to the students about whom they complained. (Rosenholtz, 1989, p. 208)

Contrastingly, moving schools were characterized as learning enriched for both students and teachers. These schools had four characteristics: shared purpose and direction, teacher collaboration, teacher on the job learning and teacher

efficacy. Teacher commitment and student learning were evident in the 'moving'

schools. Rosenholtz (1989) describes how:

> In the choreography of collaborative schools, norms of self-reliance appeared to be selfish infractions against the school community. With teaching defined as inherently difficult, many minds tended to work better than a few. Here requests for and offers of advice and assistance seemed like moral imperatives and colleagues seldom acted without foresight and deliberate calculation. Teacher leaders … reached out to others with encouragement, technical knowledge to solve classroom matters and enthusiasm for learning new things. (Rosenholtz, p. 208)

This study concluded that "teachers who felt supported in their own

ongoing learning and classroom practice were more committed and effective that

those who did not. Support by means of teacher networks, cooperation among

colleagues, and expanded professional roles increased teacher efficacy for

meeting students' needs … teachers with a strong sense of their own efficacy

were more likely to adopt new classroom behaviors and that a strong sense of

efficacy encouraged teachers to stay in the profession" (Hord, 1997, p. 10).

McLaughlin and Talbert's (2001) study of the role of professional learning

communities in 16 high schools in California and Michigan provides ample

evidence that a "collaborative community of practice in which teachers share

instructional resources and reflections in practice appears essential to their

persistence and success in innovating classroom practice" (p. 22).

McLaughlin and Talbert (2001) claimed that there are three patterns of teaching practice, namely: (1) enacting traditions of practice (the teaching of traditional subjects and thus the learning of only traditional students); (2) the lowering of expectations and standards (the watering down of subjects when teachers encountered low-motivated students) and (3) attempting to innovate by engaging learners (in which subjects and teaching are considered dynamic in order to involve all students, which leads to greater learning by all). When teachers lower expectations they tend to locate the problem in the students whereas when innovating to engage students involved "teacher that move beyond or outside established frames for instruction to find or develop content and classroom strategies that will enable students to master core subject concepts …" (McLaughlin & Talbert, p. 17).

These patterns had clear effects on the way autonomy was defined, perceived and practiced in two high school departments (English and Social Studies). McLaughlin and Talbert (2001) found:

> In the Social studies department, autonomy means isolation and reinforces the norms of individualism and conservativism. In the English department, professional autonomy and strong community are mutually reinforcing, rather than oppositional. Here collegial support and interaction enable individual teachers to reconsider and revise their classroom practice confidently because department norms are mutually negotiated and understood. (p. 55)

In addition, there were also striking differences in the motivation and career commitment of teachers. For example, these became very evident in two

high school departments (English and Social Studies). McLaughlin and Talbert

(2001) reported:

> When teachers from the Oak Valley English and social studies departments told us how they feel about their job, it was hard to believe that they teach in the same school. Oak Valley English teachers of all pedagogical persuasions express pride in their department and pleasure in their workplace: 'Not a day goes by that someone doesn't say how wonderful it is to work here,' said one. In contrast, social studies teachers, weary of grappling alone with classrooms tensions, verbalize bitterness and professional disinvestment. (pp. 83-84)

Overall, McLaughlin and Talbert (2001) found that high schools had

strong and weak professional learning communities within and between school

and departments respectively. Most high schools were reported to lack a strong

culture of sharing and jointly agreed practices. In this sense, one can conclude that

weak communities were harmful for the students and the teachers. Comparatively,

high schools that functioned with strong culture of collaboration could have been

positive or negative. In a positive sense, teachers can collaborate to challenge and

expand each other's assumptions, ideas and practice. In a negative sense, they can

also collaborate to merely reinforce each others' false assumptions, bad habits and

ineffective practices.

Kruse, Louis and Bryk's (1994) survey study of more than 900 teachers in

24 nationally selected restructuring elementary, middle and high schools

documents highlight the impact that professional communities can have on lasting

change:

A school-based professional community can offer support and motivation to teachers as they work to overcome the tight resources, isolation, time constraints and other obstacles they commonly encounter in today's schools. Within a strong professional community, for example, teachers can work collectively to set and enforce standards of instruction and learning. Instead of obeying bureaucratic rules, faculty members act according to teachers' norms of professional behavior and duty, which have been shown to be far stronger social control mechanisms. This also creates room within the school structure for principled disagreement and discussion on different issues, which can add to teachers' professional growth. In schools where professional community is strong, teachers work together more effectively, and put more effort into creating and sustaining opportunities for student learning. There must be support within the school for teachers who want to take risks and try new techniques and ideas. Otherwise, serious and lasting change cannot be sustained. (Kruse, Louis & Bryk, 1994, p. 4)

Kruse, Louis and Bryk (1994) conclude that professional communities are strong when they are guided by certain critical elements as well as when they certain structural conditions and social and human resources are met. Critical elements include reflective dialogue, de-privatization of practice, collective focus on student learning, collaboration and shared norms and values. Structural conditions include time to meet and talk, physical proximity, communications structures, and teacher empowerment and school autonomy. Social and human resources that appear to enhance professional communities include openness to improvement, trust and respect, cognitive and skills base, supportive leadership and socialization.

These three studies underscore the critical importance and necessity of professional learning communities and their connection to quality teaching and improved academic achievement for all students. PLCs can serve as the mechanism to accomplish large scale reform.

Nonetheless, the concept of learning organizations and PLCs is very difficult to establish during large-scale education efforts and very hard to be sustained in the face of standardized reform. This is especially the case at the secondary level because of "a long legacy of departmentalization and even balkanization of teachers' secondary-school subject communities (Hargreaves, 2003). Giles and Hargreaves' (2006) study of three innovative schools demonstrates that although the implementation of these concepts helps prevent schools from retreating to conventional processes, it paves the way for them to return to conventional patterns. This project examined teacher and administrator perceptions of change over time in a variety of suburban and urban settings. Giles and Hargreaves' report focuses on three innovative secondary schools that were studied as part of an eight-school international research project in Ontario, Canada and in New York State.[13] The key question of this study was whether these self-consciously created and establish learning organizations and professional learning communities can "sustain their early promise of success in the face of predictable cycle of the 'attrition of change'; of pressure and envy in the surrounding district,

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[13]Hargreaves, A., & Goodson, I. (2006). Educational change over time. *Educational Administration Quarterly, 42*(1). Special Issue.

profession and community; and of the historically specific and recent pressure of

standardized reform" (Giles & Hargreaves, p. 124). Conclusions show that

schools as learning organizations and professional learning communities were

able to offset two of these three forces of change mentioned above. Schools were

able to "renew[ing] their teacher cultures, distributing leadership and planning for

leadership succession" (p. 152) and be able to "manage their foreign relations

with the community, other schools, and the district by curbing their arrogance,

involving the community in decision making, and resisting the temptation to ask

for too many favors from the district" (p. 152). However, the greatest impediment

was the standardized reform agenda. It undermined the knowledge society-

oriented schools and particularly the efforts of teachers.

The question then is to what extent schools can embrace the concept of

PLCs in order to subvert and survive the pressures of standardization. Giles and

Hargreaves (2006) describe the irony of PLCs in the current educational climate

as well as its future:

> The paradox of learning organizations and communities in
> education is that they are being advocated most strongly just at the
> point when standardized reform movements legislate the content
> and micromanage the process of learning to such a degree that
> there is little scope for teachers to learn in what little is left over.
> Professional learning communities are postmodern organizational
> forms struggling to survive in a modernistic, micromanaged and
> politicized educational world. Where standardized reform practices
> continue to tighten their grip, as is now the case in North America,
> the future for schools as learning organizations and professional

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learning communities that will develop the creativity and flexibility needed in the new knowledge economy does not look promising. (p. 153)

This section reinforces the argument that there is explicit evidence of a relationship between PLCs and school improvement and student performance (Louis & Kruse, 1995; Merrissey, 2000; Newmann & Wehlage, 1995). Besides, there is also evidence that intentional pursuits of PLCs as capacity-building professional strategies and school cultures offer great promise for student achievement results (McLaughlin & Talbert, 2006; Newmann, King, & Youngs, 2000; Supovitz, 2006; Stoll, et al., 2006). However, PLCs can be powerfully positive and / or negative (McLaughlin & Talbert, 2001) and are difficult and hard to establish given the conflictive and pervasive reality of standardized reform (McNeil, 2000; Hargreaves, 2006).

Hargreaves' (2008) powerful and reflective analysis on PLCs shed further light on the possibilities and challenges. Basically, Hargreaves claims that PLCs can be a positive or negative force.

> Professional learning communities can improve student learning or simply elevate scores on high-stakes tests, often at the expense of learning. They can heighten the capacity for community reflection that is at the heart of teacher professionalism, or they can enforce collective compliance with prescribed programs and pacing guides which demean that professionalism. The things that pass for professional learning communities can broaden children's learning, in terms of their curiosity about and mastery of themselves and their world, or they can narrow learning to an almost exclusive focus on literacy, math, and standardized basics. The best writers

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on and advocates for professional learning communities understand these distinctions and take a stand on them. But as Charles Naylor (2005) points out, the worst proponents of PLCs avoid such controversy and stick only to the generalities and technicalities of specifying goals, defining a focus, examining data, and establishing teams—in ways that give no offense to their clients and that do not jeopardize their own commercial prospects. (Hargreaves, 2008, p. 2)

As a result, Hargreaves (2008) identified and analyzed seven versions of PLCs. These include communities of containment and control (the titular community, the totalitarian training sect, the autistic surveillance system and the speed dating agency) and communities of empowerment *(t*he living and learning community, the inclusive and responsive community and the activist and empowered community). The point here is to highlight that just like any other educational effort and/or concept, PLCs should be critically re-examined and revised. Its original and noble principles and intentions can be distorted. It is critical and essential to revisit what and how they are functioning so as to avoid they "amount to a corruption of their fundamental principles and purposes—being little more than a change in title, a hyperactive diversion, an autistic obsession with numbers and targets, or a pretext for insisting on compliance and imposing control" (Hargreaves, p. 22). In light of the advent of large-scale reforms and the emerging importance of leadership as well as PLCs as concepts and mechanisms that can facilitate its embedding and deepening, what and how does Fullan assesses this period?

Michael Fullan's Assessment of Large-Scale Reform, Leadership and

Professional Learning Communities

In terms of large-scale reform, Fullan clearly identifies and expresses the purpose of school reform, its main enemies and the need for capacity-building and sustainability at the three levels – school, district and state.[14] He emphasizes the critical role of the principal; offers a framework[15] for leadership in a culture of change and comments on its significant relationship to student learning. Finally, Fullan highlights the importance of relationships and seek to place PLCs in a larger perspective (a system quality). He acknowledges that while PLCs are difficult to establish. They should be rooted and guided by dignity and respect and should not be treated as the implementation of another innovation. For Fullan, it is not about PLCs but about professional learning which will lead to system transformation. Let us briefly review his major points.

In a paper about the promises and perils of whole school reform models, Fullan (2001b) states that the "primary purpose of school reform is not to adopt or even internalize a valuable external model. The primary goal is to alter the capacity of the school to engage in improvement" (Fullan, p. 5) through working with whole systems. This calls for both an accountability pillar and a capacity-building pillar. Fullan explains:

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[14]*see* Appendixes 4P & 6A.
[15]*see* Appendix 6B.

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> The former refers to standards of performance, transparency of results, monitoring of progress, and consequential action. Capacity-building concerns training, resources (time, expertise & materials) and incentive-based compensation as well as recognition for accomplishments. These pressure and support pillars must act in concert in order to produce large-scale reform. (Fullan, 2001b, p. 11)

Fullan (2001b) acknowledges that educators face tensions and dilemmas and that it is critical to make a distinction between the forces for accountability and capacity-building. In fact, he recognizes (2000b) that the main enemies of large-scale reform are overload and extreme fragmentation. The reasons large-scale reforms have failed is that there is a lack of understanding "that both local school development and the quality of the surrounding infrastructure are critical for lasting success" (p. 2). This is what he calls the 'the three stories of reform'. The inside story refers to the internal dynamics of school change. The key here is to focus on reculturing in addition to restructuring. The 'inside-outside' story highlights the external forces that impact schools. The point here is that schools cannot do it alone and the implication is that teachers and principals must reframe their roles in relationship to the outside environment. The 'outside-in story' refers to the agencies that are external to the school. The key here is that effective schools collaborate with powerful external forces such as parents and community, technology, corporate connections, government policy and the wider teaching profession (Hargreaves & Fullan, 1998).

Sustainability is crucial for large-scale reform. After underscoring the resurgence of large-scale reform and briefly reviewing the failure of previous educational reform attempts particularly in the U.S., Fullan (2000a) outlines eight factors that are crucial not only for its establishment, but most importantly for its sustainability. The system context should be upgraded. "No large-scale reform will happen or be sustained in the absence of a strong teaching profession and corresponding infrastructure" (p. 21). Coherence is the main task. In order to be effective, schools and schools systems need to be "selective, integrative and focused. "Large-scale reform will require units to make connections and synergize activities around common priorities" (p. 21). There is also a need for the establishment of cross-over structures. These are "the variety of agencies, offices, and institutions that play a role in implementation" (p. 22). The primary issue here is "to conceive of initial implementation structures as mobilizing commitment and capacity (will and skill, if you like)" (p. 22). Allocate resources to increase the capacity of people to make improvements (downward investment / upward identity). Invest in quality materials. "To achieve large-scale reform you cannot depend on people's capacity to bring about substantial change in the short run, so you need to propel the process with high quality teaching and training materials (print, video, electronic)" (p. 23). Integrate pressure and support. Lateral accountability as well as support is critical. Educators need to get out of implementing someone else's agenda. Fullan (2000a) urges that "reform will

never occur on a large scale until teachers and others get out of the mindset that they are always implementing someone else's reform agenda" and to "practice the 'positive politics' of defining their own legitimate reform agenda in the context of state policy" (p. 25). Finally, educators are advised to work with systems which means "conceptualizing strategies with whole systems in mind" … not to work with schools in isolation … but to "figure out how to work with the district as a system" … and not to "focus on state policy as autonomous components, but work at alignment and connections" (p. 25).

Fullan (2001a) also argues that to the key to large scale reform is to establish and develop capacity-building and accountability at three levels: the schools, the district, and the state.[16] At the school level, what is needed is Newmann's et al school capacity[17], namely: teachers' knowledge, skills and dispositions, professional community, program coherence, technical resources and principal leadership. Fullan points out that school capacity was hard to attain due to difficulties in parents' and communities' participation, assessment literacy efforts, resources, staff turnover, the reconciling of district initiatives and sustaining success. At the district level, Fullan indicates improving the capacity of the district. This implies that the "infrastructure counts. It can lead the way or it can actually undercut efforts of individual schools on the move, while neglecting other schools that are persistently failing" (p. 16). Moreover, Fullan et al. (2004)

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[16]*see* Appendix 6A.
[17]*see* Appendix 9A.

suggests that the success of large-scale systemic improvement for districts

depends on how they are the following 10 components:

(1) A compelling conceptualization: meaning that the terms of reform - professional learning community, capacity building, and assessment for learning - travel easily, but the underlying conceptualization does not;

(2) Collective moral purpose: making explicit the goal of raising the bar and closing the gap for all individuals and schools. That moral imperative applies to adults as well as to students. We cannot advance the cause of students without attending to the cause of teachers and administrators;

(3) The right bus: making sure that the organization has the right bus in the first place – that is, the right structure for getting the job done;

(4) Capacity building: the main mark of successful leaders is not their impact on student learning at the end of their tenure, but rather the number of good leaders they leave behind who can go even further;

(5) Lateral capacity building: connecting schools within a district – and even more broadly – to develop new ideas, skills, and practices that increase the ability of individuals and organizations to bring about improvements;

(6) Ongoing learning: Knowing whether students and adults are growing and learning is an important part of this disciplined inquiry. We must ask key questions about assessing student learning: How should we gather student performance data? How should we evaluate disaggregated data? How can we link data to instructional improvements? We also need to know whether teachers, administrators, and other staff members are growing professionally; whether learning communities within and across schools are evolving; whether district staff and the system are pursuing ways to better serve the needs of schools and the area; and whether students and parents are satisfied;

(7) Productive conflict: As district leaders get better at implementing reform, they learn how to distinguish good conflict from bad, and the built-in checks and balances in the system help sort out productive conflict from the dysfunctional kind. Successful organizations explicitly value differences and do not panic when things go wrong;

(8) A demanding culture: Organizations with a high level of trust among participants combine respect, personal regard, integrity, and competence – yes, competence;

(9) External partners: All improving districts that we know about have active external partners – such as business groups, foundations, community-based organizations, or universities – that help build the district's professional capacity;

(10) Focused financial investments: We have learned that governments, the public, foundations, and businesses are willing to put more money into public education – not just because of the need, but rather because they perceive that the investment pays off. (Fullan et al., pp. 43-44)

Finally, at the state level, the key is to "establish a sophisticated blend of pressure and support. This refers to both a specific and generic infrastructure. Using Barber's (2001) description and analysis of England's National Literacy and Numeracy Strategy, specific infrastructure refers to the literacy and numeracy components and their main implementation elements. Generic infrastructure refers to the "policies related to the overall quality of the teaching profession" (p. 17). Fullan (2001a) concludes by saying that "policy makers need to turn their attention to developing capacities and interactions across the three levels …" (p. 21). There is a need for "a set of policies on accountability and capacity-building" that will "take into account all three levels and their interrelationships"

(p. 21); acknowledge the "limitations of a tightly orchestrated tri-level strategy" (p. 21); to be aware of the "quality, morale and internal commitment of the teaching profession qua profession" (p. 22); to broaden "the curriculum beyond literacy and numeracy" (p. 23) and to understand that "change in complex society will never be linear" (p. 23).

In addition to acknowledging the return of large-scale reform, its enemies, and suggesting that it takes place at the school, district and state levels with sustainability as the goal (Fullan, 2001; 2004; 2006; Fullan, 2003, 2005, 2006, 2007; Leithwood et al., 2004;) Fullan points to leadership and professional learning communities as crucial factors.

The importance of leadership in education reform has been documented at length (Bolman & Deal, 1997; Elmore, 2000; Fink & Resnick, 2001; Hargreaves & Fink, 2005; Hord, 1992; Jossey-Bass Reader on Educational Leadership 2000; Leithwood et al., 1999; Leithwood, 2004; Marzano et al., 2005; Méndez-Morse, 1992; Resnick & Glennan, 2002; Senge, 1996; Sergiovanni, 2000, 2002; Spillane et al., 2001; Stoll & Fink, 2002; Waters et al., 2003;). More specifically, the role of system leadership is cited as a necessary ingredient and crucial variable for large-scale reform (Hopkins, 2006). Fullan cites the role of the principal and its relationship to student learning.

In an era of large-scale reform, Fullan (1998) starts by acknowledging that the work of the principal has become increasingly complex and constrained.

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Simply stated, principals have become too dependent on context. "Dependency is created by two interrelated conditions: overload and corresponding vulnerability to packaged solutions" (p. 6). Principals find themselves receiving and responding to multiple, fragmented and incoherent innovations. As a consequence, it is understandable and expected that they may feel tempted by and vulnerable to the latest recipe for success that appears. Fullan castigates this advice as damaging and deceiving. He argues that there is "no definite answer to the 'how' question (p. 8). Instead, principals are encouraged to give up the search for the silver bullet in order to overcome dependency.

> Instead of hoping that the latest technique will at last provide the answer, we approach the situation differently. Leaders for change get involved as learners in real reform situations. They craft their own theories of change, consistently testing them against new situations. They become critical consumers of management theories, able to sort out promising ideas from empty ones. They become less vulnerable to and less dependent on external answers. They stop looking solutions in the wrong places. (p. 8)

Fullan (1998a) concludes by suggesting that principals follow guidelines as published later in his own work: *What's Worth Fighting for Out There* (Fullan). Basically, he exhorts principals to learn from resistance and dissonance; to advocate for community reform and become assessment-literate; to manage emotionally and to be hopeful by fighting for lost causes. Fullan ends up by arguing that the future and coming challenge in the minds of policy-makers is to scale up. For this, it is necessary to realize that educational leaders of the 21st

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century should "look for answers close at hand and reaching out, knowing that

there is no clear solution" (p. 10).

Fullan (2004) underscores the role of leadership in large-scale reform as the key driver.

> Leadership is to this decade what standards were to the 1990s, if you want large-scale, sustainable reform. You can get some improvement by tightening standards, but only to a point, as we have seen in England. In order to get deeper, you have to capture the energy, ideas, and commitment of teachers and principals. It takes leadership – a certain kind of leadership – to do this. (p. 16)

This assertion is based on the argument that effective leaders create

energizing environments. Particularly important here is Fullan's (2001)

examination of leadership cases in business and education. The commonality of

leaderships across these sectors is that learning organizations in complex times

are characterized by: moral purpose, an understanding of the change process,

strong relationships, knowledge-sharing capacities and coherence- and

connectedness-making abilities. These are the components of the framework that

should guide principals that lead in a culture of change.

Besides leadership for learning organizations, in a 4-year evaluation report

of England's NLNS, Leithwood et al., (2004), Fullan points out that 'strategic'

and 'distributed' forms leadership are critical for large-scale initiatives. Evidence

clearly shows that strategic leadership is "widely distributed and enacted; it has

the flexibility to mature over time from relatively simple additive forms to more

holistic forms in which relationships within and across levels of leadership become highly interactive" (p. 75). The point here is to question and debunk the three assumptions prevalent in contemporary leadership literature. These refer to the assumption that "leadership needs to be transactional and managerial in nature" (p. 75), when driving large-scale reform; that "transformational leadership is typically, if not necessarily, provided by talented leaders" (p. 75) and that "distributed and hierarchical forms of leadership are somehow incompatible and that distributed forms are superior" (p. 75). The point here is that there is a need for a greater and more complex orientation and application to leadership "than much of the literature would suggest and one that seems prone to exaggerated claims rooted in democratic ideology" (p. 76).

Finally, in terms of leadership, Fullan (2006) highlights the significant relationship of the principal to student learning. In a paper presented to the Irish Primary Principal's Network, Fullan states that the key to success is the school principal:

> The principal is the nerve centre of school improvement. When principal leadership is strong even the most challenged schools thrive. When it is weak schools fail or badly underperform. But the principal itself is not thriving. If anything it is reeling because of heightened expectations and corresponding neglect of re-examining and repositioning the role suitable to the needs of the system in the twenty-first century. (p. 1)

The principalship is not improving because of individual, collective and more importantly systemic reasons. Fullan (2006) argues that the key to improving the principalship is to get inside the black box of success, to identify the barriers that block this sustained success and to how to go forward. Responding to principals in Ireland, Fullan provides a series of recommendations to those in government, to IPPN principals and to individual principals. The underlying theme Fullan advocated by was to raise the bar for the principalship, to improve the conditions under which they work and to challenge those who are not performing well. The goal here is to "dramatically increase leadership across the system" (pp. 18-19).

In addition to highlighting the importance of leadership, Fullan underscored the necessity of relationships. Fullan (2001) stresses the importance of developing relationships beyond individuals. "Development of individuals is not sufficient. New relationships (as found in a professional learning community) are crucial, but only if they work at the hard task of establishing greater program coherence and the addition of resources" (p. 65). This is a system problem. Fullan and St. German (2006) suggested a number of techniques and ideas for schools to generate their own learning places.

Moreover, based on Campbell's (2005) observations and examples of teachers witnessing unethical behavior on the part of colleagues but not doing anything about it, Fullan (2007) claims that dignity and respect should be at the

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core of PLCs. They should function as a source of motivation. It is about a socially based solution where teachers come together to reflect and collaborate on the ethical and moral dimensions of their work. Fullan argues that "fostering PLCs should include forums for teachers to collectively reflect on and collaborate on the ethical and moral dimensions of their work and behavior" (p. 50). In addition to the individualistic bias and ethical implications of PLCs, Fullan asserts that they "should not be confined to latest ideas and innovations. They should not be places for well-meaning superficial exchanges" (p. 50). Fullan suggest caution with PLCs. The depth of PLCs requires consistent reflection and problem-solving. PLCs are not merely intra-school isolated phenomenon. It is about the fostering of collaborative cultures across districts, cross-school learning or lateral capacity building. In sum, intra- as well as inter-school learning is needed for system transformation. In this sense, Fullan approach to PLCs as a capacity-building strategy that takes hard work because of an institutional culture that does not connect well to other levels of the system.

In fact, Fullan (2007) recognizes that PLCs are difficult to establish. A lack of focus and investment on the part of policy-makers and the comfort of privatization in teaching practices are some of the reasons for this. Fullan (2006) acknowledges evidence that PLCs "are not making their way with any substance and continuity inside the classroom" (p. 56). Getting at the core of improving instructional practice and changing norms of autonomy and loyalty is hard

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(Campbell, 2005; Elmore, 2004a, 2004b; The Cross City Campaign for Urban School Reform, 2005). Fullan claims that the answer is "deep engagement with their colleagues and with mentors in exploring, refining, and improving their practice as well as setting up an environment in which this not only can happen but is encouraged, rewarded, and pressed to happen" (p. 57). The real challenge here is to change the prevailing culture of administration and teaching in schools. The danger of current reform strategies is the dramatic expectation of a turnaround of a failing schools. These strategies are narrowly conceived, under conceptualized, "too little and too late, work on only a small part of the problem, and unwittingly establish conditions that actually guarantee unsustainability" (p. 20). In this sense, Fullan's approach to PLCs sounds like an implementation strategy. Its results may be superficial, narrowly conceived and therefore temporary as he forcefully documents in the turnaround school phenomenon.

The real challenge then for PLCs is to place them in a larger, systemic perspective. The argument is that "if we do not examine and improve the overall system at three levels, we will never have more than temporary havens of excellence that come and go. Without attention to the larger system, professional learning communities will always be in the minority, never rising above 20% in popularity in the nation, and will not last beyond the tenure of those fortunate enough to have established temporary collaborative cultures" (Fullan, 2005, p. 210). The solution lies in the tri-level strategy that builds capacity across the three

levels: school, district and state. "Tri-level development promotes professional learning communities as a *system* quality. For Fullan, this implies: "the need to address the problem of bias toward individualistic solutions; the radical need for systems thinkers in action; the importance of learning from each other as we go and the danger of waiting for others to act (p. 217). This is about "changing cultures to create new contexts" (p. 218). This is also the key to sustainability as stated by Hargreaves and Fink (2006). Sustainability is about changing and developing the social environment. Professional learning communities at large are not about the proliferation of single schools; they are about creating new environments across the system through tri-level development" (p. 219).

It is exactly to this 'systems' remark mentioned above where Fullan (2003) seeks to place moral purpose:

> Moral purpose of the highest order is having a system where all students learn, the gap between the high and low performance becomes greatly reduced, and what people learn enables them to be successful citizens and workers in a morally based knowledge society. (Fullan, p. 29)

Linking large scale reforms to professional learning communities is the moral imperative of leadership and breakthrough system transformation. Fullan (2003) advanced the notion that the principal is strategically placed best to accomplish the moral imperative of schools. "Leading schools ...requires principals with the courage and capacity to build new cultures based on trusting relationships and a culture of disciplined inquiry and action" (Fullan, , p. 45).

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These new cultures should be built not only at the individual and school but also at the regional and societal level for large scale system transformation to occur. On the other hand, it is essential to consider the starting point and continuum of development of schools development principals find themselves in. Principals should be able to recognize the instructional continuum their particular schools are at. Hargreaves's (2003) distinction between performance training sects and professional learning communities is a good starting point.

However, whereas earlier Fullan (2003) argued that PLCs grounded on informed prescription (Barber, 2002) are appropriate for schools and districts that have low leader capacity, unprepared teachers and poor performance, later Fullan et al., (2006) criticizes Hargreaves' (2003) characterization of PLCs as performance training sects as 'crude' putting advocates of prescription on the defensive without giving them any convincing reasons to question their approaches, [giving] it gives license to professional learning communities without any detailed strategy for accomplishing change in classrooms on a large scale. Fullan et al., claim that the problem is that these descriptions do not deal with instructional transformation. "The greater precision does not mean greater prescription. We don't have to choose between loose professionalism and external imposition." (p. 12). Thus, Fullan outlines his strategy of breakthrough system through personalization, precision and professional learning (Fullan). Consequently, PLCs are narrowly conceived and defined. 'It is not just a matter of

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teachers interacting; they must do so in relation to focused instruction …; [they] "PLCs can contribute mightily to altering school conditions, but by themselves, they do not go deep enough into classroom practice, and they can even be (unwittingly) counterproductive if their interactions reinforce teaching practices that are ineffective" (p. 25). Instead, professional learning is what is needed. This implies "focused, ongoing learning for each and every teacher" (p. 21). Moral purpose in large scale reforms demands the reconceptualization and transformation of leadership in school systems. Moral purpose in the creation, building, nurturing and sustaining of professional learning communities in the midst of an increasing standardized reform era is not only about individual, but also organizational development (Fullan, 2008).

Contrary to previous periods, Fullan's scholarly commentary seemed to be leading large-scale reform period instead of just providing a perspective of why certain initiatives succeeded and others did not. To summarize, Fullan acknowledges the arrival, reality, need and complexity of large-scale reform. Overload and fragmentation are its main enemies. Its solution is coherence through a redefined and reframed social- and action-based systemic application of leadership and professional learning. Capacity-building and sustainability efforts are at the core of this equation. Professional learning communities can help accomplish large-scale reform. Moral purpose demands a reconceptualization of leadership and a clear realization of the continuum from individual to

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organizational development. In a nutshell, it is about integrating individual and

organizational development (Fullan, 2008).

Post-Standardization

Currently, noted researchers and theorists claim that the days of

standardized testing may be coming to an end (Hargreaves, 2008; Hargreaves &

Fink, 2006; Hargreaves & Fullan, *in press;* Hargreaves & Shirley, 2007). The

claim here is that it is very probable that we are entering an age of post-

standardization. Hargreaves (*forthcoming*) explains:

> We are entering an age of post-standardization. Having reached a
> plateau of improvement in tested achievement, and a crisis of
> demographic renewal in teaching and leadership, most Anglo-
> Saxon and other developed countries are leaving behind policies
> that force up standards and results at any price. England's National
> Literacy Strategy and Primary School Targets, the US's grueling
> process of Adequate Yearly Progress, Ontario's strategy to reach
> provincial tested targets within one electoral term that vary only by
> one year and 5% from the English benchmark from which they
> were borrowed, as well as Australia's Federal literacy test that
> takes the achievement and education agenda away from politically
> more left of centre states – these are the dying embers of a reform
> fire that is burning itself to a cinder. (Hargreaves, *forthcoming*, p.
> 2)

Hargreaves (*in press*) characterizes this age of post-standardization as a

third way that followed the first age of optimism and innovation, an interregnum

of complexity and contradiction. The second way of change was called

standardization and marketization. The first way began during a period of economic expansion and state investment in the 'Great Society' initiatives such as America's War on Poverty and "a golden age of education (where) there was money and respect and all kinds of things happening" (Hargreaves). The first way was also characterized by two teacher nostalgias, namely: "the freedom and flexibility to develop curriculum and fit the varying needs of their students as part of a mission to change the world that was captured by a social-justice-driven spirit of the times in which social reform, women's equality, anti-war protests and civil rights were prominent ... [and] their lost professional autonomy ... to teach academic subjects as they chose, in schools that were smaller, where unmotivated students left early for employment, and the rest wanted to learn" (Hargreaves). The second way was propelled by "an interregnum of complexity and contradiction ... [during] the late 70s to the mid 90s ... [where] a declining economy quelled the thirst for innovation while encouraging a focus on market-driven competition among schools ... '[and where] common educational standards and assessments (around which competition would be based) emerged as a way to create more coherence across the system. This interregnum was often complex and contradictory as there were initiatives such as outcomes-based education and standards-based attempting to build common understandings while at the same time there were the emergence portfolio assessments, standardized tests and interdisciplinary initiatives alongside the adoption and implementation of subject-

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based standards and selective magnet schools. As a result, the second way was one marked by standardization and market competition.

Here is where the imposition of prescriptive and punitive reforms guided by various degrees of resources takes place across many Anglo-Saxon governments. The second way was paradoxical in the sense "that while parent consumers were free, professionals were subjected to greater control" (Hargreaves) and characterized by "fear, force, prescription, competition and intervention ..." (Hargreaves). The third way is post-standardization. The three defining paths that define this third way are: autocracy, technocracy and effervescence. The first one "acknowledges that new problems are emerging, including the need for a more innovative school system and economy" (Hargreaves); the second path "converts moral issues of inequality and social justice that are a shared social responsibility, into technical calculations of achievement gaps, for which teachers and schools are solely accountable" (Hargreaves) and the third path "solves the motivation deficits created by top-down standardization by stimulating and spreading increased professional engagement and interaction" (Hargreaves).

In addition to Hargreaves' characterizations, Shirley (*in press*) clarified the meaning of post-standardization and the factors that were leading to it. Post-standardization, in his own words, "does not mean the end of standards, but rather moving beyond an emphasis upon standards as a leading edge change strategy.

Post-standardization in this sense is related to the second concern articulated

above—that the proverbial NCLB genie is out of the bottle and that there is no

going back to pre-NCLB conditions with more relaxed accountability systems"

(Shirley). Factors leading to a new era of post-standardization include limitations

of standards and accountability strategies and trends that do not indicate a

nostalgic return to the conditions that existed prior to the issuance of the Nation at

Risk in 1983. More specifically, three limitations underscored by Shirley include:

> In spite of a major federal initiative in the United States, test score results of fourth graders, eighth graders, and fifteen-year olds on the National Assessment of Student Progress (NAEP) and the Programme for International Student Assessment (PISA) have remained basically flat in recent years, thereby casting into doubt the premises of the strategic emphasis upon standards, testing, and accountability favored by NCLB. (Fuller et al, 2007; National Center for Educational Statistics, 2007)

> Even the most tenacious advocates of standards and accountability are now expressing concerns about some aspects of the movement, such as the tendency to narrow the curriculum, to teach to the test, and to mandate prescriptive and unimaginative approaches to teaching and learning. (New Commission on the Skills of the American Workforce, 2007; Rennie Center, 2006; Rothstein, 2007)

> Even when trends are positive and strong on the standardized tests administered by states, enormous variability in definitions of proficiency, fluctuations in the number and percentage of English Language Learners and special education students assessed by the test, and low or nonexistent correlations between pupil achievement results on state tests and NAEP raise numerous unsettling questions about test score inflation and the role of districts and states as abettors in this to meet their "adequate yearly progress".(AYP) goals. (Center on Education Policy, 2007; Koretz, 2008)

The approach of using accountability data to create an exogenous shock that will propel educators to embark upon ambitious reforms all too often sparks short-term gains that plateau after a few years and that fail to build momentum and capacity for sustainable learning over time. (Hopkins, 2007; Macbeath et al, 2007 all cited in Shirley, *in press*)

In addition to the limitations of standards and accountability, Shirley (*in press*) discarded a return to the nostalgic era and conditions prior to the issuance of *A Nation at Risk (1983).* This is supported by:

Advocacy groups for traditionally disenfranchised students in the US—such as the National Council of La Raza, the Citizens' Commission on Civil Rights, and the National Center for Learning Disabilities--*all* support strong federal leadership in regard to testing and accountability as essential in promoting educational equity and transparency about pupil achievement and have forged links with business leaders from the Chamber of Commerce and the Business Roundtable to advance their agenda. (www.nclbworks.org)

High levels of public concern about education, the administration of national and international tests, and their clockwork appearance in paper and digital media throughout the year, indicate that policy makers can ill afford to ignore slumps in achievement and that those who do will be punished by voters. (Levin, 2008)

School districts have been working hard and making progress transforming data into information that can be used by educators to gain more precision in their instruction, and as districts transition from status models comparing one cohort of students to another to growth models tracing individual students' learning gains over time, educators' opposition to accountability measures is likely to decline. (Hoff, 2007)

Broader and apparently unstoppable social transformations in the direction of greater transparency and technological advances about all facets of social and institutional life have led publics to expect easy access to information as part of the emergence of a new

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transnational "audit society." (Power, 1997 as cited in Shirley, *in press*)

Along the same lines of the limitations of standards and accountability strategies, in the United States policy-makers have called for a major overhaul of the testing industry. The main argument is that economic advantage and leadership in our current global knowledge economy depends on creativity – something for which our conventional testing curriculum does not prepare our young people. In their influential report "Tough Choices or Tough Times" issued by the New Commission on the Skills of the American Workforce, it is stated:

> But that kind of leadership does not depend on technology alone. It depends on a deep vein of creativity that is constantly renewing itself. Now many students just slide through high school, because they know that all they have to do is to get passes in their courses or a satisfactory score on an 8th or 9th- grade-level literacy test to go to college. (p. xviii)

> The core problem is that our education and training systems were built for another era. We can get where we must go only by changing the system itself. (p. xix)

Hargreaves and Shirley (2007) argue that the United States is "making a final surge with an old and largely ineffective theory of change that is being sidestepped by more and more nations" (p. 1). The United States is compared to Finland and Ontario's recent policies to make the case as to why standardized and market-driven school reform in the U.S. has fallen flat. Finland is "building their

future by wedding education to economic development, without sacrificing

culture and creativity" (p. 2).

> Finns view science and technology as high priorities, though not at the expense of artistic creativity or social responsibility. Finnish high school graduates rank teaching as the most highly desired occupations, and only the nation's top graduates are able to enter the profession. Here they effectively lead Finns into their enviable position as one of the world's top learning societies … They promote a broad and enriching curriculum, rather than obsessing only about literacy and math; they raise standards by lifting the many, rather than pushing a privileged few. And they morally inspire, rather than financially incentivize, a high-status profession. (p. 2)

In the province of Ontario, Canada, the government is "making the

curriculum more flexible again, moving closer to the Finnish and away from the

American model. The government has settled grievances with and secured

support from the unions, developed ways for strong schools to help their weaker

counterparts, and invested fresh financial resources to make all this happen. The

Canadian government has set out to implement a strategy that wedded "a

continuing commitment to educational accountability with a range of initiatives

that built capacity for improvement and provided professional support

(Hargreaves, *forthcoming*).

In addition to Finland and Ontario, researchers have also underscored the

critical role of "peer-supported, professionally validating and emotionally

uplifting strategies that make real differences to the measured attainment of the

students that teachers teach in the here-an-now" in England (Hargreaves et al., 2006 cited in Hargreaves *forthcoming*, p. 17). This evaluation of the Raising Achievement / Transforming Learning project of the Specialists Schools and Academies Trust, which supporting evidence shows that while "short-term strategies are not about deeper transformation of teaching and learning, they do give instant lifts in measured attainment – and in ways that largely avoided the unethical manipulation of test-score improvement within regimes of standardization" (Hargreaves, 2007, p. 16). Short-term strategies also served as confidence-building levers. However, the limitations of these strategies are that teachers were quickly attracted and almost addicted to them and thus they were not encouraged to challenge existing teaching and learning practices. In addition, limitations are also attributed to the wider national policy culture in England and to its standardized nature. In this environment, there was no surprise to see the persistence and even increase of presentism (Hargreaves). The point here is that long-term and short-term strategies are complementary rather than competing principles for improvement and change (Hargreaves, 2008). Thus, the future is promising if high-trust networks, school-to-school collaboration and discretionary budgeting as an alternative theory of action can be "separated from its overly-standardized antecedents of bureaucratic accountability and wedded instead to higher levels principles of accountability that can now be realized through professional and peer-driven forms of it" (Hargreaves, *forthcoming*, p. 19).

According to Hargreaves (*forthcoming*), Finland, Ontario and England[15] educational reforms represent weddings. To restate, Finland weds education to economic development. Ontario weds accountability to capacity-building and professional support strategies. England weds principles of accountability to professional and peer-driven forms of it. In their words, this new theory "pays more attention to developing teachers' capacity to meet higher standards, rather than emphasizing the paper standards themselves. It replaces imposed standardization and privatization with networks and peer-driven improvement. Assessment for summative quality assurance is replaced by assessment for learning, where data are used to inform ongoing decisions to produce better outcomes" (Hargreaves & Shirley, 2007, p. 2). The question remains what will the United States do? Hargreaves (*forthcoming*) concurred with much of the observations and conclusions reached by the New Commission on the Skills of the American Force. In fact, Hargreaves (2003) highlighted the necessity of creativity and ingenuity in contemporary knowledge economies. The problem, according to Hargreaves (*forthcoming*) is that its solutions and theory-in-action are "diametrically opposed" (Hargreaves, p. 26) to not only his preceding proposals but also contrary to those adopted by the developed nations. The report addresses "half the child and half the teacher – the half that suits the economy" (Hargreaves, p. 27). The fact that this report does not mention recent educational developments in Finland, China or even England could be an indication that the

United States is likely to see another surge of regulations in curriculum and assessments as well as performance-related pay strategies that may lead into a funeral rather than a fourth wedding (Hargreaves).

It will be very interesting and intriguing to investigate where Fullan stands on this theory of post-standardization. How does this recent movement impact or shape his theory of action in educational change? What are some of the issues that he can anticipate, if any, during post-standardization? Will Fullan lead this period, resist it or just comment in the middle of it or at the end? Fullan's assessment of post-standardization will be presented in the last part of the descriptive and analytical assessment of Fullan's development and evolution of his theory of educational change (chapter 5).

Summary

This chapter describes five historical periods of efforts to change and better schools. I have attempted to describe its origins, major proponents and practical implications for educational reform and theory. I have also explored and examined the observations and commentaries of noted scholar Fullan in an attempt to describe how he contributes to the past, present and future dialogue on school reform and educational change.

As has been seen throughout this chapter, Fullan's scholarly commentary never led a change period, but rather provided a perspective of why certain

initiatives (within the period) succeeded and others did not. At the end of the innovation and diffusion period, Fullan acknowledged the rational and linear nature and process of educational reform as well as the absence of a clear and articulate theory of action which implied that adoption equated implementation. In the middle of the following period, Fullan presented himself as an advocate of school improvement in addition to school effectiveness. Fullan argued in favor of the importance of process factors in addition to outcomes. In both the middle and at the end of the school restructuring and reculturing periods, Fullan acknowledges and comments on the existence, value and necessity of restructuring; however, he claims that school improvement is not likely if there is no space for teachers and principals to question their beliefs as well as the values and norms that shape and guide their relationships. In Fullan's terms, reculturing requires attention to the culture of the schools as it affects its teaching and leadership force. Perhaps the exception to being in the middle and at the end of the previous periods is Fullan's participation in the current large-scale reform period. His most recent work and involvement as a consultant and project evaluator with countries and states (i.e., England, Ontario) may represent an attempt to lead the change period (large-scale reform). Fullan briefly acknowledges the arrival, reality, need and complexity of large-scale reform as well as its main enemies, namely – overload and fragmentation – and his advocacy for capacity-building and sustainability. Finally, it is not clearly known

where Fullan stands on the theory of post-standardization. Fullan's position on the theory of post-standardization deserves investigation. Further and deeper questions on the periods mentioned above as well as on his involvement in recent large-scale reforms and the coming of post-standardization will be described and addressed during chapter 5.

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CHAPTER THREE: RESEARCH DESIGN AND METHODOLOGY

Overview

This is a distinctive study. Rather than examining a single change initiative, subject, strategy, program, group of people (students, teachers etc.) and cultural variables, this study closely examines and explores the intellectual underpinnings of scholar of educational change Fullan. The researcher is interested in uncovering and unpacking the themes, controversies and contributions that distinguish Fullan as a scholar in the field of educational change. This chapter briefly describes the instruments the researcher used to accomplish his task. The rationale for this study is described first. Then the researcher provides the conceptual framework under this study is grounded. Research methodology employed for this study is discussed by the use of time-lines and various artifacts. Negotiating access to the data is further described. This included acquiring all of Fullan's writings and conducting one interview. Finally, the researcher describes how the data was analyzed and thus reported. A brief summary seeks to capture the essence of this chapter.

Rationale

This study is grounded in the qualitative research tradition (Denzin, & Lincoln, 2005; Glesne & Peshkin, 1992; Guba & Lincoln, 1994; Huberman,

1994). Creswell (1998) points out that qualitative research is "an inquiry process of understanding based on distinct methodological traditions of inquiry that explore a social or human problem" (p. 15). "Qualitative research, as a set of interpretive practices, privileges no single methodology over any other" (Denzin & Lincoln, 1998, p.5). Denzin and Lincoln (1984) offers a comprehensive definition of qualitative research:

> Qualitative research is multi-method in focus, involving an interpretive, naturalistic approach to its subject matter. This means that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret, phenomena in terms of the meanings people bring to them. Qualitative research involves the studied use and collection of a variety of empirical materials; case study, personal experience, introspective, life story, interview, observational, historical, interactions and visual text; the described routine and problematic moments and meanings in individuals' lives. (p.2)

These definitions mean that qualitative researchers search for understanding rather than explanation and for interpretation rather than prediction. Hull (1997) states that the "the purpose of qualitative research is to understand human experience, to reveal both the processes by which people construct meaning about their worlds and to report what those meanings are" (p. 14). The purpose of this study is to uncover the intellectual underpinnings and scholarly contributions of Fullan to the study of educational change through a descriptive and analytical assessment of all of his published works.

Conceptual Framework

This study is loosely rooted in a loosely conceptual framework of hermeneutics. Basically, hermeneutics is the art of interpreting. The early foundations of hermeneutics originated with German theologian and philosopher Schleiermacher (1768-1834). In fact, the origins of hermeneutics[18] can be traced back to scriptural, biblical, religious as well as Greek roots:

> The word hermeneutics is said to have had its origin in the name Hermes, the Greek god who served as messenger for the gods, transmitting and interpreting their communications to their fortunate, or often unfortunate, recipients.
> In its technical meaning, hermeneutics is often defined as the science and art of biblical interpretation. Hermeneutics is considered a science because it has rules and these rules can be classified into an orderly system. It is considered an art because communication is flexible, and therefore a mechanical and rigid application of rules will sometimes distort the true meaning of a communication. (Ramm, 1970, p. 16)

> To be a good interpreter one must learn the rules of hermeneutics as well as the art of applying those rules. Hermeneutical theory is sometimes divided into two sub-categories--general and special hermeneutics. General hermeneutics is the study of those rules that govern interpretation of the entire biblical text. It includes topics of historical-cultural, contextual, lexical-syntactical, and theological analyses. Special hermeneutics is the study of those rules that apply to specific genres, such as parables, allegories, types, and prophecy. (Virkler, 2007, pp. 15-16)

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[18] Hermeneutics. Available online: http://en.wikipedia.org/wiki/Hermeneutic#cite_note-0. Retrieved on March 1st, 2008.

While Schleiermacher proposed and used hermeneutics in the scared writings, Wilhelm Dilthey (1833-1911) is known for applying it to the human sciences. Ricoeur (1982) refers to hermeneutics as the theory of the operations of understanding in their relation to the interpretation of texts" (p. 88). This study applies hermeneutics in an attempt to understand the meaning of Fullan's published works. Its main concern with "knowing what the author wanted to communicate; understanding intended meanings and placing documents in a historical and cultural context" (Patton, 1990, p. 114). Using hermeneutics, this study seeks to place Fullan's work in a historical and cultural context, and to interpret both the epistemological and academic influences on his work so as to identify what the conditions were that occasioned his scholarly interpretation of events and led to his theory of change.

Interpretation, in this hermeneutic inquiry and analysis is outlined under four guiding principles:

> (1) Understanding a human act or product, and hence all learning, is like interpreting a text; (2) all interpretation occurs within tradition; (3) interpretation involves opening myself to a text (or its analogue) and questioning it and (4) interpreting a text in the light of the researcher's situation." (Patton, 1990, p. 114-115)

This study assumes that its interpretations are not absolutely true. Rather, the interpretation of meaning attempts to constitute a so-called hermeneutical circle. This is consistent with Schleiermacher's principles "that the constituent parts of speech are only intelligible in terms of the whole, as the whole can only

be understood through its constituent parts… (Rasmussen, 2002, p. 1). Crotty (1998) refers to the hermeneutical cycle as the "understanding of the whole through grasping its parts, and comprehending the meaning of the parts through dividing the whole …as an infinite process of reaching meaning that ends when a coherent understanding, which is free of inner contradictions, is reached" (p. 115). This is consistent with Schleiermacher's principles "that the constituent parts of speech are only intelligible in terms of the whole and the whole can only be understood through its constituent parts… (Rasmussen, p. 1).

Three assumptions guide this hermeneutics inquiry. Based on Guba and Lincoln (1998), these refer to ontology, epistemology and methodology. Ontology refers to the nature of reality. Epistemology refers to the nature of the relationships between the knower and what is known. Methodology refers to the tools that are used to reach that which is known. Consistent with a loosely hermeneutical perspective, this study assumes that realities are multiple, not single, and that they are socially constructed (Berger & Luckman, 1966). This study is positioned as constructive epistemology. This implies that reality is shaped by social relations rather than defined by objective measures. That is, there is no such thing as a value-free activity. Guba and Lincoln (1998) state that this makes this research process one that is "transactional and subjectivist" (Guba & Lincoln, 1998, p. 205). There is an assumption that "the investigator and the investigated object are interactively linked, with the values of the investigator

inevitably influencing the inquiry" (Guba & Lincoln, 1998, p. 206). In short, this research process is "value mediated" (Guba & Lincoln, p. 206). Finally, methodologically implies that this hermeneutic inquiry is dialogical and dialectical. This means that the "transactional nature of inquiry requires a dialogue between the investigator and the subjects of inquiry" (p. 205) which leads to "informed consciousness" (Guba & Lincoln, p. 206). In this study, the texts (Fullan's writings) and the historical context (other change and education reform literature) are in this constant dialectical and dialogical inquiry. The objective of this hermeneutical study is to arrive at a coherent understanding of the meaning behind Fullan's published writings.

Research Methodology

This study acknowledges that the researcher is the "primary instrument for data collection and analysis" (Merriam, 2001). Lincoln and Guba (1985) stated that humans are the "instrument of choice" for naturalistic inquiry, because of their abilities to interact with the situation, collect information at multiple levels simultaneously, gather and process information immediately and provide feedback and request verification of the data.

As a result, due to the subjective and interpretive nature of this study, it is important that the researcher explicitly identify "his biases, values and personal interests about their research topic and process" (Creswell, 1994, p. 184). In the

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last chapter, the researcher explicitly states his beliefs and positions by explaining

his background, unresolved issues and implications for further research and policy

practice in the fields of educational reform and practice.

This study also included an interview with Fullan. During the interview,

the researcher took notes which were added to the transcription of the audio tape

of the interview (Miles & Huberman, 1994). After the interview, I jotted down

notes about my impressions, doubts, emerging issues, second thoughts, reactions

and clarifications or elaborations needed. Since the purpose of this study is to

explore and describe the evolution and impact of Fullan professional experiences

in the intellectual fields of educational change and reform, something not easily

derived from observations or surveys, this interview was one primary data source.

Patton (1990) explains the importance of interviews:

> We interview people to find out from them those things we cannot
> directly observe … We cannot observe feelings, thoughts, and
> intentions. We cannot observe behaviors that took place at some
> previous point in time. We cannot observe how people have
> organized the world and the meanings they attach to what goes on
> in the world. We have to ask people questions about those things.
> The purpose of interviewing, then, is to allow us to enter into the
> other person's perspective. (p. 196)

Moreover, Goodson and Sikes (2001) supported the value of the

interview-conversation saying: "A one-to-one interview-conversation between

informant and researcher is perhaps the most commonly used strategy for

collecting life history data" (pp. 27-28). One-to-one interviews or face-to-face

interviews allowed for the "emic, or insider's perspective" rather than the "etic, or outsider's perspective" (Merriam, 2001, p. 7-8).

Time-lines

Due to the evolutionary nature of this project, time-lines were used when interviewing Fullan. Time-lines can aid the researcher by serving as a "as a structure for interviews, and to alert the researcher to experiences or phases of life which it might be productive to explore. Time-lines can be developed and expanded as the research progresses: alternatively they could just be used for their prompting value" (Goodson & Sikes, 2001, p. 30). One time-line was employed because it allowed the researcher to re-structure, re-focus and re-examine questions related to the focus of the study. This was a researcher-constructed time-line of all Fullan's writings and in concordance with Fullan's curriculum vitae, his own website and research conducted in the web and at the library by the researcher. This was especially helpful for the thematic analysis of all Fullan's writings. Although this study is based on Fullan's published works only, all of his works were included since his own dissertation in 1969 until April 2008.

Artifacts

Documents included: books, journal articles, scholarly papers, technical reports, conference papers, dissertations about Fullan, web-site reports and/or papers, newspaper articles and publicity material.

Negotiating Access to Data

Michael Fullan's Writings

Fullan's writings were primarily accessed through various venues: the internet (especially his website: http://www.michaelfullan.ca/), college libraries and professors who use his books. In addition, I personally e-mailed Fullan and asked him to send me other works that appeared in his books and articles but that were not readily available through the venues mentioned above. Fullan kindly provided his curriculum vitae.

Interview

Previous to starting this study, Fullan was sent a preliminary letter. The purpose of this letter was to kindly ask Dr. Fullan to write a letter of agreement that will be subject to a formal letter of consent. After receiving this letter, an informed consent was sent. In order to schedule the interview, this informed consent asked Dr. Fullan to provide a one year in advanced professional schedule. In this way, the researcher was informed before hand where Fullan will be

presenting and therefore plan for the interview. E-mail- and phone-based conversations were an option left for the researcher to use in case of the need for further clarification.

Data Analysis

Triangulation refers to the combined used of multiple data sources, points of views, perspectives, research methods and informants or observers (Creswell, 1998; Denzin, 1989a; Mathison, 1988). The aim here is to triangulate events and experiences so that "contradictions, irregularities and discontinuities can be established" (Denzin, p. 50). Denzin (1989a) explains the place of triangulation in permitting the analysis of varying definitions as they related to the same experiential unit" (p. 184). The triangulation process for this hermeneutical study was loosely derived from Fullan's published works; major commentaries on Fullan's works and an interview.

This loosely thematic and hermeneutical study employs inductive, emic and idiographic strategies. It is assumed that inductive analysis of documents and the interview will lead to themes, codes and categories. "Emic investigations are particularizing. They do not search for cross-cultural universals. They study cultural meanings from inside. They are not generalizing, … Emic research uses thick descriptions, …" (Denzin, 1989a, p. 200). This study aims at analyzing the published writings and experiences of a particular individual within a specific

domain and at a particular time: from the time of his beginning and to his latest publication (1971-2008). Idiographic analysis is the intensive study of one case, with the attempt being to formulate legitimate interpretations that pertain only to that case. The rationale for it rests in the assumption that because no two lives are the same, causal propositions will never be identical from case to case" (Denzin, 1989a, p. 200). In this sense, this study is unique and different.

Fullan's published works were read and coded thematically and analyzed. Key words, phrases and quotes were written for sections of book chapters, articles, reports or scholarly studies to represent topics and patterns. Inductive analysis of words and quotes led to the discovery of codes and themes. Codes were given a brief definition and an abbreviation. These were written in separate white index cards attached to copies of chapters, articles and interview transcriptions etc. Attached to this index cards there was also a sheet that included notes regarding how coding decisions were made and specific questions or issues that surfaced throughout the process. Finally, these were then stored in a computer file with the name of the code. Identification of codes was a combined product of the researcher's analysis. Bogdan and Biklen (1998) suggest that by looking at emerging words, phrases and patterns, several codes can be obtained that will further help the researcher sort out the data. Coding categories do not represent all of the codes that will be used in this study. In this study, as data is collected, read

and analyzed the researcher will make decisions on whether to use some or all of these coding categories or invent/create new ones.

To ensure consistency and avoid repetition, codes and corresponding definitions and/or themes derived from all published works were compared and contrasted on repeated occasions. This process continued until saturation was reached. After searching for regularities, patterns and interrelationships, final codes were then merged to form categories for which files were created. Categories were defined. Previously coded sections were placed under each category. Finally, categories were then stored in a computer file with the name of the category. These categories were then used to frame questions as well as to review issues and supplement answers and gaps that surfaced during interviews. Definitions of categories will be measured and judged according to the principles of internal homogeneity and external homogeneity (Guba, 1978). Internal homogeneity measures whether data (codes i.e.) identified under a single category supports that category description or should be transferred to another one, modified or deleted. External heterogeneity measures whether categories are distinctly clear and different from other categories.

Because this study involved placing Fullan's works against the historical landscape of changes and attempted changes in the context and processes of education in the United States, it required intensive reading of historical accounts of major change efforts. It also required positioning Fullan's works within those

historical periods. In qualitative research, data is gathered through interviews. In hermeneutical research, careful reading of texts is the analogous method of gathering data as the research interviews, as it were, the text searching to understand its argument, uncovering its point of view, probing its assumptions, noting what is left out, etc. The research qualifies as qualitative research since it seeks deep understanding rather than a cause-effect verification. While the researcher is actively interpreting the meanings in the text, his or her interpretations continually cite specific evidence in the text to legitimize that interpretation. In summary, the criteria for interpreting texts commonly associated with hermeneutical inquiry were followed. Those criteria were as follows:

Coherence
The interpretation must be coherent in itself; it must present a unified picture and not contradict itself. This holds true even if the work being interpreted has contradictions of its own. The interpretative must make coherent sense of all the contradictions.

Comprehensive
This concerns the relation of the interpretation in itself to the work as a whole. Interpreting texts one must take into account the author's thoughts as a whole and not ignore works which bear on the issue.

Penetration
It should bring out a guiding or underlying intention in the text, i.e., recognizing the author's attempts to resolve a central problematic.

Thoroughness

A good interpretation should attempt to deal with all the questions it poses to the interpreted texts.

Appropriate
Interpretations must be ones that the text itself raises and not an occasion for dealing with one's questions.

Contextuality
The author's work must be seen in historical and cultural context.

Suggestiveness
A good understanding will be fertile in that it will raise questions that stimulate further research and questions.

Agreement
The interpretation must agree with what the author actually says. This is in contrast to reductive hermeneutics characteristic of Marxism or Freudianism.

Potential
The interpretation is capable of being extended and continues to unfold harmoniously.

Reporting Data

Reporting data in this study requires the researchers to pay attention to overall as well as embedded rhetorical structures (Creswell, 1998). The overall rhetorical structures refer to issues of interpretation, voice and meaning. Interpretation demands the researcher to "discern the degree of objectivity to subjectivity, perhaps better labeled the degree of intrusion of the author into the manuscript" (Smith, 1994, p. 292).

The researcher's voice represents the second overall rhetorical structure facing the researcher when reporting data. Voice can be represented in two ways. In the first way, the researcher writes from the subject's perspective. This represents the interpretive model (Denzin, 1989c). In this study, the researcher's voice speaks with minimal interpretation and editing. The second aspect of voice refers to the autobiography. This is not shaped by the researcher at all. Here an 'instance of life' is presented (Denzin, 1989c, p. 61). This is a subject-produced biography. Voice in this study resonates with the interpretive model. Data is organized, analyzed and edited with occasional and/or partial quotes from the main subject (Michael Fullan) of this study as well as several scholars in the theoretical and practical fields of educational reform and change.

Finally, meaning represents the third overall rhetorical structure facing the researcher when reporting data. Here, the researcher will focus on the development of meaningful interpretation of the change process as it unfolds in Fullan's works.

No single embedded rhetorical structure dominates the presentation of data in this study. However, data in this study is primarily reported in a thematic approach accompanied and sustained by the subject's own published writings, key educational historical reforms, scholars' critiques as well as reactions by both Fullan (an interview) and the researcher.

Summary

A hermeneutical research method guides this study. Data was collected from multiple sources. Time-lines, published works, educational reform literature, researcher notes and an interview were part of the data. Reporting of data was thematic and analytical. Themes, questions, unresolved issues as well as comments by the study' own subject as well as other scholars and the researcher served to supplement the literature.

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CHAPTER FOUR: MAJOR THEMES IN MICHAEL FULLAN'S WORKS

Overview

This chapter summarizes the educational change themes that run throughout the work of Fullan. This is not a critical analysis of his works. This is merely descriptive in nature. It selects and examines these themes from his sixteen published (authored and co-authored) books. These themes consist of: stakeholders in education (students, teachers, principals, parents and community, district administrators and consultants), process, dimensions (the objective reality), assumptions (the subjective reality), moral purpose, relationships, knowledge, sustainability, complexity/chaos and evolutionary theory, systems, paradoxes, coherence and theory of action. Each theme is immediately followed by a quote or two from one or two of the eleven books. It is important to note three things. First, singling out these themes in no way confirms that these themes are independent and/or unrelated from each other. Separating themes is a deliberate and conscious attempt on my part to address and organize the key ideas that describe Fullan's work on educational change. These themes are interdependent and feed on each other. Second, the descriptive nature of themes provided here could be found or referenced in more than one book. Finally, these themes are listed here in no particular order of preference and/or importance.

People (stakeholders)

> *Educational change is a process of coming to grips with the multiple realities of people, who are the main participants in implementing change.*[19] *Educational change, above all, is a people-related phenomenon for each and every individual.*[20]

Students

> *Integral to the argument of this chapter is that treating students as people comes very close to "living" the academic, personal, and educational goals that are stated in most official policy documents. But more than that, involving students in constructing their own meaning and learning is fundamentally pedagogically essential— they learn more, and are motivated to go even further.*[21]

Innovations often become ends in themselves. Students become the means. For the most part, students are treated solely as the benefactors of innovations. They are passive, not active, participants in the process of change. The wedding of cognitive science and sociology may signal a renewed interest about the active role of students in educational changes (Fullan, 2001b). It is essential to provide students opportunities for cognitive as well as emotional development. This provides the academic dimension plus the social dimension. It is about both motivation and relationships. It is ultimately an excellence and equity issue. A professional learning community is nurtured in ways that integrate

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[19]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers College Press, pp. 96-97.
[20]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers College Press, pp. 151.
[21]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers College Press, pp. 162.

the insights of those who seek to re-define schools and change the power relations that sustain the student achievement gap (Fullan).

Most students report that teachers and principals do not understand their point of view, appreciate their opinions or listen to them. Students appear to be alienated. Many students are very passive in terms of the governance of the classroom. Lots of them are not taken into account or listened to when the teacher is making decisions about classroom management, planning, learning and teaching. Students' voice, insights and ideas needs to be tapped as a resource to shape learning and teaching for productive educational change to take place (Fullan, 2001b). An appropriate question here will be to ask Dr. Fullan if he has taken student voice into consideration throughout his scholarly work.

Teachers[22]

> *We don't have a learning profession. Teachers and teacher educators do not know enough about subject matter, they don't know enough about how to teach, and they don't know enough about how to understand and influence the conditions around them. Above all, teacher education — from initial preparation to the end of the career — is not geared towards continuous learning.*[23] *Ultimately, what is important is the capacity of teachers – individually and with others – to manage change continuously. This means the ability to find meaning among an*

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[22]*see* Appendix 4B.
[23]Fullan, M. (1993). *Change forces: Probing the depths of educational reform*. London: Falmer, pp. 108.

array of innovative possibilities, and to become adept at knowing when to seek change aggressively, and when to back off.[24]

Our society fails teachers because it gives students failing grades and it does not improve their working conditions. The problem begins with teacher preparations programs. These programs lack internal as well as external coherence. There are not enough induction programs for beginning teachers. The transitions of becoming a teacher coupled with their problems in the management of instruction and feelings of loneliness and isolation are documented as other sources in the poor preparation of teachers. Teaching in the inner city is one of the most stressful occupations. Teaching is not a learning profession yet. It is not geared toward continuous learning.

There is a strong need for teachers to change through a process of personal development in a social context. There have been several attempts at trying to fix this. These have proven to only scratch the surface. One of them was the Teacher Corps and Trainers of Teacher Trainers programs (Fullan, 2001b). This social change based-effort was described as merely a large-scale tinkering effort. It failed because it was a vague, individualistic, non-systemic, knowledge-less and only school-based program. Others included the strategies of the Education Commission States, which were effective (Fullan, 2001b). However, in the long term they were doomed to failure because they did not take into account

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[24]Fullan, M. (1992). *Successful school improvement*. Buckingham: Open University Press, pp. 23.

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developing the capacity of the school or reculturing. Still, other efforts with an explicit social reconstructionist agenda were also doomed to failure because they were too ambitious. The issue here is that these attempts failed because they did not change schools into learning organizations (Fullan).

Reforming teacher education requires the convergence of moral purpose and knowledge and skills development. Moral purpose needs to be part of the institutional objectives of teacher education. Teachers need to have the knowledge and skills to change institutions as well as to contend with forces of change in complex environments. There is also a strong need for developing an expanded knowledge and skill base that will allow teachers to not only teach a variety of individuals, but also influence their working conditions. This expansion of roles and responsibilities mentioned here will not take place unless teacher knowledge is substantially improved.

Understanding teacher development implies providing opportunities for knowledge and skills development, self-understanding and ecological change (Hargreaves & Fullan, 1992). Professional development of educators is about developing habits of learning. The question here is what set of policies provide teachers with opportunities to learn new ways for working while interacting with each other. Purposeful and focused collaboration needs to take place. Reculturing the entire profession means providing corresponding development mechanisms that are grounded in standards of practice; providing strategies embedded in the

workplace and identifying and strengthening leadership practices that focus

continuously on the previous two (Fullan, 2001).

Fullan and Hargreaves (1992) suggests the following guidelines for

teachers: "locate, listen to and articulate your inner voice; practice reflection in

action, on action and about action; develop an at-risk mentality; trust processes as

well as people; appreciate the total person in working with orders; commit to

working with colleagues; seek variety and avoid balkanization; redefine your role

to extend beyond the classroom; balance work and life; push and support

principals and other administrators to develop interactive professionalism; commit

to continuous improvement and perpetual learning and monitor and strengthen the

connection between your development and students' development" (pp. 64-83).

Principals[25]

> *To change schools we must change ourselves. More specifically,*
> *we must undergo a huge paradigm shift from, as they say in the*
> *university, being the dependent variable to becoming the*
> *independent variable.*[26]

The conditions that govern the principalship demand radical change

(Fullan, 1997). First, the principalship appears to be not very attractive due to the

multiple demands of the job and to the overload that it fosters. Second,

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[25]*see* Appendix 4C.
[26]Fullan, M. (1997). *What's worth fighting for in the principalship?* New York: Teachers College
Press, pp. vii.

historically conservative tendencies in the principalship make matters worse.

Teachers are narrowly prepared for the principalship. Many are prey to the

undeniable pressures for maintaining and restoring stability. As a result, principals

do not engage resistance in constructive ways, but rather in silent opposition that

allows it to take root. Third, many principals operate under more self-imposed

conceptions of the systems than there really are. The ways in which a principal

views the system may exclude him or her from seeing a universe of alternatives

that may bring a myriad of possibilities. Finally, the rational model has

historically shaped and dominated the governance of institutions in the West. It is

problematic and creates a sense of dependency among principals because it is

based in the 'if then-if only' philosophy and operates under the assumption that

problems are easily explained and solved. This rational model compounds the

situation because school systems are guided by multiple and competing goals;

power is unequally distributed throughout the organization; decision-making is

inevitably a bargaining process to arrive at solutions that satisfy a number of

constituencies; the public influences school systems in major ways that are

unpredictable; and, the effectiveness of teaching practices is heavily contested.

 Modern management techniques are therefore full of limitations (Fullan,

1997). First, principals must start admitting that there is no silver bullet out there.

Second, the leader must engage with the ideas in a real context in order to test

those management techniques and find out whether these help to solve the

problems or exacerbate the situation. Third, principals' work should be grounded in an entrepreneurial spirit and positive political skills. The changing structure of innovative organizations from tighter control to more flexible working conditions predicts and demands that middle managers (principals) may help their own sense of powerlessness by servicing, contributing to and creating a climate or culture that helps those with whom they work. Principals' actions should be balanced between maintenance and greatness, caution and courage and dependency and autonomy. Fourth, limited conceptions of leaders drive the system and are found in society's deep-seated notions of traditional leaders. The leader's job is to design a school culture or climate where people learn to deal with the issues that they face; to listen to others to enhance the vision they bring and help synthesize one's own vision with others to get a deeper and richer perspective on improvement and growth. This implies that the leader in a learning organization must deal with or navigate through polar opposites. The leader is responsible for acting on ways previously unknown. The changing role of principals in schools suggests that they should suspend advocacy and legitimize dissent, combine individual and collective effort with vision and welcome the presence of parents and communities as an opportunity to shift power relations and arrangements.

Several guidelines for actions are provided for principals consistent with the new conceptions of leadership. These include (1) "avoid 'if only …

statements"; (2) "start small, think big"; (3) "don't over plan and over manage";

(4) "focus on fundamentals: curriculum, instruction, assessment, professional culture"; (5) "practice fearlessness"; (6) "embrace diversity and resistance while empowering others"; (7) "build a vision relevant to both goals and processes"; (8) "decide what you are not going to do"; (9) "build allies"; (10) "know when to be cautious" and (11) "give up the search for the silver bullet" (Fullan, 1997, p. 27). Educational leaders can no longer operate under the old assumptions and/or mindset. "The principal is the key to creating the conditions for the continuous professional development of teachers and thus, of classroom and school improvement (Fullan, 1992, p. 96).

Parents and the Community[27]

> *Nowhere is the two-way street of learning more in disrepair and in need of social reconstruction than with concerning the relationship among parents, communities and their schools. Teachers and principals need to reach out to parents and communities, especially when the initial conditions do not support such efforts.*[28]

Given the fact that the boundaries of the schools and the outside environment have become more blurry, it is therefore necessary that schools pay close attention to parents and communities (Fullan, & Hargreaves, 1998). Teachers, principals and schools can no longer remain isolated from their immediate outside environments. Parental engagement in education leads to

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[27]*see* Appendix 4E.
[28]Fullan, M. (2001). *The new meaning of educational change* (3rd ed.). New York: Teachers College Press, pp. 198.

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increased academic achievement. Teachers and principals need lots of help in connecting to parents and the community. However, parents and communities also need help in the development of those skills that can help them make a good contribution to their respective schools. Teachers, principals and schools need to find and use parent involvement practices that will increase parents' understanding and knowledge about their children's instructional program.

The role of school boards should not be dismissed as unnecessary or counterproductive. School boards can make a difference when there is clarity about what is expected of them as well as the practices and programs that govern their respective district. They can also make a difference when they establish activities purposely designed to strength the capacity of their respective districts based on district data and a set of common values. There is a strong need for a learning school board.

Nonetheless, due to the excessive number of reform policies to be implemented and the lack of attention that these have for effective institutionalization, it is advisable that the starting point should be parental engagement. A popular conception is that most parents are disengaged from their children. Training and development offered in local communities and neighborhoods for effective parents and school connections can help counter this trend. This could be school or community initiated. While, it is true that in the past, teachers and principals have either resisted making these connections or

started connections that were superficial and did not last, parents are strongly

advised to change their thinking in regard to advocacy for schools. Parents can do:

"Press governments to create the kind of teachers you want; leave nostalgia

behind you; ask what you can do for your school as well as what your school can

do for you and to put praise before blame" (Fullan, 2001h, p. 214; Fullan &

Hargreaves, 1998k, pp. 124-125).

District Administrators[29]

> *It is possible for an individual school to become highly
> collaborative despite the district it is in, but it is not likely that it
> will stay collaborative. If the district does not foster professional
> learning communities by design, it undermines them by default. We
> now know that schools will not develop if left to their own
> devices.*[30]

The changing role of the school superintendent represents a huge shift

"away from the role of educational spokesperson and executive manager of a

relatively homogeneous system, toward one where negotiation and conflict

management of diverse interests and groups predominate" (Fullan, 2001b, p. 166).

District administrators are also viewed by the school as less than helpful.

Projectitis and its resulting debilitating effects in terms of both teacher and

principal skepticism about latest reforms efforts are pointed out as the cause. In

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[29]*see* Appendix 3E.
[30]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers
College Press, pp. 165.

addition, district administrators overlook the big picture thus creating an

inconsistent and disconnected approach of district policies with school realities

especially in the eyes of principals.

What school districts need to counteract these problems is reculturing with

an explicit and sustained focus on instruction, capacity, meaning and coherence.

District administrators have three tasks. First, the district administrator needs to

"recognize and unleash the power they have to do good" (Fullan, p. 179). Second,

he or she needs to "reculture toward interactive, accountable, inclusive

professional learning communities" (Fullan, p. 180). Finally, it is essential that the

district administrator needs to "model learning" (Fullan, p. 182).

Consultants

> *It is clear that consultants providing service and those using it have a lot of learn. In general term, what is needed is that external initiatives and those relating to them must base their work on both a high quality theory of learning and a high quality theory of action (or, if you like, a theory of pedagogy and a theory of change, which constantly feed on each other). A theory of pedagogy focuses on assumptions about learning, instruction, and performance; a theory of action tends to local context such as the conditions under which the model will work.[31]*

In the culture of change that describes our society and schools, the demand

for help is inevitable. Our schools are invaded by a stream of innovations in

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[31]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers College Press, pp. 187.

collision with other innovations that may work in some, not all situations. School reform models that focus on both pedagogy and context produce greater student achievement. Promising models are guided by a strong theory-based change. Developing the conditions implied in the theory of change and action is the big challenge.

Consultancy represents a promise in relation to this challenge. External consultants can build capacity (and thus conditions) through the use of good ideas about learning and by relating the model (to be implemented) to the bigger picture of the multiple of initiatives functioning around the district. External consultants could replicate the conditions that lead to the success of other school reform models when they focus on coherence and connectedness.

Principals and teachers considering using consultants should be careful when employing consultants. They should assess the extent to which external ideas or programs being presented have a theory of change that can address the process of implementation. They should also assess whether that external idea or program can be integrated with other ideas already put into action and closely monitor to what extent this idea or program is able to increase the knowledge and motivation of teachers.

Process[32]

Educational change is a process, not an event.[33]

Fullan (2001b) clearly states that the change process has three phases.

These are initiation, mobilization or adoption; implementation or initial use; and

continuation, incorporation, routinization or institutionalization. This is also

known as the Triple I model. Initiation "… consists of the process that leads up to

and includes a decision to adopt or proceed with a change" (Fullan, p. 50).

Implementation "… involves the first experiences of attempting to put an idea or

reform into practice" (Fullan, p. 50). Institutionalization "… refers to whether the

change gets built in as an ongoing part of the system or disappears by way of a

decision to discard or through attrition" (Fullan, 2001, p. 50). These three phases

are to be evaluated in terms of whether or not the outcomes of student learning

and the capacity of the school as an institution were attained and enhanced

respectively. The change process is complicated due to the presence of many

factors; its non-linear nature, the scope, the source of the change as well as

historical context.

Many factors operate at each phase.[34] According to Fullan (2001b), the

initiation phase is affected by: existence and quality of innovations, access to

innovations, advocacy from central administration, teacher advocacy, external

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[32]*see* Appendixes 5C, 5D & 5E.
[33]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers College Press, pp. 52.
[34]*see* Appendixes 5F, 5G & 5H.

change agents, community pressure/ support/ apathy, federal, state and local

funding and problem-solving and bureaucratic orientations. The implementation

phase includes: characteristics of change (need, clarity, complexity and

quality/practicality); local characteristics (district, community, principal and

teacher); and external factors (government and other agencies). Factors crucial for

institutionalization include active leadership, professional development and the

support/neglect of the larger infrastructure. In addition, there are four problems

that interact with this Triple I model. These are the challenges of including lots of

people in the process; combining pressure and support; the changing of behavior

and beliefs (in which people experience an 'implementation dip'[35]) and the role of

ownership.

Educational change is process, not an event. It is a process mediated by

more than one factor resulting in a number of problems that should be readily

anticipated and addressed by

reformers if the change process is to be successful.

Dimensions-The Objective

> *The difficulty is that educational change is not a single entity even if we keep the analysis at the simplest level of an innovation in a classroom. Innovation is multidimensional.*[36]

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[35]*see* Appendixes 5A.
[36]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers College Press, pp. 39.

The multidimensionality of educational change is characterized by three components or dimensions. Fullan (2001b) describes these as: (1) "the possible use of new or revised materials (instructional resources such as curriculum materials or technologies), (2) the possible use of new teaching approaches (i.e., new teaching strategies or activities), and (3) the possible alteration of beliefs (e.g., pedagogical assumptions and theories underlying particular new policies or programs)" (Fullan, p. 39). The change attempted or initiated must take place in practice along these three dimensions. However, it is possible that teacher's work touches upon one dimension while neglecting others.

This objective reality of change faces three difficulties (Fullan, 2001b). The first one refers to the originating source of these dimensions or who says what approaches, beliefs and materials are to be implemented, altered and used respectively. The tension between the fidelity and mutual-adaptation or evolutionary perspective is the second difficulty. The fidelity perspective is "based on the assumption that an already developed innovation exists and the task is to get individuals and groups of individuals to implement it faithfully in practice …." (Fullan, p. 40). On the other hand, the mutual-adaptation or evolutionary perspective "stresses that change often is (and should be) a result of adaptations and decisions made by users as they work with particular new policies or programs, with the policy or program and the user's situation mutually

determining the outcome" (Fullan, p. 4). The third difficulty lies in the fact that it

is very hard to define what is to be changed because as an initiative is

implemented there is further transformation, modification and development.

However, at the same time it will be appropriate and valuable to attempt to define

what is to be changed due to the fact that there is an inherent need in knowing

whether things have changed.

The possibilities for real change along these three dimensions lie in

addressing them on a "continuous basis through communities of practice" (Fullan,

2003a, p. 45) and in keeping the mind that beliefs can be unpacked after people

have had some interaction with the new practices being attempted.

Assumptions-The Subjective[37]

> *Educational change fails partly because of the assumptions of*
> *planners, and partly because solving substantial problems is an*
> *inherently complex business.*[38] *The fallacy of rationalism is the*
> *assumption that the social world can be altered by logical*
> *argument. The problem, as George Bernard Shaw observed, is that*
> *"reformers have the ideas that change can be achieved by brute*
> *sanity.*[39]

Educational change fails because of the assumptions underlying its

rational, contextual and cultural insensitivity and seductive appeal and nature

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[37]*see* Appendix 7A.
[38]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers
College Press, pp. 96
[39]Fullan, M. (2001b). *The new meaning of educational change* (3rd ed.). New York: Teachers
College Press, pp. 98.

(Fullan, 2001b). First, the fact that a principal or teacher is committed to a certain educational initiative does not guarantee that this person knows how that initiative is to be implemented. Change is not a rational process. The fallacy of rationalism is to be blamed for the failure of planning. Competing versions of the purposes/ goals/ outcomes of educational changes defeat any notion of rationality. The tendency to assume that the world can be changed by a logical argument is merely wishful thinking given the presence of many voices who claim to have the right version of that change.

Second, educational change fails because it is insensitive to the local context and culture. Failure takes place because the focus is on the initiative rather than on the structures, conditions and norms that are crucial for a change to flourish. This explains why resistance to change should be treated as a source of learning. Resisters may have some good ideas. Neglecting their concerns may block further implementation (Fullan, 1988).

Finally, educational change fails because of its seductive appeal and/or nature. Facing multiple and colliding demands, a principal or teacher may opt to go with a simple checklist. It may be easy and more comfortable to rely on gurus or adopt so-called experts' management techniques. It may comfortable and relaxing to know that someone is in control or that one is part of a great plan in that if only one follows this or that vision then everything will fall into place. This thinking and mindset may create and nurture dependency and false certainty.

Moral Purpose

> *Moral purpose of the highest order is having a system where all students learn, the gap between high and low performance becomes greatly reduced, and what people learn enables them to be successful citizens and workers in a morally based society.*[40]

> *Managing moral purpose and change agentry is at the heart of productive educational change.*[41]

Moral purpose is about the improvement of education for all students and about knowing how to get there. Pursuing moral purpose in a culture of change is complex. One case in point is the National Literacy and Numeracy Strategy in England (Fullan, 2001a, 2001b, 2003a, 2003b). This large-scale governmental initiative aims to increase the achievement of children up to eleven years old in the areas of literacy and math. This national attempt to raise achievement is driven by moral purpose because it is an explicit attempt at making a difference in the lives of students; it provides practical strategies and action steps for accomplishing its achievement targets; many stakeholders' (teachers, principals, government) motives are advanced; and finally, it triggers the questions of who can assure that this is the right purpose and whether this will lead to intrinsic commitment.

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[40]Fullan, M. (2003b). *The moral imperative of school leadership*. Thousand Oaks, CA: Corwin, pp. 29.
[41]Fullan, M. (1993). *Change forces: Probing the depths of educational reform*. London: Falmer, pp. 8.

However, Fullan (2001a) claims that moral purpose does not necessarily lead people to do good things all the time. Moral purpose is problematic because it must struggle to reconcile different voices that express different values, goals and purposes. Moral purpose is also evolutionary according to Fullan. Its potential must be somehow triggered and nurtured in order to flourish. In the world of education, educators are fusing the spiritual, emotional and intellectual in their careers and workplaces. In the business world, companies are expected to have a social conscience or soul. Moral purpose and performance are mutually dependent and cannot be treated as if they are not related or as if society could have one at the expense of the other.

Moral purpose is now part of the restructuring movement, as when schools are designed in ways to allow the participation of those groups of students that have been historically marginalized. Moral purpose is the building block of the individual teacher (Fullan, 1993). However, moral purpose at the interpersonal level is seen as limited unless it is redefined to address the broader social conditions that affect teaching. It is about linking this moral purpose and personal care to a broader social agenda grounded in the skills of change agentry.[42] Educators must accompany their moral purpose with knowledge about how to engage in change. They need to be agents of change. Fullan defines change agentry as "being self-conscious about the nature of change and the change

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[42]*see* Appendix 6E.

process" (p. 12). Teachers need four core capacities to enact change: personal vision-building, inquiry and mastery and collaboration. The institutional counterparts of these teacher capacities are shared-vision building, organizational structures, norms and practices of inquiry; focus on organizational development and know-how and collaborative work cultures (Fullan). A dual approach is in place — individual and institutional development. Personal purpose and vision-building imply that educators must ask themselves why they came into the profession and what is important to them. Inquiry demands that educators adopt questioning as the answer. Mastery is more than just becoming an expert at applying what one has learned. It is about moving beyond what one has learned in order to achieve certain prescribed outcomes. It is about generating new knowledge and insights in a disciplined manner to obtain both the skilled capacity and a new mindset or paradigm for dealing with problems and issues in a continuous learning mode. This new mindset provides educators with the ability to welcome and engage in risks and the unknown being crucial to and preceding the creation of new knowledge.

Relationships

> *Educational change is a relationships-reframing process between those in the school and those outside the school.*[43]

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[43]Fullan, M., & Hargreaves, A. (1998). *What's worth fighting for "out there"?* New York: Teachers College Press, pp. v-vi.

Organizations should pay equal attention or more attention to the relational as well as the structural and statistical dimension. Relationships and results are equally important. The issue here is how to shift leadership from being product-oriented to relationships-centered.

Fullan (2001a) cites School District 2 in New York City as an example of relationships in the context of school district reform to be emulated. This reform was governed by an intensive professional development strategy led by several organizing principles. Professional development was also treated as an embedded and contextual independent variable that is part of the daily work of all administrative leaders, and not as an isolated component that is specialized or evoked at certain specific and assigned times. In this educational effort as well as others, several mechanisms were used to coordinate relationships. These included monthly conferences, university partnerships, principal-staff meetings, videotaping, coaching and interactive problem-solving sessions.

Finally, while relationships can be powerfully positive, they can also be powerfully negative (Fullan, 2001a). Teachers' views and assumptions about learning and teaching can produce radically different cultures in the same school. Relationships function to color these assumptions. The presence of relationships does not automatically mean that they are focused on the right things. They may be misguided and / or further contribute to the problem that educational reform is

to redress in the first place. Some may contribute positively to student learning; others may not. What is needed is for the leader to exercise his new role consistent with moral purpose and with a new mindset that says that he/she is there to create and nurture structures as well as relationships in which people can use their minds well to identify and generate new insights and to develop strategies for applying them.

How to help people cultivate these relationships is part of both the problem and the solution. Fullan (2001a) argues that what people need is emotional intelligence. People should work on being street smart or on cultivating common sense. Emotional intelligence is something that can be learned. Leading in a culture of change is not only highly emotional, but also full of strong differences of opinion. Conflict is inevitable. Fullan suggests that effective leadership take this resistance seriously. "Dissent is seen as a potential source of new ideas and breakthroughs" (Fullan, p. 74).

Relationships can make all the difference here. They can be used to accelerate and enhance the pace of educational change efforts and to navigate resulting and inevitable conflicts. Relationships are equally important to structure. They are nurtured by a caring, contextual, interdependent climate that is guided by moral purpose and high emotional intelligence.

Knowledge[44]

> *Educational change leaders work on changing the context, helping create new settings conducive to learning and sharing that learning.*[45]

Knowledge creation and sharing fuels relationships (Fullan, 2001a). There is a clear difference between information and knowledge. "Information is machines. Knowledge is people". (Fullan, p. 78). Information converts into knowledge as a result of collaboration and interaction. This is a social process. The use and meaning of information is what ultimately counts. The focus should be on the context and the individuals to be using that information, not solely on the information. "Leading in a culture of change does not mean placing changed individuals into unchanged environments" (Fullan, p. 79).

Knowledge is tacit and explicit. It is tacit because it is very individual. This can be personal information that is not highly visible or easy to express. Knowledge is also explicit because it is information that could be easily communicated or disseminated in the traditional form of data and information. Success is associated with those organizations that have the capacity to access tacit knowledge. This is not easy to obtain because it should be sought first, sorted out, and then retained to be shared and used.

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[44]*see* Appendix 6W.
[45]Fullan, M. (2001a). *Leading in a culture of change*. San Francisco: Jossey-Bass, pp. 79.

There is a direct relationship between knowledge creating and sharing and internal commitment (Fullan, 2001a). In order to generate knowledge, a collaborative culture needs to be nurtured and sustained. Human interaction is crucial. Thus, the emotional lives of people are to be taken seriously. Knowledge sharing is important to creating a collaborative culture. His knowledge-sharing paradigm suggests that receiving and sharing knowledge is both a responsibility and opportunity (Fullan). High performance organizations establish mechanisms whereby they reward and value the receiving and giving of information. Knowledge sharing and activation is not mandatory or controlling. Rather, it is a process whereby the organizational members become more energetic and inspired to contribute to organizational performance.

Knowledge sharing must be named a core value. Clear procedures and opportunities should be established for knowledge to be shared. The role of leaders in the knowledge creation and sharing business is not only to create opportunities or activities, but also to establish acceptable norms for the discussing and personally leading the process. Inter-visitation, peer networks and instructional consulting services were some of the mechanisms implemented in educational reform efforts in New York City District 2 (mentioned previously) to create and share knowledge. It is important to point out that schools need to become knowledge creation and sharing cultures. Schools must start by naming knowledge creation and sharing as a core value and then by finding ways to

explicitly tackle the enormous cultural and structural barriers that handicap their capacity to share ideas and insights.

Sustainability[46]

> *Sustainability is the capacity of a system to engage in the complexities of continuous improvement consistent with deep values of human purpose.*[47]

Sustainability is not concerned with a particular educational initiative. Sustainability is concerned with the system, not system thinking. The challenge is how to develop and sustain a great number of system thinkers in action (Fullan, 2005). This is what is called the new theoretician. In an era of ever-increasing demands for performance and public accountability, it is understandable that institutions are expected to have improvements. However, whether those improvements are deep and lasting is the crux of the matter. What will it take for leaders and agencies to venture out into the unknown to discover and experiment with strategies that can take them beyond initial improvements? The main issue here is how to "pursue long-term sustainability without jeopardizing short-term results" (Fullan, p. x).

The remarkable success of the England NLNS large-scale reform is to be celebrated for the achievement of literacy and math targets. However, it is also

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[46]*see* Appendixes 4L & 7E.
[47]Fullan, M. (2005). *Leadership and sustainability: System thinkers in action*. Thousand Oaks, CA: Corwin, pp. ix.

worthy of critical attention due to the following reasons: only a minority of schools have been able to engage deeply in these strategies, a fact that raises the issue of moral purpose of closing the achievement gap; the results have remained stable or flat-lined; the results may not necessarily point out to sustainable reform and deep learning and the initiative looks too centrally driven.

To go beyond the initial plateau into sustainability, requires informed professional judgment but as a collective rather than as an isolated and individual exercise. It is also crucial to interact with the wider environment of knowledge, not just with the inner world of the school. The problem here is that the school does not have the required resources for investing in capacity for informed professional judgment and therefore may drift into uninformed judgment. This dilemma is what sustainability is supposed to address.

The temptation of large-scale reform is to choose the wrong strategy and adopt lessons from apparent success. The danger in large-scale reform is thinking or concluding that either top-down or bottom-up is the answer to the problem. Large-scale reform suffers from two problems. One is that tacit and contextual knowledge must be taken into account. The other is that there is tremendous difficulty in knowing whether the model can work on a large, sustainable scale. What instead is needed is to recognize that building capacity is the answer. No Child Left Behind, the U.S. reform act, and whole-school reform models are

examples of initiatives that signal incomplete scenarios for sustainable reform due to the absence of investment capacity building.

There are eight elements of sustainability (Fullan, 2005). These include: public service with a moral purpose, commitment to changing context at all levels; lateral capacity building through networks; intelligent accountability and vertical relationships (encompassing both capacity building and accountability); deep learning; dual commitment to short-term and long-term goals; cyclical energizing and the long lever of leadership. Moral purpose must convert itself from an individual entity into an organizational and systemic quality. Commitment to changing contexts at all levels is about employing strategies that will alter and/or change the contexts under which people work. Collaboration is crucial for lateral capacity building through networks. Self evaluation combined with a focused external inspection could be adopted as a strategy that can yield accountability and capacity results. Deep learning refers to the adaptive orientation and ability that organizations should have in order to deal with ever-increasing complex challenges and demands. For dual commitment to short and long-term results, a virtuous cycle should be created whereby public education delivers results and the public, after gaining confidence, is able to invest more resources. Cyclical energizing, by implication, says that implementation is not linear, but cyclical. Energy levels (under use and over use) should be monitored. In addition, sustainability is cyclical because after higher rates of achievement in

literacy and math, it has been found that there is a plateau. This is so because the strategies that brought initial results cannot now bring higher results. This is why cyclical energizing is valuable and crucial for sustainability.

Finally, sustainability requires leadership at all levels, albeit a different kind of leader, a leader that is able to think and act at the same time: systems thinkers in action or the new theoreticians (Fullan, 2005). This leadership needed for sustainability is not one based on charismatic authority. This leader's performance is not defined by the result of students' achievement, but by the numbers of leaders that he/she leaves behind that can continue and deepen the work. The discontinuity of direction and the shortage of principals who are prepared to take on the sustainability agenda and the leadership qualities of prospective principals represent huge challenges.

How do individual leaders keep it going without burning out? Leaders should revisit their moral purpose, be emotionally intelligent, mobilize positive sources of energy, avoid negative actions and stop acting as pacesetters (Fullan, 2005). The key here is to have a balanced view of energy. Energy is not to be over used or under used. Individual leaders need to be more energy creators rather than energy neutrals and consumers. Leaders also need energy recovery, whether in rituals or periods of solitude. The individual focus should be accompanied by an explicit focus on changing systems. The development of systems of thinkers is the

key. It is about developing people that will engage in strategies that will change people's system-related experiences.

Leaders in the sustainability business must be able to discriminate between technical and adaptive solutions and between progressive and regressive interactions when dealing with complex problems and exchanging ideas and knowledge. They also need to employ different languages if they expect transformation to take place. There is a strong need for leaders to both explain and act in ways that will lead to system transformation. Leaders do not only start it, but also keep it going. Leaders act locally and globally.

At the school level, leadership must tackle both technical and adaptive problems. Leaders are called to design educational atmospheres intentionally directed at engaging teachers in the discussion of student work (assessment for learning), changing the school cultures (through professional development capacity-building strategies) and engaging educators and communities in a genuine dialogue and action steps about what to do to improve the conditions of schools, students and parents.

At the district level, a set of preconditions must be present for sustainability. These include: "leading with a compelling, driving conceptualization; collective moral purpose; the right bus; capacity-building; lateral capacity-building; ongoing learning; productive conflict; a demanding culture; external partners and growing financial investments" (Fullan, 2005, pp.

66). At the system level, the leader should both be working toward coherence and horizontal and vertical interactions to promote system thinking. System leaders are urged to follow ten guidelines: "the reality test"—or putting into practice system thinking; "moral purpose"—which must be a made system quality; "get the basics right"—which is building deep learning in literacy and numeracy; "communicate the big picture"— opportunities for locals to influence the big picture; "intelligent accountability"—examining what is working best; "incentivize collaboration and capacity-building"—establishing clear expectations for intra-organizational professional interaction; "the long lever of leadership"— leaders whose legacy is leaving leaders behind them who can continue and deepen the work; and "design every policy, whatever the purpose, to build capacity and grow the financial investment in education"– sustainability needs and produces new resources (Fullan, 1995, pp. 84-98).

Developing and sustaining a great number of system thinkers in action is the key. Sustainability depends on leaders who are both thinkers and doers.[48] It relies and thrives on leaders who act locally and globally as well as on those who are concerned with the small and big pictures. Leadership that feeds sustainability is concerned with both short and long-term goals. One is not sacrificed at the expense of the others. The work of the new leader for sustainability is not only to have a balanced/combined approach or to reconcile these dilemmas, but to plan

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[48]*see* Appendix 4G.

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and prepare for succession, to know how to gain, release and recover energy and to engage in and deliberate strategies explicitly tailored to change schools, districts and systems.

Complexity / Chaos and Evolutionary Theories

> *You cannot get to new horizons without grasping the essence of complexity theory. The trick is to learn to become a tad more comfortable with the awful mystery of complex systems, to do fewer things to aggravate what is already a centrifugal problem, resist controlling the uncontrollable, and to learn to use the key complexity concepts to design and guide more powerful systems. You need to tweak and trust the process of change while knowing that it is unpredictable.*[49]

Chaos / complexity and evolutionary theory can help us unpack what it means to have productive educational change. First, chaos/complexity theory claims that the link between cause and effect is difficult to trace, that change (planned and otherwise) unfolds in nonlinear ways, that paradoxes and contradictions abound and that creative solutions arise out of the interaction under conditions of uncertainty, diversity and instability" (Fullan, 1999, p. 4). Chaos/complexity theory is about learning and adapting to changing and uncertain circumstances.

As a result, information that becomes knowledge is not an event and does not reside in a single entity. It is a process. It has a relational dimension. Thus,

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[49]Fullan, M. (2003a). *Change forces with a vengeance*. London: RoutledgeFalmer, pp. 21

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knowledge is found in communities of practice. These communities of practice (professional learning communities of teachers and principals acting together), do not only produce knowledge, but also actionable strategies for utilizing that knowledge. This knowledge is to be produced and shared. The power of chaos/complexity theory for organizational learning rests in the fact that there must be an ongoing interaction where people are producing and discovering knowledge while at the same time they are getting ownership and questioning each other (Fullan, 2003a).

Perhaps, the greatest challenge of chaos / complexity theory insights is how to expect true outcomes when the system is non-linear. The response to this incisive concern is that the strategies used in a school system should be looked upon not only as the engine behind meeting short-term results, but also as to whether it increases and decreases people's energy and motivation without which there cannot be long-term continuous improvement. Since chaos/complexity theories predict conflict amid interaction, it leads toward greater discipline compared to a hierarchical and mechanistic system which provides no space for the disagreement and discussion of new meanings and ideas.

Evolutionary theory "raises the questions of how humans evolve over time, especially in relation to interaction and cooperative behavior" (Fullan, 1999, p. 6) Mature humans are known for evolving from the self-centered to a more cooperative behavior. Thus, collaboration is the key. Interaction is a necessity

because teachers need each other's knowledge. Thus, evolutionary theory can serve higher moral purposes. Its underlying practical interaction component can produce social cohesion. Interaction can help us solve problems. Its diversity and resulting conflict can help us find solutions to problems for which no easy answers exist especially in this age of rapid change.

The basic message of chaos/complexity and evolutionary theories is that educators and leaders should learn to live with change.[50] There is a need for an understanding of balance. There should not be too much control because it undermines professional autonomy and discretion. However, there should not be too much freedom because it can lead to license and disorder. These theories also tells us that interactions are needed for knowledge creation, sharing and for the triggering of moral purpose and the self-organized filters that can produce and sustain a learning organization.

Systems[51]

> *Educational transformation will require changes (new capacities) within each of the three levels and across their relationships. The levels are: the school, the district and the state.[52]*

Educational transformation will not take place unless capacity-building results are attained at the three levels: the school, the district and the state (Fullan,

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[50]*see* Appendixes 3A, 3B, 3C & 3D.
[51]*see* Appendix 4K & 4N.
[52]Fullan, M. (2003a). *Change forces with a vengeance*. London: RoutledgeFalmer, p. 39.

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2003a). Significant interaction is required and expected across and within each of these levels if capacities are to be enhanced. The tri-level argument says that "each layer is helped or hindered by the layer above it (and each layer needs the commitment and energies of other layers in order to be successful). (Fullan, p. 52)

Recent successful educational reforms lack depth. They do not have the capacities to engage in powerful learning that is lasting, continuous and sustainable. Gaining people's commitments and increasing their capacities in large school systems is the central issue. The response is the tri-level capacity development of school, district and state.

At the school level, teachers and principals can start by working together inside their schools and by linking to external parties. Teachers and principals can start by building and nurturing professional communities. They can also start by involving parents and engaging with local and regional partnerships. It is a great mistake to treat schools as if they are islands. They are part of a larger picture which is the district. It is also a great mistake to confuse theories of education with theories of change. "A theory of education includes the substance of content and pedagogy" (Fullan, 2003a, p. 52). A theory of change or action "concerns what policies, strategies and mechanisms are going to be used, in effect, to implement the theory of education" (Fullan, p. 53). They represent the difference between deep and/or superficial change.

The role of the district level is to be wary of external models and pacesetter leaders. The role of the district includes: taking into account the energy and intrinsic motivation and commitment of teachers; adopting a balanced and combined approach of capacity-building and accountability strategies; ensuring that teachers internalize the core underlying conceptions that produce powerful and deep learning; providing greater coherence and alignment among policies and monitoring the improvement that results from strategies as they unfold. The point here is that if the reform cannot be sustained beyond initial results then it is not successful at all.

At the state level, Fullan (2003a, pp. 66-68) offers policy-makers and politicians eight lessons: "give up the idea that change will slow down; coherence-making is everyone's responsibility; changing in conditions is priority; respond to the public thirst for transparency; use large-scale reform strategies but beware of the trap of teacher dependency or alienation; convert teacher, principal and district skepticism into commitment and ownership and as you focus on leadership development as key, and don't take shortcuts".

In addition, the state should also align curriculum, assessment and teacher learning policies and tighten them to moral purpose and to the creation and sharing of knowledge (Fullan, 2003a). The efficacy of this model should be measured by the teacher passion, purpose and capacity that is created as well as by the student engagement and learning that is generated. This represents Fullan's

generic theory of educational change. This tri-level argument is a concern for system change. It is a humble proposition that one part cannot be (or stay) reformed without other parts. Hence, the basic message of the tri-level argument is that educational change is a multilevel (school, district and state) capacity-building process.

Paradoxes

> *Educational change is the constant search for understanding, knowing there is no ultimate answer.*[53]

The new language for educational change is paradoxical in nature. There are four major paradoxes in Fullan's educational change. There are also various lessons (mini paradoxes) that derive from these major paradoxes. Paradoxes explain best the new mindset, paradigm or worldview that governs our knowledge society. They demand a different kind of thinking. They turn traditional thinking about organizational development, learning and transformation on its head. They require us to revise and reverse our assumptions and adopt truths sensitive to the times that we live in.

Rather than focusing on the rational and the structural, the focus now is on reculturing and strategizing for a complex system. This in itself is contradictory or paradoxical because it is hard to understand how stability and coherence are to be

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[53]Fullan, M. (1993). *Change forces: Probing the depths of educational reform.* London: Falmer, pp. 20.

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gained in what is indefinitely an unstable and incoherent world with a relentless pace of change. First and foremost, this represents the center of Fullan's paradox: "Transformation would not be possible without accompanying messiness" (Fullan, 2001a, p. 31).

How learning and capacity-building (a slow process) take place in a time of rapid change represents the second major paradox. Rapid change demands "…slow learning in context over time" (Fullan, p. 121). How continuous change is to be provided alongside a continuously conservative system is the third major paradox (Fullan, 1993, p. 3). Finally, the fourth major paradox is, how do you bring about system transformation (obviously the result of a collective effort) in a system that is heavily individualistic?

Basically, the aim of educational change is to reconcile opposites. Fullan (1993) describes the eight lessons that result from the new paradigm of educational change. These include: (1) "you can't mandate what matters"; (2) "change is a journey not a blueprint"; (3) "problems are our friends"; (4) "vision and strategic planning come later"; (5) "individualism and collectivism must have equal power"; (6) "neither centralization nor decentralization works"; (7) "connection with the wider environment is critical for success"; and (8) "every person is a change agent" (Fullan, pp. 21-22). In addition, Fullan (1999) also describes eight newer lessons for complex change. These are: (1) "moral purpose is complex and problematic"; (2) "theories of change and theories of education

need each other"; (3) "conflict and diversity are our friends"; (4) "understand the meaning of operating on the edge of chaos"; (5) "emotional intelligence is anxiety provoking and anxiety containing"; (6) "collaborative cultures are anxiety provoking and anxiety containing"; (7) "attack incoherence: connections and knowledge creation are critical"; and (8) "there is no single solution: craft your own theories and actions by being a critical consumer" (Fullan, p. 18).

Educational change is full of paradoxes. It must be. The presence and challenge that face institutions that operate under modernistic assumptions in what it is without a doubt an increasingly postmodern society makes it inevitable and predictable.

Coherence

> *Coherence doesn't happen by accident, and doesn't happen by pursuing everything under the sun. Effective organizations are not ones that innovate the most; they are not ones that send personnel on the most number of staff developments conferences. No, they are organizations that selectively go about learning more. In all of their activities, even ones that foster diversity, they create mechanisms of integration. Moral purpose, communication, intense interaction, implementation plans, performance data all serve the purpose of coherence. In examining new policies or possibilities integrative organizations not only worry value of each opportunity, by they also ask how the idea 'connects' with what they are doing. Shared meaning and organizational connectedness are the long-term assets of high performing systems.*[54]

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[54]Fullan, M. (1999). *Change forces: The sequel.* Bristol, PA: Falmer, pp. 28.

We live in a chaotic society. This means that we live in a state of fragmentation and overload. This condition pushes us to seek new ideas and insights. These can be generated especially under chaotic conditions when the present status quo is disrupted. However, this can also result if anarchy is not looked at or treated properly. Coherence making is badly needed to make sense of and take advantage of this chaotic and complex state.

Schools face the problem of having too many uncoordinated and imposed policies that lead to innovations that are superficially implemented. School leaders need to act in ways that will produce results. There is a strong need for adaptive leadership (Fullan, 2001a, p. 110). Educational leaders need to adopt a process and ideas that can help them gain widespread support and internal commitment from those below in the hierarchy.

Two concepts of complexity science relate to coherence-making (Fullan, 2001a). One is self-organizing and the other is strange attractors. The first one refers to the new patterns and relationships that are formed when moral purpose and knowledge-sharing is used in combination with knowledge of the change process and relationships. The second refers to elements that help you gain the commitment and energy of those below in the hierarchy. An example of strange attractors is visions.

Leaders working on coherence-making establish clear expectations and/or goals and then design a process to pursue this goal. This process of pursuing goals creates great disturbance and conflict. However, at the end, this process not only ends up with self-organizing patterns, but also with strange attractors. Leaders must be able to work through the uncertainties of a culture shaped by complex problems.

One of the ideas used to build coherence is assessment literacy. This capacity-building practice is one in which the principal and the teachers, in order to reach certain specific outcomes, meet together to look at and disaggregate data; to develop further action plans and to talk about the public debate concerning the value and uses of data in an assessment driven-era.

Leaders are respectful and mindful of the messiness that accompanies chaotic and complex environments. Fullan (2001a) reminds us that coherence-making has three features: "lateral accountability", "the sorting process embedded in knowledge-creation and knowledge-sharing" and the shared commitments to selected ideas and paths of action (p. 118).

Theory of Action[55]

> *Give me a good theory over a strategic plan any day of the week. A plan is a tool–a piece of technology only as good as the mind-set using it. The mind-set is theory, flawed or otherwise. Theory is not*

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[55]*see* Appendix 4H & 4I.

abstract conjecture, and it is not about being cerebral ... Theories, in other words, make sense of the real world and are tested against it. The best theories are at their core solidly grounded in action. Theories that travel well are those that practically and insightfully guide the understanding of complex situations and point to actions likely to be effective under the circumstances. Good theories travel across sectors of public and private organizations, and they apply to geographically and culturally diverse situations.[56]

Due to the claim that the "world has become too complex for any theory to have certainty" (Fullan, 2008, p.5), traveling with good theory is recommended. Examples of good theory that travel are evolutionary theory (mentioned earlier) and former head of Tony Blair's Prime Minister Delivery Unit Michael Barber's (2007) theory of action which includes "ambitious goals, sharp focus, clarity and transparency of data and a relentless sense of urgency" (Fullan, p. 9). Bringing about deep and lasting change in organizations demands that leaders master Fullan's six secrets: love your employees; connect peers with purpose; capacity building prevails; learning is the work; transparency rules and systems rule. Five assumptions and criteria that underpin these secrets is that they are large-scale; understood to be synergistic; heavily nuanced; motivationally embedded and represent a tension or dilemma. Fullan calls all types of leaders to practice these secrets. Surviving and thriving in the twenty-first century entail following several guidelines in order to keep the secrets: "seize the energy, define your own traveling theory, share a secret, keep a secret; the world is the only oyster you

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[56]Fullan, M. (2008). *The six secrets of change: What the best leaders do to help their organizations survive and thrive*. San Francisco, CA: Jossey-Bass, pp. 1. *see* also Appendix N.

have, stay on the far side of complexity and happiness is not what some of us

think (Fullan, p. 123). According to Fullan, cultivating the six secrets will help

people find their purpose in life – the bottom line.

Summary

To recap, I have attempted to summarize Fullan's published works by

simply presenting its major concepts in themes. The purpose of this chapter is not

to be critical of this work, but merely to describe it. Fullan's works includes both

themes dealing with different actors in education as well as various concepts

describing theoretical data. His work is highly inclusive on both of these two

theme categories. No single stakeholder is excluded. Every one of these is

examined in relation to educational change. A closer and more detailed look at

these works reveals that Fullan prefers or seems to focus on adults rather than

students and on the system rather than a specific unit. Perhaps this is

understandable given his early background as a sociologist of change or

organizational theorist. At the same time, Fullan's works are full of terms that

convey theoretical ideas and concepts aimed at redefining and reframing

educational change and reform in terms of not only individual and structural

conditions, but also collective and cultural aspects of organizations - in this case

schools and district systems. Perhaps, this is a reminder of the academic

preparation of a scholar who studied sociology under heavy structural

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functionalist ideals but who were deeper into education for system theories in

sociology may lack the action side, which is essential in education. While the

inclusive approach is welcomed, valued and appreciated, the lack of depth

particularly on such stakeholders as students or the absence of an approach to deal

with power, politics and diversity may be a clarion call and motivation for many

to enter the field of educational change and build on the legacy of Fullan embark

on a research journey that allows for a more direct, substantial, and rich analysis

of such stakeholders and issues.

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CHAPTER FIVE: FULLAN'S THEORY OF EDUCATIONAL CHANGE:

DEVELOPMENT AND EVOLUTION

Overview

This chapter attempts to identify the main focus and ideas of Fullan'

scholarly thought within each decade starting with the 1960s until the present

2000s. Using time-lines[57] of all Fullan's writings (scholarly articles, newspaper

reports, technical reports, books etc), I will examine and explore the development

and evolution of Fullan's theory of educational change. The aim here is to provide

a map[58] as well as a narrative of how Fullan's scholarly work moves towards a

richer theory. Major issues will be raised throughout this narrative in order to

highlight the development and cogency of Fullan's ideas in the field of

educational change.

This chapter is divided into two major parts. Each part consists of five

sections. The first part deals with those influences that are found to be significant

in Fullan's scholarly work in the academic world of sociology and education. The

purpose of this first part is to draw some sort of apparent connections or parallels

between the fields of sociology, education, psychology, innovation as well as

Fullan's academic preparation and his first ideas on educational change. The

purpose is not to elevate Fullan to the intellectual stature or historical significance

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[57]*see* Appendix 1A.
[58]*see* Appendix 8B.

of key thinkers in sociology or any other field. Rather it is to enlighten and demonstrate certain common and contrasting intellectual orientations.

This first section is organized as follows: (1) capturing the intellectual underpinnings of Fullan' scholarly work through a brief examination of prior key thinkers in the discipline of sociology; (2) analyzing the contributions of mentors in order to highlight how they have helped shape Fullan's view of educational change; (4) describing various ways change is defined (models, strategies, types, stages, characteristics, scope, factors and forces) in order to represent the unique ways in which Fullan defines educational change; (5) and recounting Fullan's academic background and preparation in order to foreshadow his later transition from sociology into education. Each of these sections is followed by a short paragraph where I attempt to delineate the connections between and among thinkers, models, mentors, academic preparation and Fullan's ideas on educational change.

Key thinkers in sociology are briefly described and analyzed in order to highlight philosophical and intellectual underpinnings of Fullan as a scholar of educational change. Intense and varied readings of the educational change and school improvement literature reveals the principles of a set of scholars whose ideas have either influenced Fullan or are part of a greater network of scholars who seek to improve and change schools by examining and exploring different and often multiple concepts. This is why I profile several key thinkers on

educational change. Key mentors on educational change and reform are highlighted in an attempt to capture the key influential people that have shaped Fullan's thinking on educational change. Finally, I underscore various change process models, definitions and perspectives in order to highlight the uniqueness and impact of Fullan's change model.

The second part of the chapter deals with Fullan's scholarly work on educational change and reform. In order to give some sort of coherence, shape and form to the five sections of part two, I have intentionally grounded most of this narrative in Fullan's own biographical characterization of the three phases of the study of change.[59] This second part is structured as follows: (1) using Fullan's works of the 1970s, the claim that implementation was the missing ingredient is discussed as a way to demonstrate his scholarly contribution; (2) the works of the 1980s are described and analyzed as the starting point in Fullan's scholarly work, which highlights the meaning of educational change; (3) the decade of the 1990s is discussed in relation to his clarion call for building capacity; (4) the years 2000-2007 are highlighted as the leading-systems period in his thinking; and (5) the future years of the field of educational change (from 2008) are portrayed as a small picture of an apparent greater debate on the subject of post-standardization.

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[59]Fullan, M. (1998). The meaning of educational change: A quarter of a century of learning. In A. Hargreaves, A. Lieberman, M. Fullan, & D. Hopkins, *International handbook of educational change: Vol. 5*. (Part one, pp. 214-228). The Netherlands: Kluwer Academic Publishers.

A short and brief summary is offered as a way to bring together Fullan's core ideas and contributions over time as a scholar in the field of educational change.

Michael Fullan and Sociology[60]

The birth and development of Fullan's scholarly work on educational change can be traced back to the original work of key prior thinkers in the fields of sociology, education, and innovation. Roots are crucial in understanding any body of work. Although hidden at times, these roots should not be denied and should be rediscovered. The late social psychologist Miles eloquently argued:

> Roots are deep, hidden, and invisible. So people forget that roots exist. But from sturdy roots flow a here-and-now trunk, main branches, leaves, flowers and fruit ... effective school change efforts today need a conceptual base in work that's gone before. (Miles, 1998, p. 37)

In order to locate the foundational ideas that initially drove and ignited much of Fullan's thought and work as a scholar, I am drawn to revisit, re-examine and re-explore these roots. Founders, giants, parents, pioneers and masters of sociology, education, psychology and innovation provide the foundational tenets to what would later be the establishment of educational change as a field of study (Fullan, 1998; Lieberman, 1998; Miles, 1998). In his own brief but rich

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[60]*see* Appendix 8C.

professional autobiography, where he attempts to capture the evolution of the

study of change, Fullan stated:

> Most people know that most good ideas (and bad ideas for that matter) can be found somewhere in the past. I acknowledged at the outset that many of the ideas in the study of educational change can be found not only in the works of Dalin, Goodlad, Havelock, Miles, Rogers, Sarason, and others who pioneered the field in the 1950s and 1960s, but also in the work from change masters of the past from Dewey in education to the giants like Durkheim, Parsons, and Weber who analyzed societal development more generally. (Fullan, 1998, p. 214)

So who are these people? First, since Fullan studied sociology at the

University of Toronto a case can be made about the influence of sociology

particularly one such prominent figure as Emile Durkheim. Talcott Parsons,

heavily influenced by Durkheim's thought was the mentor of Fullan's doctoral

advisor at the University of Toronto – Jan Loubser. For now and to continue, a

brief biographical description of key contributions and ideas is presented next.

Emile Durkheim (1858-1917)

Durkheim was a French sociologist. He helped establish the field of

sociology within academia as an accepted social science. He is considered by

many to be one of the founding fathers of sociology. Durkheim also pioneered the

early use of statistical analysis in sociology. His legacy highlighted important

analyses of society's social structure, cohesion and religion. Key words related to

his work include: anomie, collective conscience, mechanical solidarity, social

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solidarity, social fact, society sui generis (meaning that society is its own reality, independent of the individuals who make it up), and organic solidarity. His lifelong academic pursuits exhibited an interest in exploring and examining how coherence could be upheld in a modern society that lacks its shared religious and ethnic character. One influential way Durkheim sought to reconcile this paradoxical observation was to argue that society is balanced because different parts of society that owes its existence and nature to a variety of functions. This is related to the theory of functionalism (*see* Talcott Parsons below for a more specific discussion). For Durkheim, society was more than the sum of its parts. In education, Durkheim's works were significant. Durkheim was professionally employed to train teachers. For Durkheim, the role of education was to provide French citizens a common, shared and secular background upon which anomie (a condition of a society that function without norms and laws and with widespread uncertainty, unhappiness and social disorder) could be prevented. So Durkheim argued that education creates and develop social solidarity, social roles, and thus the division of labour.

Connecting Key Thinker in Sociology to Michael Fullan

Fullan's scholarship on educational change (1969-2008) reveals particular connections and interruptions between his ideas on change and the key works of sociology fathers /founders. To be exact, Durkheim's thought played an

influential and dominant role.   Durkheim's intellectual thoughts on social solidarity, social roles, collective bonds and cohesion significantly contributed to and continue to shape Fullan's scholarship on educational change. Fullan's advocacy for whole systems, links, relationships and meaning suggests the ongoing presence of Durkheim's ideas.[61] His work seems to be preoccupied with the roles and relationships of organizations and individuals play in a given institution (educational systems in this case).

Michael Fullan and Mentors on Education Change and Reform[62]

Building on the beginnings laid down by thinkers on education and innovation, I found that various people served as mentors to Fullan, among them prominent figures such as, Sarason, Miles, Goodlad and Dalin. Sarason continues to push Fullan in his thinking about the critical role of culture in system transformation (Sarason, 1971, 1996; Fullan, 1982c, 1986a, 1996c, 1997h, 1998g, 2001h). Miles has written with Fullan and is a key influence in Fullan's rethinking of the illusion of linear and rational management of change in organizations. Goodlad is persistently cited as a illuminating body of documented data that explains why teaching often does not change or what regularities and continuities characterized the delivery of teaching and learning in classrooms across school districts and systems. Finally, Dalin is acknowledged by Fullan for

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[61] s*ee* his dissertation and initial writings (Fullan, 1969; 1970; 1972).
[62]*see* Appendix 8C.

introducing him to the international scene of action in educational change and to the first lab experiments and case studies of evidence or absence of change in education policy in various countries around the world. A short description of their roles, contributions and key ideas is presented next.

Seymour Sarason

A graduate of Cark University Ph.D. psychology program, Sarason was born into a working class Jewish family (Palmer, 2001; Friedman, 2003). Currently, Sarason is an Emeritus Professor of Psychology at Yale University. His classic *The Culture of the School and the Problem of Change* (1971) made a unique and major contribution to the educational change field. Sarason (1971) proposes that changing schools is inherently difficult because of three reasons: culture, relationships and power. Educational change is complex because changing the culture of the school through the introduction of an initiative "involves some existing regularity, behavioral or programmatic" (p. 4). There is a strong need for an ecological approach to educational change, Sarason argued. Teachers and principals have conflicting roles and dilemmas that can lead them to adopt ways of preserving and nurturing the norms and attitudes intended to be changed by educational initiatives in the first place. They work in isolated contexts and have been educated in universities that have not prepared them for the realities of their workplaces. Finally, the issue of power attends to the

'unconstitutional' [undemocratic] nature of the relationship between the teacher

and the student. Sarason (1971) clearly delineates the assumptions that govern this

process:

1. Teacher knows best;
2. Children cannot participate constructively in the development of a classroom constitution;
3. Children want and expect the teacher to determine the rules of the game;
4. Children are not interested in constitutional issues;
5. Children should be governed by what a teacher thinks is right or wrong, but a teacher should not be governed by what children think is right or wrong;
6. The ethics of adults are obviously different from and superior to the ethics of the children;
7. Children should not be given responsibility for something they cannot handle or for which they are not accountable;
8. If constitutional issues were handled differently, chaos might result. (Sarason, p. 217)

In a revised edition of this first book entitled *Revisiting the culture of the*

school and the problem of change (1996), Sarason claimed that the problem of

educational change is one of power relationships and interconnections.

> The problem of change is the problem of power, and the problem of power is how to wield it in ways that allow others to identify with, to gain a sense of ownership of, the process and goals of change. That is no easy task; it is a frustrating, patience-demanding, time-consuming process. Change cannot be carried out by the calendar, a brute fact that those with power often cannot confront. The change process is not an engineering one. (p. 335)

> No complicated, traditional social institution can be changed only from within. There has to be some support for change from within, but there also has to be strong external, powerful pressures for change, powerful in terms of numbers, influence, and legislative

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legal policymaking responsibilities. Absent those external pressures, the institution will continue the adage I stated repetitively in the book: the more things change, the more they remain the same. (p. 338)

In addition, Sarason states two criteria for school change. The first is "question asking in the classroom" (p. 361). This refers to:

> … a relationship between the two that sustains a process of willing inquiry because it is literally mind expanding at the same time that it sets the stage for new challenges. For the question asker it is a process combining feeling and intellect, distinguishing between facts and truths, and it has the motivational quality of 'pulling' one forward to new questions about unknowns. It is a process that does not absolve the asker of responsibility for seeking an answer; it is not a process in which the answerer provides ready answers, short circuiting further inquiry by the asker. The answerer is a supportive coach who has the admittedly difficult task of deciding when and how to be supportive, to be a suggester, to be a partner in the quest. (pp. 366-367)

Sarason (1996) clarifies his first criteria for school change and affirms the need for it by adding:

> What I am saying here I said in the book but, I have since concluded, I did not sufficiently emphasize how bedrock the asker-answerer relationship is for school change. Any effort at systemic reform that does not give top priority to altering that relationship will not improve educational outcomes. Since I wrote the book [1971] I know of no evidence disconfirming that assertion. You can seek to change this or that aspect of the existing system, but unless those changes directly or indirectly change the student-teacher relationship, classroom learning will be unproductive, i.e., children will "learn" but it will not be learning that has personal and motivational significances for the learner. There is a world of

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difference between *wanting* to learn and *having* to learn. The enemy of productive learning is disinterest, boredom, and the feeling that what you think and feel is seen as irrelevant by others; learning is a chore, a chore of routines developed by adults who see the learner as an empty vessel to be filled for reasons the learner neither comprehends nor accepts. The difference between productive and unproductive learning is the difference between teaching children and teaching subject matter—differences John Dewey pointed out a century ago. (p. 367)

This criterion "emphasized the responsibility students should be helped to accept in furtherance of their learning" (p. 369). The second criterion for school change is his assertion that "teachers cannot create and sustain contexts for productive learning unless those conditions exist for them" (Sarason, 1996, p. 367). It is recognized that teachers need to come together to explore and discuss issues pertaining to their work with children. He claims that there are

> … no traditions that brought teachers together on a scheduled basis seriously (a) to discuss and evaluate articles and books bearing on those issues and problems, i.e. publications about which any educator who purports to be a professional should be knowledgeable. What I found was a culture of individuals, not a group concerned with pedagogical theory, research, and practice. Each was concerned with himself or herself, not with the profession's status, controversies, or pressures for change. (p. 367)

This criterion emphasizes the "responsibility of teachers for their learning over the lifetime" (p. 369). His legacy is one of a person who:

> …has worked to bring together disciplines, often segregated within academic circles, that he believed deeply influenced one another ... he has relentlessly challenged our conventional thinking about how systems evolve, why much-desired and often well-funded changes fail to bear fruit, and why our schools seem so resistant to adopting

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even those reforms whose validity has long been proven. (Fried, 2003, p. 2)

Matthew B. Miles

One of the most influential figures, colleague and mentor to Michael Fullan was the work of Matthew B. Miles (Miles, 1993; Fullan, 1998). In his brief, but penetrating analysis and reflective article entitled *Finding Keys to School Change: A 40-Year Odyssey* (1998), late and former college professor, consultant and associate at the New York Center for Policy Research, Miles presents himself indisputably as one of the key figures in the emergence of the educational change field. Miles lists (see chart below – A School Change Odyssey) in chronological fashion and discusses these ten major school change strategies in which he was involved throughout his professional/academic distinguished career. These strategies serve as a reminder of the major paradigm shift that educational change has undergone over the years.

A School Change Odyssey

Strategy and Targets	Illustrative Projects	Key Variables
Train individuals (principals and teachers) in group skills.	Leadership Training Project 1953-1958 NTL Laboratories, 1954-1973 Encounter Group Study, 1968-1972	Process Analysis
Clarify Concepts of innovation diffusion and adoption	Innovation in Education, 1961-1964	Technical Rationality Choice System
Engage schools as	Organizational	Organizational Health (as

organizations in self-renewing activities	Development (OD) in Schools, 1962-1966 Cooperative Project in Educational Development, 1964-1967 OD State of the Art Study, 1978 Effective Schools Adoption Study, 1983	vision) Data Feedback Normative Change
Transfer knowledge of effective practice to users	AERA Research Utilization Committee, 1967 Experience-Based Career Education, 1973-1975 Documentation and Technical Assistance Project, 1976-1979	Knowledge Utilization Networking Capacity-Building
Create new schools	Project on Social Architecture Education, 1974-1978	Legitimacy for planning and design Social/educational design
Support implementation	R & D Utilization Project, 1976-1979 Study of Dissemination Efforts Supporting School Improvement, 1979-1982	Casually configured sequences: assistance, mastery, commitment. Stabilization
Lead and manage local reform	Project on Improving the Urban High School, 1984-1989	Empowerment Evolutionary planning Resourcing Problem-coping
Train change agents	Educational Consulting Skills Training, 1974-1982 Patterns of Successful Assistance Study, 1983-1986	Trust and rapport-building Organizational diagnosis
Manage large-scale reform	International School Improvement Project, 1982-1986 How Schools Improve Study, 1988-1992 NET Study (Ontario),	Local strategic grounding Institutionalization

	1988	
Restructure schools	Mapping Restructuring Study, 1991-1993	Shared cognitive maps of content & process

When each of these major events is closely examined, the most important lesson that can be derived from them is the underlying two themes that run throughout this odyssey. First, the reigning paradigm of school change has been questioned and re-defined. "Simplistic ideas of self-implementing, 'teacher-proof' innovations have given way to more-complex – but coherent – images of how new pedagogical practice is mastered in high-capacity school organizational settings" (p. 62). Second, although the study and application of ideas has shifted from the individual to the collective and to an event larger (contextual focus), the need for "the earlier variables [rational choice, process analysis, local organizational capacity] remain relevant" (Miles, 1998, p. 62).

John Goodlad

Another scholar that has influenced Michael Fullan's thought in educational change has been John Goodlad (Fullan, 1998). Goodlad is a professor, researcher and theorist in education. Goodlad has been professor at various universities including: UCLA, University of Chicago, Emory University and currently at the University of Washington where is president of the Institute for Educational Inquiry and co-founder and director of its Center for Educational Renewal. Some of his well-known books in the field of education include: Facing

the Future: Issues in Education and Schooling (1976), *Teachers for Our Nation's Schools* (1990), *In Praise of Education* (1997), *A Place Called School: Prospects for the Future* (1984, 2004), *Romances with Schools* (2004).

Closely aligned to Dewey's thoughts, Goodlad is also an advocate of progressive education (Goodlad, 1979). Early on in his work Goodlad suggests:

> Education is a never-ending process of developing characteristic ways of thinking and behaving on the part of individuals, nations, and in fact, mankind. Each generation has access to a long heritage from which to derive perspective. Its thinking is shaped by current books, magazines, and newspapers: by movies and television; and by a kaleidoscopic array of events and stimuli which are part of everyday life. Schooling—elementary, secondary, and higher—constitutes the most planned and ordered but not necessarily the most influential part of the process. (Goodlad, 1976 p. 6)

His most renowned work in education may be *A Place Called School: Prospects for the Future* (2004), a landmark study of data gathered from a national sample of 38 schools and 1,350 teachers and their students in the United States. The most significant and influential research finding of this study is the appearance of basic patterns in classroom culture:

The classroom is generally organized as a group that the teacher treats as a whole ... each student essentially works and achieves alone within a group setting. The teacher is virtually autonomous with respect to classroom decisions. Most of the time the teacher is engaged in either frontal teaching and monitoring students' seatwork, or conducting quizzes. There is a paucity of praise and correction of students' performance as well as of teacher guidance in how to do better next

time. Students generally engage in a rather narrow range of classroom activities. Large percentages of the students surveyed appeared to be passively content with classroom life. Even in the early elementary years there was strong evidence of students not having time to finish their lessons or not understanding what the teacher wanted them to do; and the teacher has little influence or involvement in school wide and other extra-classroom matters (Goodlad, 2004, pp. 123-124, p. 186). Goodlad's legacy can be described as that of a relentless educator in favor of renewal (Golderg, 1995; Goodlad, 1999; Palmer, 2001; Sirotnik & Soder, 1999).

Per Dalin

Norwegian scholar Per Dalin is best known for his early work on educational change at the International Movement Towards for Educational Change (IMTEC) in Oslo, Norway. Dalin's (1978) *The Limits of Educational Change* attempts to explain the nature and problems of educational change. On one hand, the problems in educational change emerge due to: unfulfilled promises to the public after World War II; the changing environment; a new world picture; emancipation of youth; Western societies' transition from growth to no growth; changes in the world of work; the search for a new meaning of institutions and the knowledge base (Dalin, p. 2-7). On the other hand, understanding the nature of educational change demands examination of the innovations' intended as well as

the unintended effects. This examination helps researchers understand the roles of different individuals and groups, characteristics (technological, behavioral, organizational and social) and value, power, practice-based and psychological barriers (Dalin, pp. 12-36).

In a later international seminar (IMTEC) entitled Improving the Quality of Teaching in the Developing World: Alternative Models, Dalin (1990) claims that educational renewal and staff development are extremely difficult, complex and problematic. This is due to the linear model upon which most of the change process literature is based. This Planning-Development-Implementation-Institutionalization-Dissemination process is one that fits well with the image of the teacher as the "target of change" (Dalin, 1978, p. 236). This model fits well with the following assumptions: "The idea of someone planning, someone developing, someone else implementing ...Organizations are goal-seeking, and therefore, the renewal effort is something of value to schools. The picture of the teacher as the consumer ... [and] the concern of researchers who typically focus on the fit between traditional and new practice ..." (Dalin, 1990, pp. 236-238).

In his review of decades of research on education, Dalin (1998) expresses how he became convinced of the need to understand the processes behind educational innovations:

> My first study of educational innovations in Norway in 1967 convinced me that knowledge about the process of innovation is central to our ability to improve the learning conditions of

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students. I studied a very successful interdisciplinary course in primary schools and found that after five years of successful pilot experiences, no other school in the local community had adapted the approach. The early adapters were schools many hundreds miles away! We formulated the slogan: Innovators have everything to gain and nothing to lose, while the followers have everything to lose and nothing to gain. (Dalin, p. 1059)

In addition to criticizing the linear model of the change process, perhaps his most significant contribution is his concern with changing the culture of the school and developing the twenty-first century school (Dalin, 1993, 1998). "What we are concerned about is how schools can master a reform process that deals with the unique mission of schools in our societies, namely to prepare students for an uncertain and challenging future" (Dalin, 1998, p. 1061). Dalin outlines what he views as a profound paradigm shift in society which presents enormous challenges for the lives of students. Dalin argued that are ten revolutions in the following areas: knowledge and information, population, globalizing and localizing, social relationships, economics, technology, ecology, aesthetics, politics and values (pp. 1062-1063). Dalin reminds us that in addition to this societal paradigm shift, school improvement research could be valuable toward the development and building of the twenty-first school if it attends changing local contexts and the expansion of children's needs.

Connecting Key Mentors in Educational Change and Reform to Michael Fullan

Intense and complete readings of Fullan's scholarship on educational change (1969-2008) demonstrate the role of mentors at different stages. Jewish-American scholar Sarason is credited with introducing Fullan to the dynamics of school culture as they relate to the educational change process. Specifically, Sarason was instrumental because he is known for advocating the social and community context of psychology and decrying his individualist and western orientation. This is quite relevant and meaningful here since this dissertation documents Fullan's transition from sociology into education. American sociologist Miles is credited with providing Fullan with some of the most enduring and foundational ideas and strategies behind the change process in schools. Miles's contribution as co-author is crucial for understanding Fullan's assertions regarding paradigms of school change and the key variables for understanding. Norwegian Dalin is credited with being one of the first scholars to introduce Fullan to the international scene. Dalin's studies of innovation and change processes in different OECD countries research projects prompted Fullan to examine closely the critical concepts in the process of change. Dalin's experiences represent the background under which Fullan started his own intellectual and practical journey into the study of change. Finally, Goodlad is credited with introducing Fullan to several classroom as well as school-based

studies and reports that highlighted the absence of change. Goodlad was a distinctive mentor in the sense that his works highlight the continuity of classroom teaching and learning patterns despite years of multiple and often colliding educational innovations and reform attempts. Sarason, Miles, Dalin and Goodlad have provided much of the groundwork upon which Fullan's scholarship on educational change rests.

Michael Fullan and Various Change Process Models[63]

Another way to represent the unique ways in which Fullan defines educational change is to describe and analyze other scholars' change models. Such works on innovation, diffusion and educational change provide a landscape, a kind of large background of writing and research against which the scholarly work of Fullan shows its originality and uniqueness. Prominent researchers in education have proposed several change process models (Ellsworth, 2000). Beginning with Rogers's (1983) classical theory of innovation, others have proposed various change models: Ely (1990) conditions of change, Havelock and Zlotolow (1995) change process, Hall and Hord (1987) Concerns-Based Adoption Model, (intended adopter/user) Zaltman and Duncan (1977) resistance to change and Reigeluth and Garfinkle (1994) systemic change.

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[63]*see* Appendix 8A.

Roger's (1983) Classical Theory of Innovation

The classic text on innovation theory is Rogers' study *Diffusion of Innovations* (1983). According to Rogers (1983), the roots of diffusion of innovation research date back to the European beginnings of social science. After looking at many legal cases, Tarde, one of the forefathers of sociology and social psychology and a French judge, came out with the idea of the 'laws of imitation' to make sense of his observation that the immense majority (about 90%) of innovations will be incorporated into modern thought. He theorized that the adoption or rejection of innovations followed an S-shaped curved. That is, the innovation was adopted by a few individuals that were the closest to the sources of this innovation. Then, the innovation will spread to much more adopters than the initial number. Finally, the innovation will slow down.

Rogers (1983) reports that another historical root of diffusion of innovation research could be found among anthropologists from both England and Germany-Austria. This group was known as the diffusionists. They believed and claimed that diffusion, the starting point of change in societies in the anthropological tradition at the time, was "the result of the introduction of innovation from another society" and that consequently "all innovations spread from one original source" (p. 42). Today, this represents a narrow view. Rogers explains that "the dominant viewpoint now is that social change is caused by both invention (the process by which a new idea is discovered or created) and

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diffusion, which usually occurs sequentially. He noted that there are nine major

diffusion research traditions: anthropology (the oldest), early sociology, rural

sociology, education, public health and medical sociology, communication,

marketing, geography and general sociology.

Diffusion is defined as "the process by which an innovation is

communicated through certain channels over time among the members of a social

system" (p. 5). There are four elements in the diffusion of innovations. These are

the innovation, communications channels, time and the social system.

Innovation is defined as "an idea, practice, or object that is perceived as

new by an individual or other unit of adoption" (p. 11). Two important

dimensions of the innovation are uncertainty and information. Uncertainty "is the

degree to which a number of alternatives are perceived with respect to the

occurrence of an event and the relative probability of these alternatives" (p. 6).

Information refers to the "difference in matter-energy that affects uncertainty in a

situation where a choice exists among a set of alternatives" (p. 6). Innovations

have five characteristics. The first one is relative advantage defined as the "degree

to which an innovation is perceived as better than the idea it supersedes" (p. 15).

The second one is compatibility, which indicates the "degree to which an

innovation is perceived as being consistent with the existing value, past

experiences, and needs of potential adopters" (p. 15). The third one is complexity

which refers to the "degree to which an innovation is perceived as difficult to

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understand and use" (p. 15). The fourth one is trialability which is the "degree to which an innovation may be experimented with on a limited basis" (p. 15). The fifth and last characteristic is observability which is the "degree to which the results of an innovation are visible to others" (p. 16). Along with these characteristics, is the concept of re-invention or the "degree to which an innovation is changed or modified by a user in the process of its adoption and implementation" (p. 17). The point here is that innovations are not invariant. As Rogers (1983) succinctly states: "… adopting an innovation is not necessarily a passive role of just implementing a standard template of the new idea" (p. 17).

Communication channels, the second element of diffusion, refer to those "means by which messages get from one individual to another" (p. 17). Important principles related to communication channels are homophily and heterophily. Homophily refers to the "degree to which pairs of individuals who interact are similar in certain attributes, such as beliefs, education, social status and the like" (p. 18) while heterophily refers to the degree to which these are attributes are different. While "more effective communication occurs when two individuals are homophilus" (p. 19); the problem is that "in the communication of innovations the participants are usually quite heterophilous" (p. 19). "A change agent, for instance, is more technically competent than his clients" (p. 19). This difference can lead to a breakdown in communication. However, the nature of diffusion is

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such that it implies the necessity of communication and hence at least some degree of heterophily.

Time, the third element of diffusion, involves three aspects. These are "(1) the innovative-decision process by which an individual passes from first knowledge of an innovation through its adoption or rejection, (2) in the innovativeness of an individual or other unit of adoption and (3) in an innovation's rate of adoption in a system …" (p. 20). The innovative-decision process consists of five phases. First, knowledge is defined as what "occurs when an individual is exposed to the innovation's existence and gains some understanding of how it functions" (p. 20). Second, persuasion is defined as what "occurs when an individual forms a favorable or unfavorable attitude toward the innovation" (p. 20). Third, decision is defined as what "occurs when an individual engages in activities that lead to a choice to adopt or reject the innovation" (p. 20). Fourth, implementation is defined as what "occurs when an individual puts an innovation into use" (p. 20). Fifth and last, confirmation, is defined as what "occurs when an individual seeks reinforcement of an innovation decision that has already been made, but he or she may reverse this previous decision if exposed to conflicting messages about the innovation" (pp. 20-21). Innovativeness classifies adopters in five categories: innovators (venturesome), early adopters (respectable), early majority (deliberate), late majority (skeptical) and laggards (traditional). A third and final way in which time affects the diffusion process is

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the rate of adoption. This is defined as "the relative speed with which an innovation is adopted by members of a social system" (p. 23).

The fourth and final element of diffusion is the social system. This is a "set of interrelated units that are engaged in joint problem solving to accomplish a common goal" (p. 24). Important elements of the social system are the impact of the social structure, the role of norms and emergence of opinion leaders and change agents. Opinion leadership refers to the "degree to which an individual is able to influence other individuals' attitudes or overt behavior informally in a desired way with relative frequency" (p. 27). On the other hand, a change agent "is an individual who influences clients' innovation decisions in a direction deemed desirable by a change agency" (p. 28).

Rogers (1983) mentions three types of innovation decisions. They include optional innovation decisions defined as "choices to adopt or reject an innovation that are made by an individual independent of the decisions of other members of the system" (p. 29); collective innovation decisions defined as "choices to adopt or reject an innovation that are made by consensus among the members of a system" (p. 29); and authority innovation decisions defined as "choices to adopt or reject an innovation that are made by a relatively few individuals in a system who possess power, status, or technical expertise" (p. 30).

Innovations have consequences. Rogers (1983) defined these as "the changes that occur to an individual or to a social system as a result of the adoption

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or rejection of an innovation" (p. 31). Consequences can be classified as "desirable versus undesirable; direct versus indirect; and anticipated versus unanticipated" (pp. 31-32).

Rogers (1983) discusses the four major criticisms of diffusion research. These include the pro-innovation bias – the claim that an "innovation should be diffused more rapidly and adopted by all members of the social system and that the innovation should be neither re-invented nor rejected" (p. 92); the individual-blame bias – the tendency in innovation "to hold an individual responsible for his or her problems, rather than the system of which the individual is a part" (p. 103); the recall problem – the dependence of diffusion research to "recall data from respondents as to their date of adoption of a new idea" (p. 113); and the issue of equality – the tendency for diffusion of innovations to "widen the socioeconomic gap between the higher and lower status segments of a system" (p. 118).

Rogers (1983) continues by explaining how innovations are developed. Figure 1.1 on page 8 is Rogers Figure 4-1 *Six Main Phases in the Innovation Development Process* (p. 136). As the figure illustrates, innovations are developed first by the recognition of a problem or need which stimulates research (basic or applied; which then in turn leads to development of the innovation or "the process of putting a new idea in a form that is expected to meet the needs of an audience of potential adopters" (pp. 139-140); followed by commercialization which is defined as "the production, manufacturing, packaging, marketing, and distribution

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of a product that embodies an innovation" (p. 143) and finally there are consequences.

Rogers (1983) also presents how decisions concerning innovations are made. Figure 1.2 on page 9 is Rogers Figure 5-1 *A Model of Stages in the Innovation-Decision Process* (p. 165). In this model of the innovation-decision process, it is implied that previous to the exposure of an innovation's existence, there are a number of prior conditions that are internal, external and structural/systemic. As a result of these set of conditions, the decision making unit (with a specific set of characteristics) moves through the stages of knowledge, persuasion (which is influenced by the perceived characteristics of the innovation earlier mentioned), decision (which can lead to either adoption or rejection in which continued adoption or discontinuance and later adoption and/or continued rejection respectively) which is followed by implementation and finally by confirmation. One more figure that helps explain Rogers's theory on diffusion of innovations is Table 1.3. This is Rogers' Table 10-1 *Stages in the Innovation Process in Organizations*.

In this table, Rogers (1983) singles out the five stages by which an innovation is initiated and implemented in organizations. Initiation and implementation are described as processes. Initiation consists of agenda-setting and matching. Implementation consists of redefining or restructuring, clarifying and routinizing.

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Finally, an extremely important concept in Rogers's (1983) theory of diffusion of innovations is the change agent. Rogers defines the change agent as "an individual who influences clients' innovation decisions in a direction deemed desirable by a change agency" (p. 312). Rogers added that in most situations "a change agent seeks to secure the adoption of new ideas, but he or she may also attempt to slow the diffusion process and prevent the adoption of certain innovations" (p. 312). Figure 1.4 on page 11 is Rogers Figure 9-1 Change agents provide linkage between a change agency and client system (p. 314). This diagram briefly explains the main role of the change agent. The change agent is called to "facilitate the flow of innovations from a change agency to an audience of clients" (p. 313). In order for the communication and the linkage to be effective, the innovation must be selected on the basis that it fits the needs or solves the problems of the client and it must have a mechanism to allow the client to send feedback about the functioning of the innovation so that the necessary adjustments can be made.

When introducing a single innovation, a change agent should fulfill the following evolving roles: "develop need for change, establish an information-exchange relationship; diagnose their [clients'] problems; create intent to change in the client; translate intent into action; stabilize adoption and prevent discontinuances and achieve a terminal relationship" (pp. 315-316). In order to be successful, change agents must attend to the following factors: making a true

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effort to communicate, acquiring a client orientation while representing the change agency; acting with a client-needs mindset and focus and having empathy for the clients. In addition, Rogers (1983) states that the change agent contact is positively related to: "higher social status among clients; greater social participation among clients; higher education among clients and cosmopoliteness among clients" (p. 322). Finally, the role of the change agent in ensuring that innovations are successfully implemented is positively related to "credibility in the clients' eyes" (p. 329); "homophily with clients" (p. 324); "the extent that he or she works through opinion leaders" (p. 331); and to the "increasing clients' ability to evaluate innovations" (pp. 332-333).

Figure 1.1 Six main phases in innovation development process, showing the limited scope of past tracer studies and of past diffusion studies.
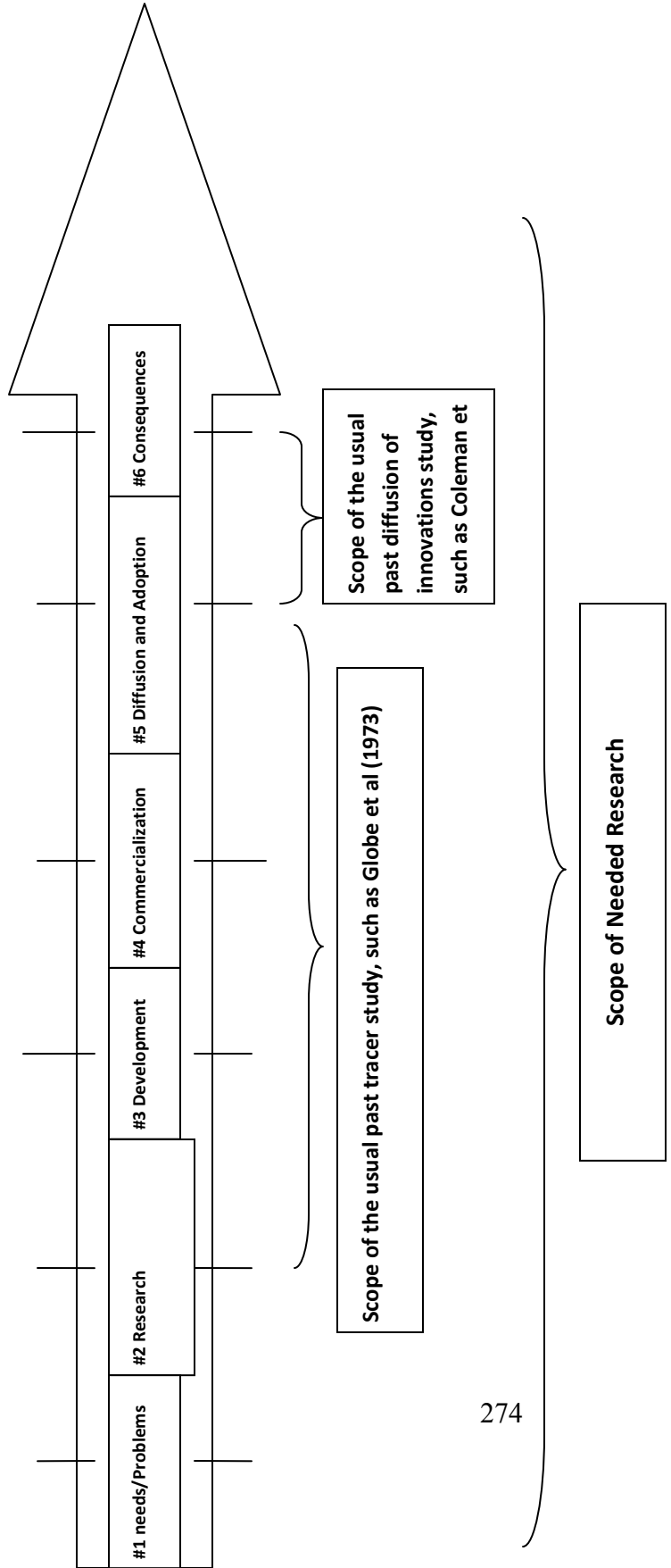

#1 needs/Problems

#2 Research

#3 Development

#4 Commercialization

#5 Diffusion and Adoption

#6 Consequences

Scope of the usual past tracer study, such as Globe et al (1973)

Scope of the usual past diffusion of innovations study, such as Coleman et

Scope of Needed Research

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Figure 1.2 A model of stages in the innovation-decision process

Prior Conditions

1. Previous practice
2. Felt needs/problems
3. Innovativeness
4. Norms of the social systems

I. Knowledge → II. Persuasion → III. Decision → IV. Implementation → IV. Confirmation

Characteristics of the Decision-Making Unit

1. Socio-economic characteristics
2. Personality variables
3. Communication behavior

Perceived Characteristics of the Innovation

1. Relative advantage
2. Compatibility
3. Complexity
4. Trialability
5. Observability

1. Adoption → Continued Adoption

2. Rejection → Discontinuance

Figure 1.3 Stages in the Innovation Process in Organizations

Stage in the Innovation Process	Major Activities at Each Stage in the Innovation Process
I. *Initiation:*	All of the information-gathering, conceptualizing, and planning for the adoption of an innovation, leading up to the decision to adopt.
1. AGENDA-SETTING	General organizational problems, which may create a perceived need for an innovation, are defined; the environment is searched for innovations of potential value to the organization.
2. MATCHING	A problem from the organization's agenda is considered together with an innovation, and the fit between them is planned and designed.
--The Decision to Adopt ---	
II. *Implementation:*	All of the events, actions, and decisions involved in putting an innovation into use.
3. REDEFINING / RESTRUCTURING	(1) The innovation is modified and re-invented to fit the situation of the particular organization and its perceived problem, and (2) organizational structures directly relevant to the innovation are altered to accommodate the innovation.
4. CLARIFYING	The relationship between the innovation and the organization is defined more clearly as the innovation is put into full and regular use.
5. ROUTINIZING	The innovation eventually loses its separate identity and becomes an element in the organization's ongoing activities.

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Change

Agency

Client's needs and feedback about change programs flow to change agency

Innovations flow to clients

Change Agent

Client

System

Figure 1.4 Change agents provide linkage between a change agency and a client system.
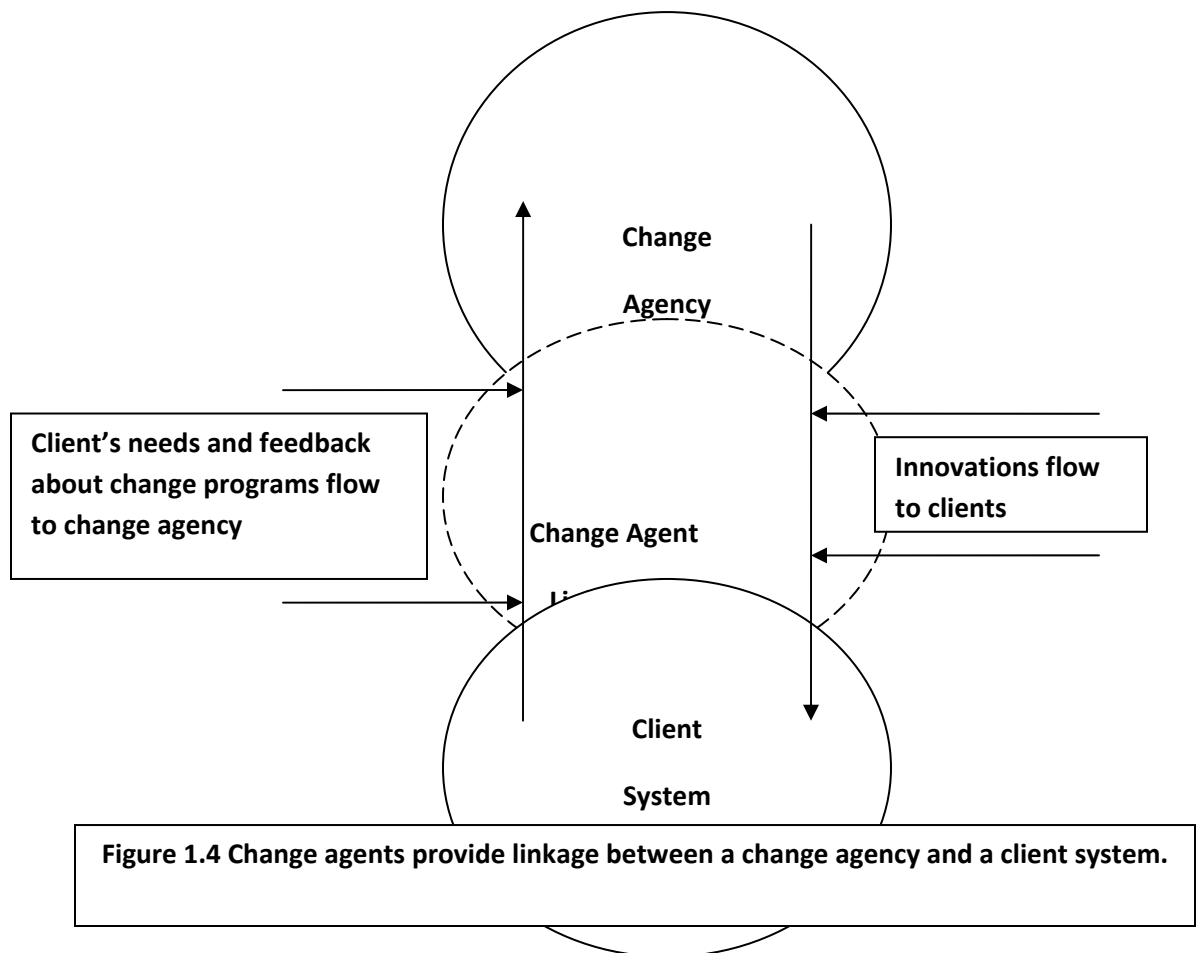
Gross, Giacquinta and Bernstein (1971) affirm that Rogers (1983) model

for the diffusion of innovation is limited in explaining the success or failure of

innovations in schools or similar organizations. Gross, Giacquinta and Bernstein

(1971) made their case by stating the underlying assumptions of the Rogers'

(1983) model. These basic assumptions are that:

      (1) … during any of the intermediate stages between awareness

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and use, the individual is free to decide himself whether the innovation shall be tried, and if tried, whether it should be continued (p. 21). The problem here is that in most schools administrators and teachers have no choice but to implement what is mandated;

(2) … the adoption of a particular program by administrators does not necessarily mean that it will be instituted or implemented at the school level (p. 21). Adoption is not tantamount to implementation;

(3) … assume that they [individuals] can try out innovations on a small scale without the help or support of other persons; (p. 22)

(4) … persons can undertake trials in either/or fashion and that short trials are sufficient to render an effective evaluation. (p. 22)

These basic assumptions do not apply to those who work in public schools because administrators and teachers do not have a choice when told to implement certain programs. It is a political and educational mandate. The nature of education is so contested and volatile that teachers and administrators cannot simply adopt innovations assuming that these will be implemented. They cannot do it by themselves let alone try educational innovations on a small scale to see if they work when some of them may take years of implementation to then measure its outcomes/effects.

Ely (1990) Conditions of Change

The focus of Ely's (1990) educational change model, *Conditions for Change*, is on the environmental conditions that promote and/or inhibit change. Ely's educational change model consists of eight conditions that help the adoption, implementation and institutionalizations of educational technology innovations. These include: "dissatisfaction with the status quo; knowledge and skills exist; resources are available; time is available, rewards or incentives exist for participants, participations is expected and encouraged; commitment by those who are involved and evidence of leadership" (Ely, pp. 300-302).

The first condition was characterized by Ellsworth, 2000, as "There has to be a better way" (p.70). Ely (1990) describes this condition by saying: "Something is not right. Things could be better. Others are moving ahead; we are standing still. There must be something we can do to improve" (p. 300). Ely emphasized that there are multiple sources of dissatisfaction. Ellsworth viewed these sources from two perspectives: diagnostic and marketing. From a diagnostic perspective, Ellsworth asserted that dissatisfaction when measured "can provide much more than just a number" (p. 62). It could be internal as could be the frustration experienced by some teachers with outdated curriculum materials. It could also be external as it could be the pressure exerted from the school board or the state. From a marketing perspective, Ellsworth said that "understanding sources and levels of dissatisfaction can help the change agent's efforts to position

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the innovation to be more compatible with what Rogers' (1995) felt needs" (p. 62).

The second condition was described by Ellsworth (2000) who stated "I can do this or I can learn quickly" (p. 70). Ely (1990) describes this condition by saying: "The people who will ultimately implement any innovation must possess sufficient knowledge and skills to do the job. This factor is often called competence (Vespoor, 1989). People may believe that changes are in order, but without the specific knowledge and skills to bring about the change the individual is helpless" (p. 300).

The third condition set forth by Ellsworth (2000) stated "I have everything I need to make it work" (p. 70). Ely (1990) describes this condition by saying: "The things that are needed to make the innovation work should be easily accessible. This condition is probable most self-evident of all" (p. 300).

The fourth condition asserted by Ellsworth (2000) stated "I have time to figure this out and to adapt my other practices" (p. 70). Ely (1990) describes this condition by saying: "Implementers must have time to learn, adapt, integrate, and reflect on what they are doing. Time is often considered to be a resource, and indeed it is. However, in the process of educational change, time should be considered as a distinct condition that must be made available for implementation to occur" (Vespoor, 1989).

The fifth condition identified by Ellsworth (2000) stated "I'm going to get something out of this too" (p. 70). Ely (1990) describes this condition by saying: "There must be sufficient reason to consider change and that is where incentives play an important role (Miles, Ekholm, & Van den Burghe, 1987). Incentives vary for individuals. For some it may be new and more teaching materials. For others it may be personnel assistance – an assistant or secretarial help, while some people are satisfied by new experiences that offer relief from current routines. Whatever the reward, intrinsic or extrinsic, it should be there in some form" (p. 301).

The sixth condition recognized by Ellsworth (2000) was "This is important, and I have a voice in it" (p. 70). Ely (1990) describes this condition by saying: "This means shared decision making, communication among all parties involved, and representation where individual participation is difficult. It seems obvious that individuals should be involved in decisions that directly affect their lives. However, in education, decisions are often made by others and handed down for implementation" (p. 301).

The seventh condition characterized by Ellsworth (2000) stated "Administrators and faculty leaders support it" (p. 70). Ely (1990) describes this condition by saying: "An unqualified go-ahead and vocal support for the innovation by key players and other stakeholders is necessary. Commitment occurs at all levels" (p. 301).

The eighth condition highlighted by Ellsworth (2000) was "I know who to turn to and they're available" (p. 71). Ely (1990) describes this condition by saying: "Two-pronged leadership is necessary: (a) by the executive officer of the organization and (b) by the project leader who is more closely involved in day-to-day activities" (p. 302). The importance of leadership cannot be underestimated especially in the public school where teachers work in isolation and with great degrees of autonomy at times.

Havelock and Zlotolow (1995) the Change Process

One researcher who advocated the change process model was Canadian consultant, professor, scholar and author Ronald G. Havelock. He is well-known for writing a number of volumes that have been very influential in the fields of knowledge utilization and educational innovation. These included: *Planning for Innovation through Dissemination and Utilization of Knowledge* (1969), *Bibliography on Knowledge Utilization and Dissemination* (1972); *Training for Change Agents, Institute for Social Research (1973) and The Change Agent's Guide to Innovation in Education* (1973).

Havelock and Havelock's (1973) review of a large number of studies conducted during the 1960s led to the identification of four major perspectives on the change process: change as a problem-solving process; change as a research-development-and-diffusion process; change as a process of social interaction and

change as a linkage process. The first major perspective, change as a problem-solving process, assumes that "innovation is a part of a problem-solving process which goes on inside the user" (p. 8). This problem-solving solving follows a sequence of steps – need identification, problem diagnosis, search and retrieval, selecting the adoption, and adopting, trying and evaluating the innovation. Havelock and Havelock (1973) describe this orientation as consisting of five points:

> First, that user need is the paramount consideration and the only acceptable value-stance for the change agent; second, that diagnosis of need always has be an integral part of the total process; third, that the outside change agent should be nondirective, rarely, if ever, violating the integrity of the user by placing himself in a directive or expert status; fourth, that the internal resources i.e., those resources already existing an easily accessible within the client system, itself, should always be fully utilized; and finally, that self-initiated and self-applied innovation will have the strongest user commitment and the best chances for long-term survival. (pp. 8-9)

The second major perspective, change as a research-development-and-diffusion process, is guided by five assumptions. These are: (1) there should be a rational sequence in the evolution and application of an innovation; (2) there has to be planning, usually on a massive scale over a long time span; (3) there has to be a division and coordination of labor …; (4) it assumes a more-or-less passive but rational consumer who will accept and adopt the innovation if it is offered to him in the right place at the right time and in the right form and (5) "… a high

initial development cost prior to any dissemination activity because of the

anticipated long-term benefits in efficiency and quality of the innovation and its

sustainability for mass audience dissemination" (p. 12).

The third major perspective, change as a process of social interaction,

focuses on the "patterns by which innovations diffuse through a social system" (p.

18). This perspective is supported by the following five generalizations:

> (1) The individual user or adopter belongs to a network of social relations which largely influences his adoption behavior; (2) His place in the network (centrality, peripherality, isolation) is a good predictor of his rate of acceptance of new ideas; (3) Informal personal contact is a vital part of the influence and adoption process; (4) Group membership and reference group identifications are major predictors of individual adoption, and (5) The rate of diffusion through a social system follows a predictable S-curve pattern (very slow beginning followed by a period of very rapid diffusion, followed in turn by a long late-adopter or 'laggard' period. (p. 18)

The fourth and final major perspective, change as a linkage process, is an

attempt at merging the three perspectives mentioned above. Here the user begins

as a problem-solver; feels a need that leads to a diagnosis and to a problem

statement. The problem solver then goes through a search and retrieve process to

arrive at a solution and to the application of that solution. The difference of this

perspective from the previous ones is that in the change as a linkage process, the

user "must be meaningfully related to outside resources" (p. 23).

Havelock and Havelock's (1973) four major perspectives on the change process assert that change will take place when a problem is defined and addressed; the selected innovation is diffused appropriately and research confirms this; the social system receives and applied uniformly and change agents link to other parts of the system in an effort to better the change process itself.

Ellsworth (2000) indicates that Havelock and Havelock revised and updated their 1973 educational model since it was too linear. The focus of the most recent model now, Havelock and Zlotolow (1995), is the change process. However, instead of presenting the educational change process in four perspectives, Havelock and Zlotolow (1995) presents the change process as consisting of seven stages. This model is known as the C-R-E-A-T-E-R model. The seven stages are: care, relate, examine, acquire, try, extend and renew. Havelock and Zlotolow (1995) state that their model is one that is circular this time, as opposed to linear.

The first, care, is identified as stage 'zero' because it represents "... the rock bottom prerequisite for a change, often taken by granted ..." (Havelock & Zlotolow, 1995, p. 6). The change agent in the care stage must be fully cognizant of two aspects. One consists of the four circumstances under which the change agent may be aware of the system wanting to change: when everything seems fine; when widely different concerns are held throughout the system; when the expressed concerns appear to be symptoms of another unstated concern and when

concerns are extremely intense (Havelock & Zlotolow, pp. 55-57). The other

aspect says that ethically since the change agent will encounter a lot of

discrepancy between his/her assigned duties and the reality of his/her clients,

he/she is called to strike a balance between the risk of harm that can be caused by

the gap and the feedback and consent that must be obtained in order to continue in

his or her function.

Stage one, related, was described as the period which focuses on "building

relationships" (Havelock & Zlotolow, 1995, p. 59). The change agent is expected

to become familiar with the norms that govern the system by building a team that

is more likely to help in the change effort. Havelock and Zlotolow stated that the

change agent must look for the following when constituting this team: opinion

leadership, formal authority, representation of major factions or vested interests,

public relations ability, credibility and respectability and compatibility with the

change agent (p. 61). The function of the change agent in this stage is two-fold: to

build and maintain relationships and to facilitate collaboration among clients.

Likewise, Havelock and Zlotolow (1995) provide a checklist of aspects that serve

to signal the ideal client relationship. These include: reciprocity, openness,

realistic expectations, structure, equal power, minimum threat, confrontation of

differences and involvement of all relevant parties (pp. 73-76).

In stage two, examine, the client is treated as the patient. The function of

the change agent is to help the client by "articulate[ing] that need: to describe the

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type of pain, to pinpoint its location, and to recall its origin" (Havelock &

Zlotolow, 1995, p. 79). When engaged in diagnosis the change agent should

identify the problems and potential opportunities and examine the weaknesses,

obstacles, strengths and opportunities within that particular context. Havelock and

Zlotolow advise the change agent to be extremely careful for he or she may fall

into five traps: "analysis/paralysis, avoidance or denial, destructive confrontation,

house diagnosis and fire fighting" (pp. 86-88). The change agent can diagnose by

formulating questions regarding the system's goals, structure, openness (in

communication), necessary capacities and rewards.

Stage three, acquire, is about "seeking and finding relevant resources,

which may be as diverse as electronic or print materials, people, or products"

(Havelock & Zlotolow, 1995, p. 91). There are seven purposes for acquiring

resources in support of change: diagnosis, awareness, evaluation-before-trial, trial,

evaluation-after-trial, installation and maintenance. Havelock and Zlotolow's

resource acquisition strategy includes a number of activities that can be pursued:

using the client representative who contacted you as a source; using other key

sources within the system, especially those representing key factions,

perspectives, or interest groups; interviewing an assembled group representing all

key stakeholders and observing key stakeholders 'in action' in the client system

(pp. 96-98). For each of these actions, it is recommended that the change agent

listens, reflects and inquires. In order to acquire valid information regarding a

particular diagnosis, the change agent can do: observe and measure system outputs; organize a self-diagnostic workshop for representatives of all key stakeholders in the client system; engage the services of an external diagnostic research team and use a collaborative internal/external team to design, conduct a contextual self-diagnosis and analyze data from continuous diagnostic monitoring activities (Havelock & Zlotolow, pp. 99-100). Once the diagnosis has been made, the change agent work is to build awareness and maintain awareness. The change agent builds awareness by experience. The change agent maintains awareness by reading the literature and/or using mass media.

In order to decide whether to implement or not, a process Havelock and Zlotolow (1995) called 'homing in', a six-step process sequence is recommended: (1) obtain an overview of the problem(s) and solution(s) from a comprehensive, written source; (2) obtain a similar overview from at least one person who has had direct experience with the problem(s) and/or solution(s); (3) observe the innovation in a concrete or 'live' form; (4) obtain evaluative data from an objective source, if possible, or from at least two persons, representing different perspectives, who have had direct experience; (5) obtain the innovation for trial and (6) acquire or develop a framework for evaluating its results before actually conducting the trial (pp. 102-105). Finally, it is suggested that the change agent can help foster or "build a permanent capacity for resource acquisition (Havelock & Zlotolow, pp. 105-107) by having the client system do: recognizing the need

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for resource acquisition; supporting any good sharing; taking advantage of any creative practitioners; evaluating the effect of past experience with use of informational, human, or other resources; obtaining descriptions of successful cases of resource acquisition and use them to demonstrate payoff; structure the process to avoid gathering mountains of questionable information that will never be used and make resources that are acquired available locally throughout the organization (pp. 106-107).

Stage four, try, consists of a six step process. These are: (1) assemble and sort the relevant finings from the acquire stage; (2) derive implications from the knowledge base that affect the client system and its objectives or circumstances; (3) generate a range of solution ideas based on the possible solutions identified in previous stages and the unique needs, strengths, and limitations of this change effort in these circumstances: (4) test feasibilities; (5) adapt the remaining solutions(s) to the unique characteristics and needs of the client system and (6) act (choose one or, in some cases, more than one-solution). Pilot test it, and evaluate the results to arrive at a decision (Havelock & Zlotolow, 1995, pp. 109-110).

Havelock and Zlotolow (1995) define stage five, extend, as the period for "gaining deeper and wider acceptance" (p. 125). The extend stage is divided in five sections. (1) how individuals accept innovations, (2) how groups accept innovations, (3) strategies for solidifying adoption, (4) strategies for diffusion to a wide audience and (5) strategies for flexibility during implementation (p. 125).

Extending the adoption of innovations in a deeper and wider way, in order to

prevent discontinuance, can be accomplished by the employment of the following

techniques: continuing reward, practice and routine, structural integration into the

system, continuing evaluation, maintenance and adaptation capability (pp. 139-

141).

Stage six, renew, also known as Re-C-R-E-A-T-E or terminate, calls the

change agent to put together a team of all stakeholders for an after-action review

to do an evaluation of the entire change cycle. Havelock and Zlotolow (1995)

state that this evaluation process seeks to respond to the following questions:

What resources were devoted to this stage? Were these resources adequate? Was

this stage successful in meeting its stated objectives? What could we have done to

make it better or more successful? Would a better plan or process have improved

the outcome? (p. 152). Six recommendations are provided in order for the change

effort to continue beyond the presence of the change agent: (1) having new

internal members; (2) adapting to changes in the local environment; (3) expanding

the definition of the client ; (4) re-evaluating the nature of the concern in light of

what has happened (experience); (5) checking on the availability of new resources

or knowledge and (6) remaining open to further adaptation or repackaging of the

innovation (pp. 155-156). This is about creating in the school the permanent

capacity for dealing with change. Havelock and Zlotolow call it self-renewal. This

process needs four critical elements: positive attitudes; internal members capable

of facilitating constructive change; a paradigm that values seeking external information and a view that looks at the future as something that can and should be planned (p. 156). This self-renewal process will be institutionalized if clients are committed to renewing the authority or sanction for the change process under internal ownership; if continuing resources are guaranteed; if new roles of change agents as well as the interrelationships that result become accepted and legitimized (Havelock & Zlotolow, pp. 159-162). Once self-renewal is established, the organization is then ready for more fundamental and transformational change.

Finally, Havelock and Zlotolow suggest that the change agent should consider when and how to disengage since his/her success in managing change in that organization may lead her/him into a new position. When thinking about when to disengage, the change agent should consider three criteria: problem- (initial diagnosis of the problem was correct), innovation- (selected solution was accepted by the clients and diffused correspondingly) and system-centered (when it is evident that the system is gaining a self renewal process capacity). On the other hand, when thinking about how to disengage, the change agent must be cognizant of the relationship that was already built with the client system and the confidence that resulted from it. The process of how to disengage should be one that is gradual. Havelock and Zlotolow reminds us that stage six, "is an end point and a new beginning and a whole new series of stages all rolled into one" (p.

168). Ellsworth (2000) states that "the ultimate goals of the change agent should be the removal of the institutional barriers that prevent the system from independently evolving in adaptation to its changing environment, which is characteristic of all healthy, living systems" (p. 137).

Hall and Hord (1987) Concerns-Based Adoption Model

The focus of Hall and Hord's (1987) educational change model, the Concerns-Based Adoption Model, is the intended adopter or user. Hall and Hord's research on the implementation of educational innovation in the 1970s and 1980s led to creation of the (CBAM). This model is guided by the following seven assumptions:

> (1) "Understanding the point of view of the participants in the change process is critical" (Hall & Hord, p. 8). It is important to ensure that the perceptions and expectations of clients as well as that of facilitators not be neglected;
>
> (2) "Change is a process, not an event" (Hall & Hord, p. 8). There are steps and phases that in the process of implementing innovations. Announcing or adopting an innovation does not merely equate adequate implementation, let alone institutionalization;
>
> (3) "It is possible to anticipate much that will occur during a change process" (Hall & Hord, p. 9). Change facilitators should not be surprised by unexpected events and happenings of they do adequate planning;

(4) "Innovations come in all sizes and shapes" (Hall & Hord, p. 9). Innovations can be product or process based;

(5) "Innovation and implementation are two sides of the change process coin" (Hall & Hord, pp. 9-10). Procedures and steps for both innovation development and implementation must be taken into account;

(6) "To change something, someone has to change first" (Hall & Hord, p. 10). The ultimate gatekeeper is the teacher or the adopter and innovator – the person that is receiving and implementing the innovation;

(7) "Everyone can be a change facilitator" (Hall & Hord, p. 10). Change facilitation is a process that must be played by all actors involved in it;

The CBAM model says that the change facilitator is critical. "The facilitator's job is to facilitate, which means to assist others in ways relevant to their concerns so that they become more effective and skilled in using new programs and procedures" (p. 11). This change facilitator is assumed to have a resource system. The change facilitator has access to his/her own professional library and contacts as well as to people outside his/her vicinity. The question is what resources to use and when. This is the informal dimension. The informal dimension is taken by the four dimensions of the CBAM model: Stages of Concern, Levels of Use, Innovation Configurations and Intervention Taxonomy.

The first component of the CBAM model, stages of concern, is primarily concerned with the teachers' point of view. It "describes the feelings,

perspectives, and attitudes of individuals as they consider, approach, and

implement use of an innovation. Stages of concern about the innovation move

from early self-oriented concerns, to task-oriented concerns, and ultimately to

impact-oriented concerns" (p. 204). The following chart (Hall & Hord, 1987, p.

60) illustrates seven stages of concern:

Stages of Concern about the Innovation

Impact	**6**	REFOCUSING	The focus is on exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. The individual has definite ideas about alternatives to the proposed or existing form of the innovation.
	5	COLLABORATION	The focus is on coordination and cooperation with others regarding use of the innovation.
	4	CONSEQUENCE	Attention focuses on impact of the innovation on students in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.
Task	**3**	MANAGEMENT	Attention is focused on the processes and tasks using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.
Self	**2**	PERSONAL	The individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision making, and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the

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| | 1 | INFORMATIONAL | programs for self and colleagues may also be offered. A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself/herself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements for use. |
| Unrelated | 0 | AWARENESS | Little concern about or involvement with the innovation is indicated. |

The second CBAM model, levels of use, is primarily concerned with whether the innovation itself is being used, and if so, to what extent. The primary unit of adoption and analysis in this model is the individual classroom teacher (individual innovation user). The following chart (Hall & Hord, 1987, p. 84; Hall & Loucks, 1977, p. 266) illustrates these levels of use:

Levels of Use of the Innovation

Levels of Use	Definition of Use
0 Nonuse	State in which the user has little or no knowledge of the innovation. No involvement with the innovation, and is doing nothing toward becoming involved.
Decision Point A	Takes action to learn more detailed information about the innovation.
I Orientation	State in which the user has recently acquired or is acquiring information about the innovation and/or has recently explored or is exploring its value orientation and its demands upon user and user system.
Decision Point B	Makes a decision to use the innovation by establishing a time to begin.
II Preparation	State in which the user is preparing for the first use of the innovation
Decision Point C	Changes, if any and use are dominated by user needs.
III Mechanical Use	State in which the user focuses most effort on the short-term, day-to-day use of the innovation with little time for reflection. Changes in use are made more to meet user needs than client needs. The user is primarily

	engaged in a stepwise attempt to master the tasks required to use the innovation, often resulting in disjointed and superficial use.
Decision Point D-1	A routine pattern of use is established.
IVA Routine	Use of the innovation is stabilized. Few, if any, changes are being made in ongoing use. Little preparation or thought is being given to improving use or its consequences.
Decision Point D-2	Changes use of the innovation based on formal or informal evaluation in order to increase client outcomes.
IVB Refinement	State in which the user varies the use of the innovation to increase the impact on clients within the immediate sphere of influence. Variations are based on knowledge of both short- and long-term, consequences for clients.
Decision Point E	Initiates changes in use of innovation based on input of and in coordination with what colleagues are doing.

The third CBAM model, levels of use, is primarily concerned with defining the innovation itself or separating and identifying the aspects that are important for implementation. The focus here is the variation found among the user's implementation of innovations. That is, the concern here is the different ways in which teachers use innovation-related materials and processes. Implementation of an innovation depended heavily on the components, skills, goals and attributes that teacher chose to consider. An innovation configuration component checklist was developed in order to determine which elements were critical and which were related. The innovation configuration checklist was also used to inquire about what the users (teachers) were doing as well as to observe a classroom in order to detect critical innovation components.

The fourth and final CBAM model, intervention taxonomy, is primarily concerned with the change facilitator's responsibility to intervene, on the basis of the assessment already conducted, in order to ameliorate those aspects of the change process that make for success or failure of change attempts. The change facilitator is called upon to provide strategies that will help the users (teachers etc.).

The last component of the CBAM Model involves the planning of strategies that aid in the change process. Hall and Hord (1987) have developed a conceptual framework in order to explain the interrelationships between different levels of interventions. These include: "developing supportive organizational arrangements; training; providing consultation and reinforcement; monitoring and evaluation and external communication" (pp. 202-203). This conceptual framework of interventions provides the change facilitator the opportunity to analyze the change process, to predict or anticipate problems endemic in the change process and to plan for ways to deal with imminent barriers.

The four components of CBAM were written to help the change facilitator and users mediate the change process. However, these four components are specifically and especially directed at the change facilitator so that he or she has a deeper understanding of the change process as it takes place when innovations are actually implemented at schools.

Zaltman and Duncan (1977) Resistance to Change

The focus of Zaltman and Duncan (1977) educational change model is resistance. Zaltman and Duncan define resistance as "any conduct that serves to maintain the status quo in the face of pressure to alter the status quo" (p. 63). Resistance can come from four sources: cultural, social, organizational and psychological barriers.

Cultural barriers to educational change are cultural values and beliefs, cultural ethnocentrism, saving face and incompatibility of a cultural trait with change. Values and beliefs are mostly colored by various religious ideologies. Values and beliefs can also be shaped and influenced by work ethic, competitiveness and fatalism (Havelock & Zlotolow, 1995, pp. 68-69). Cultural ethnocentrism can produces resistance due to the two ways in which it can expressed itself: (1) "the change agent who comes from a different culture may view his or her own culture as superior" and (2) "… the client may see his own culture as superior to others, at least in certain aspects, and hence may passively resist borrowing or adopting artifacts from other cultures" (Havelock & Zlotolow, p. 69). The saving face barrier operates as a result of the assumption guiding most innovations that what is being currently used needs to be replaced because it is wrong obsolete or wrong. When this happens, practices currently in used are stigmatized. Clients may reject the adoption of a new innovation because it may

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mean that what they previously accepted was wrong. Ellsworth (2000) suggests

that saving face presents two meaningful lessons:

> The first is to highlight the enhanced benefits of adoption and thereby avoiding overemphasis on direct comparison between the innovation and current practice that attaches a negative stigma to past behavior. The second is to take the time to identify the root causes of resistance, because they may reveal misunderstandings of the client value system embedded in the implementation plan. (p. 156)

The last cultural barrier, incompatibility of a cultural trait with change, is

mentioned as one of the most frequent causes of resistance. Ellsworth (2000)

provides the adoption of a 12-month school calendar as an example of this type of

barrier. What needs to happens, if this type of innovation is to be introduced, is

for the change agent "to make judicious use of incentives to make adoption

worthwhile or devise strategies for circumventing the incompatible trait" such as

providing, in the school year around example, "substantial bonuses for teachers

and administrators who agree to work in the summer" (Ellsworth, p. 157).

Social barriers to educational change are group solidarity, rejection of

outsiders, conformity to norms, conflict and group insight. In terms of group

solidarity, Ellsworth (2000) says that this first social barrier appears "as an

obstacle to change when adopting an innovation would result in hardship for other

members of the same group, or member of a group important to the intended

adopter" (pp. 157-158). Another issue related to group solidarity is

interdependence. "Readiness for change in one part of a system may be negated by unwillingness or inability of other interdependent parts to change" (Havelock & Zlotolow, 1995, p. 72). A second social barrier is rejection of outsiders. Basically, this barrier implies "a belief that no one outside the client system could understand it well enough to produce an innovation of value to it" (Ellsworth, p. 158). A third social barrier is conformity to norms. Havelock and Zlotolow commented on this social barrier:

> Norms provide stability and behavioral guidelines that define what individuals can expect from one another. They are essential for the conduct of any social system. Consequently, any change that is incompatible with existing norms will tend to be resisted by most members of the social system. (p. 74)

Havelock and Zlotolow (1995) said that the critical question to be asked here is: "Why do people participate in this norm?" (p. 74). Only by knowing the answer to this question can an agent change be effective in meeting the need established by the norm. A fourth social barrier is conflict. A last social barrier is group insight. The source of this barrier "is the members' imperfect awareness of their own interpersonal processes and their lack of a frame of reference in which to judge their performances and their possibilities for improvement" (Havelock & Zlotolow, 1995, p. 75).

Organizational barriers to educational change are threats to power and influence, organizational structure, behavior of top-level administrators and

technological barriers to resistance. At the organizational level, one of the barriers

is the threat to power and influence. This barrier can result from the individuals'

perception that they are losing power over decision-making. The organizational

structure represents a second barrier. This can result from changes in the division

of labor, hierarchical and status differentials and the reward structure. Behavior of

top-level administrators represents another organizational barrier. The issue here

is: "Why should I really go through the effort of trying to change my behavior if

the people at the top don't change?" (Havelock & Zlotolow, 1995, p. 78). Climate

for change in the organization and the absence of technological skills represent

the last two organizational barriers. The former focus on the "organizational

members' perceptions of the change process" and on the meaning that members

attach to change and the latter concerns "the absence of the necessary technical

human skills to implement the change adequately" (Havelock & Zlotolow, p. 80).

Finally, psychological barriers to educational change are perception,

homeostasis, conformity and commitment and personality factors. Perception

refers to the multiple views in which a person may see the status quo,

disagreement around common perceptions and lack of clarity, conformity, and

commitment. Homeostasis is about the human desire of keeping comfortable level

of stability. The final psychological barrier is personality factors. Examples of

these include: low empathetic ability, high dogmatism, inability to deal with

abstractions, fatalism, low achievement motivation, low- risk taking propensity,

lack of creativity, inability to tolerate ambiguity, lack of conceptual and inquiring

skills (Havelock & Zlotolow, 1995, p. 86).

Reigeluth and Garfinkle (1994) Systemic Change

The focus of Reigeluth and Garfinkle's (1994) educational change model

is systemic change defined in the following manner:

> Systemic change is comprehensive. It recognizes that a fundamental change in one aspect of a system requires fundamental changes in other aspects in order for it to be successful. In education, it must pervade all levels of the system: classroom, building, district, community, state government, and federal government. (Reigeluth & Garfinkle, p. 3)

Reigeluth and Garfinkle (1994) present the work of noted scholars in four

sections: theory, models, components and examples of practice. Section one

reviews four perspectives on systemic procedural design theory. First, a focus on

the state system of education and its interrelationships and interconnections to the

local and federal levels can help drive systemic change. Systemic change at the

level should take into account the subsystems and functions of the state. These

consist of its operational policies, school organizational arrangements, school

management and administration, school approval and accountability and personal

training and certification (Reigeluth & Garfinkle, p. 16). Second, it is claimed that

systemic change needs a distributed and collaborative design that involves all

stakeholders. There is a need for a user design that is nonlinear. Five territories or

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spaces are required for this to happen. These include: genesis, exploration, visioning, and image creation. The first space serves as the foundation of the second space – organized knowledge; the third is the design solution is where one "engages in formulating alternatives and searching for the design solution by going through various spirals" (p. 29); the fourth concept is about the testing of alternatives and the fifth comprehends the new model and its systemic environment. Third, systemic change requires a systemic evaluation model. This model is built after a systematic instructional design process. This process consists of three phases (design, development/implementation and evaluation) guided by five sub-processes (identification of core values, establishment of organizational purposes and learner goals, definition of functions to be performed, description of preferred learner system and of the support system needed for implementing and sustaining the learner system (Reigeluth & Garfinkle, pp. 37- 40). Finally, systemic change requires a directed approach to systemic change. Using the Instructional Systems Development (ISD) model, educational reform must be both systemic and systematic. First, it should be systemic because its processes must take into account all relevant variables or conditions that will affect the learning environment: …"; and it must be systematic since the "ISD professional is probably equipped through training and experience to comprehensively apply the systems concepts to a large-scale development

activity, through clearly contributions by and involvement of a number of other specialists will also be required" (Reigeluth & Garfinkle, p. 49).

Section two reviews four models for systemic design: the New American School Development Corporation (NASCD), Learning Sphere 2000, Cooperative Networked Educational Community of Tomorrow (Co-NECT) and charter schools. The NASCD is a 'break-the-mold' that seeks to build schools in a radically different way. Reigeluth and Garfinkle (1994) explains: NASCD is asking the country's people to cast aside their old notions about schooling – to start with a clean sheet of paper, and be bold and creative in their thinking, and to give us ideas that address comprehensive, systemic change for all students for whole schools" (p. 54); "schools will no longer be thought of as 'behind the times'. Instead, the local school down the street will be the springboard and home of new ideas in technology, mathematics, science, teaching, and learning from which all members of the community can benefit" (p. 58). The Learning Sphere 2000 was such an effort. This reform initiative led to a set of new changes contrary to the traditional school. It led to learning experiences; teachers as guides; clusters of schools; choice, incentive and decision-making processes; clusters as flexible learning organizations; learning centers; developmental levels; children with special needs; curricular implications; assessing student outcomes; new roles for technology; a district-wide administrative system; governance of the system and relationship to other human service systems (pp. 60-70). The Co-

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NECT system is presented as an example of the need for systemic design if computer and technology are to help schools be successful. The Co-NECT school design has four components: project-based curriculum, personal growth system, cluster-based community and technology infrastructure. It is emphasized that "if technology is to support school reform efforts, it must be seen as part of a systematic change involving all aspects of school life – in governance, technology, physical structure, curriculum, assessment, and teaching practice" (Reigeluth & Garfinkle, p. 81). Finally, charter schools are offered as another model that can actually drive systemic reform. Charter schools can lead to new and different levels of innovativeness and accountability.

Section three reviews four key components of an educational system. First, it claims that state school finance formulas represent a substantial impediment for systemic reform. A site-based approach to finance is suggested as offering the greatest potential for systemic reform. In this way, monies will be allocated to the corresponding school. The school will then buy out the services from a contract that it deems necessary. Other possibilities advocated include a voucher system and an incentive model. Second, due to politics local school boards are viewed as obstacles for systemic education: "local boards of education no longer meet the needs for which they were designed" (Reigeluth & Garfinkle, 1994, p. 122). The charter school concept is mentioned as a way of creating "modes of education that are more humane, productive, and future-oriented …"

Finally, section four reviews three successful examples of systemic

change. First, it examines the experiences of how a school district deals with the

complexities and dilemmas inherent in broad-scale change. It basically "describes

the experiences of a school district that has attempted to organize itself around

families instead of bureaucracies" (Reigeluth & Garfinkle, 1994, p. 137). The

Independence (Missouri) School District meets the comprehensive needs of

children and families by: accessing existing community services, adult parenting

education, literacy education and job training, childcare, special needs of young

children and health services. Second, it explores the key conditions that

educational reform efforts, as seen through two reform initiatives Learning Sphere

and Project Slice, should have if lasting change is to be accomplished. Guidelines

to do this include: a common vision, agreeing that the existing system cannot

succeed and that a new system is needed, developing an implementation plan,

obtaining support from all sectors and applying pressure. Third, this section

describes a set of communication techniques used at an elementary school to

improve and sustain community involvement and understanding. These include:

getting the whole community involved since the beginning with various

instruments, providing informational meetings at different times, creating spaces

for the communities to express their opinions and get involved, inform all

stakeholders in the system, measure student progress and maintaining the

community very involved and informed.

Connecting Change Process Models to Michael Fullan

What distinguishes Fullan and Stiegelbauer's (1991) educational change

model from the change process strategies mentioned above is that it is centered on

the "stakeholder-as-change-agent". Its aim is to explore the sources and meanings

of educational change as well as the causes and processes of initiation,

implementation and continuation and ways of planning, doing and coping with

change. More specifically, it is about demonstrating that "rationally planned

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strategies are not rational when it comes to dealing with people and the problem of meaning" (Fullan & Stiegelbauer, p. 10). Fullan and Stiegelbauer also explored what educational change means from the perspectives of the various human participants in the process: teacher, principal, students, district administrator, consultant and parent and the community.

"Educational change depends on what teachers do and think – it's as simple and complex as that" (Fullan & Stiegelbauer, 1991, p. 117). This means that it is not about what government entities do. Before deciding to commit to or reject a change, teachers should consider: "(1) If the change is proposed from outside, does it address an important need? (2) If an attempt should be made to ascertain if the administration is endorsing the change and why, because some form of active commitment by administrators will be necessary for freeing up necessary resources (reducing the cost) for the innovation to succeed; (3) The teacher should assess whether fellow teachers are likely to show an interest in the change; (4) Regardless of outside pressures or opportunities, individual teachers have a responsibility to make some contribution to the development of collaborative work cultures; (5) Teacher-leaders, that is, those interested in playing a larger leadership role, face dilemmas as well as expanded opportunities in the form of coaching, mentoring, and the like; and (6) Teacher unions and professional associations should adopt a more active leadership role in helping to establish conditions for improvement and in following up to support

implementation and to ascertain results" (Fullan & Stiegelbauer, pp. 137-139).

This section ends by declaring that "School improvement is related not just to what the teachers do and think. Equally important is what those around them at the school, district, provincial/state, and federal levels do" (Fullan & Stiegelbauer, p. 143).

The closest stakeholder to the teacher is the school principal. Fullan and Stiegelbauer (1991) begin this section on the principal by declaring that principals can be characterized by their inability to meet everyone's demands and needs. Various forces contribute to limit the potential principalship in school change. Several of these include: the conservative tendency (pressure) to maintain stability (pp. 145, 148-150); the amount of time spent on non-academic/instructional matters (p. 146); overload and fragmentation (p. 148); their perceptions of the systemic constraints inhibiting action (p. 164) and isolated autonomy (p. 171). Principals are viewed as middle managers suffering from the classical organizational dilemma (p. 152). "Rapport with teachers is critical as is keeping supervisors happy" (p. 152). Nowadays, principals are being asked to be change agents. Fullan and Stiegelbauer (pp. 167-168) offer ten guidelines for those principals taking on the role of an agent of change.

Fullan and Stiegelbauer (1991) concluded this section on the principal by arguing that principals should "figure out ways of reducing the amount of time spent on routine administrative matters" (p. 168) so they can attend to their roles

of change agents. Principals are "key to creating the conditions for the continuous professional development teachers" (p. 168) and since "school improvement … is an organizational process, … (p. 169). This is justified and supported by the concluding remark that "serious reform, …, is not implementing single innovations. It is changing the culture and structure of the school" (p. 169).

Fullan and Stiegelbauer (1991) considered the role of the student in educational change. "What would happen if we treated the student as someone whose opinion mattered in the introduction and implementation of reform in schools?" (p. 170). Fullan and Stiegelbauer made several points about the role of the student and educational change. First, it is claimed that due to the numbers and diversity of students and due to their absence in the traditional power structure of schools, it is "impossible to do justice to the question of where students are" (p. 170) in the change process. Fullan and Stiegelbauer claimed that although most students have not had the experience of being active change agents in their own schools, they can potentially block or reject changes in their own schools. They cautioned teachers and administrators about how to deal with this fact. They suggest that educators should consider: "Critical to understanding educational change is the recognition that these changes in students and teachers must go together – that is, students themselves are also being asked to change their thinking and behavior in the classroom; … student motivation and understanding regarding a change are directly related to whether and how they

engage in what we might call implementation activities, …; stop thinking of students just in terms of learning outcomes and start thinking of them as people who are also being asked to become involved in new activities and consider explicitly how innovations will be introduced to students and how student reactions will be obtained at that point and periodically throughout implementation. Fullan and Stiegelbauer concluded this chapter on the students by affirming the centrality of making students active partners in the change process. They state: "Effective educational change and effective education overlap in significant ways. Involving students in a consideration of the meaning and purpose of specific changes and in new forms of day-to-day learning directly addresses the knowledge, skills and behaviors necessary for all students to become engaged in their own learning" (p. 190).

Then, Fullan and Stiegelbauer (1991) take on the district administrator. First, the function of the district administrator is to "lead the development and execution of a system-wide approach that explicitly addresses and takes into account all these causes of change at the district, school, and classroom levels" (p. 191). Fullan and Stiegelbauer identify the main problem that district administrators face today. This refers to the "fragmentation, overload, and incoherence resulting from the uncritical and uncoordinated acceptance of too many different innovations" (p. 197). The district administrator's role today is one whose definition has broadened to include its critical and crucial presence and

support for lasting and meaningful change. Fullan and Stiegelbauer (pp. 212-214) offer seven guidelines for district administrators.

1. Choose a district in which change has a chance of occurring or do not expect much change.
2. Once in a district, develop the management capabilities of administrators – other district administrators and principals – to lead change.
3. Directly and indirectly (e.g., through principals) provide resources, training, and the clear expectation that schools (teacher, principals, etc.) are the main centers of change.
4. Focus on instruction, teaching, and learning, and changes in the culture of the schools.
5. Recognize that implementing any strategy for improvement is itself a fundamental implementation problem.
6. Monitor the improvement process.
7. Above all, work on becoming an expert in the change process.

Fullan and Stiegelbauer (1991) concluded by asserting that since there are no recipes for change and since things keep changing, the district should not concentrate all of his/her energies in a single innovation or stakeholder. The district administrator should be concerned about helping people to deal with all changes. "The paramount task of the district administrator is not to get this or that innovation put into practice, but to build the capacity of the district and the schools to handle any and all innovations (which is not to say to implement them all) (Fullan & Stiegelbaeur, p. 214).

Fullan and Stiegelbauer (1991) proceeded to focus on the role of the consultant in educational change. There might be internal or external consultants.

There is not a lot of research about the role of the consultants. Fullan and

Stiegelbauer indicate that there is a lot of discrepancy between the roles of the

consultants and the teacher's perceptions of their work. Internal consultants can

bring a strong potential for change. They work closely with the system. They are

familiarized with the school cultures and sometimes represent the closest and only

source of mentoring support for teachers. On the other hand, external consultants

can bring outside knowledge that is not readily available in the local system.

However, external consultants also have the potential of blocking lasting and

meaningful communication when they serve as channels or messengers of pre-

packaged programs that do not allow for or neglect the voice of other stakeholders

(i.e. teachers, principals, students). "Some external consultants are not good;

others offer packaged solutions, which even when appropriate do not go very far;

and still others are inspiring, but nothing comes of the ideas once they leave"

(Fullan & Stiegelbaeur, p. 225). Situational awareness and long-term perspective

are two issues that ail the external consultant.

Using the effective consultant practice literature, Fullan and Stiegelbauer

(1991) recommend that external and internal consultants should know the

students' needs, participate in the location and selection of the innovation,

understand the innovation; gather data to assist the implementation; integrate the

innovation into existing practices, conduct training, assess staff expectations,

facilitate assessment through workshops, make implementation strategies context

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sensitive, work with teams, use resources available, identify competing visions

and assess their prevalence, arrange funding for support of implementation,

determine the disruptions that take place as a result of staff turnover and

bureaucracy, obtain support for the innovation form key district leaders, work

with teachers using the innovation, plan for implementation as well as

institutionalization, support the district to continue the implementation of

innovation and help the district in matching alternatives and model to school-

based needs.

Fullan and Stiegelbauer (1991) concluded this chapter by emphasizing

how collaboration and peer support can help both internal and external

consultants to work with local and district stakeholders.

> Indeed, the dilemma faced by both internal and external consultants is one of scope vs. intensity. Although effective change requires intensive, ongoing contract, the number of clients is far beyond the available time and energy of consultants. Like most dilemmas, it is not solvable; but by employing the principles of social change, including the setting up of peer support systems, consultants (whether internal or external) can reach and respond to more people effectively than they currently do. (p. 226)

Fullan and Stiegelbauer (1991) then focus on the role of parents and the

community. Parent involvement in school is critical to academic achievement.

Parent involvement can be exercised in two ways: instructional and non-

instructional. Instructionally, parents can serve as tutors; provide home-

reinforcement of school work and model positive attitudes towards school work.

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Non-instructionally, parents can be involved in two ways: governance and advisory councils and associations and school relations and collaboration. Fullan and Stiegelbauer offer the following guidelines for the engagement of parents and other community members:

> If you have a choice of schools, check out the history and attitude of each school toward parent and community involvement;
> If you are lucky enough to be in a community where the principal and teachers are doing something to involve parents in instructional matters, then be responsive and participate;
> Wherever you are, do not assume that teachers do not want you;
> Become familiar with some of the curriculum your child is using;
> Ask the teacher if there is anything you can do at home to help the child;
> If you do not instantly understand the curriculum and other changes being used in the school, you are not alone. It takes time and interaction to develop some understanding;
> For most educational innovations, parents can learn some activities to do with their children in a relatively short time;
> If students are in a desperate situation of apparent prejudice, lack of caring, and no interest on the part of the school, fight for your rights alone or with other parents. (pp. 247-248)

Fullan and Stiegelbauer (1991) conclude this chapter by highlighting the importance of meaning and collaboration:

> In the meantime, the simple conclusion of this chapter is two fold. First, the vast majority of parents find meaning in activities related to their own children rather in school- or system-wide endeavors. Second, educational reform requires the conjoint efforts of families and school. Parents and teachers should recognize the critical complementary importance of each other in the life of the student. Otherwise, we are placing limitations on the prospects for improvement that may be impossible to overcome. (p. 250)

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Finally, Fullan and Stiegelbauer (1991) focus on the role of governments. At the outset, it is clearly stated that governments have powerful means for making policy and bringing new programs, yet it has weak means over its implementation. However, governments can play a critical role in educational change. Governments can provide encouragement and coordination as well as directions (decision-making) and resources that can have a direct impact at the local level. Fullan and Stiegelbauer offer six guidelines for governments leading meaningful and lasting educational change:

> Concentrate on helping to improve the capacity of other agencies to implement changes;
>
> Be clear about what the policy is and spend time interacting with local agencies about the meaning, expectations, and needs in relation to local implementation.
> Focus on an explicit but flexible implementation plan to guide the process of bringing about change in practice;
>
> Take special steps to ensure that their own (central or regional) staff, especially those who have the most direct contact with the field, have the opportunity to develop knowledge and competence regarding the policy and program, as well as in how to facilitate implementation;
>
> Become preoccupied with achieving more basic changes in the teaching profession in the practice and organization of teaching and in the learning patterns and experiences of all students;
>
> Complexity and persistence go hand in hand. (pp. 284-287)

Fullan and Stiegelbaeur (1991) concluded this chapter by stating that "the role of governments is to enlarge the problem-solving arena and to provide the kinds of pressure and support that force and reinforce local districts to pursue continuous improvement" (p. 288). Professional development is one avenue that governments can explore in order to fulfill their roles. "Educational change involves learning how to do something new. Given this, if there is any single factor crucial to change it is professional development" (p. 289). Fullan and Stiegelbaeur offer three recommendations to those stakeholders at teacher education institutions:

> Faculties and schools should use three interrelated strategies – faculty renewal, program innovation, and knowledge production – to establish their new niche as respected and effective professional schools;

> Learning – in this case of adults – must permeate everything the district and school does; it must be held as equally important for all staff regardless of position; districts and school must strive to coordinate and integrate staff development;

> Professional development should pay attention to and worry about two fundamental requirements: (1) incorporating the attributes of successful professional development in as many activities as possible, and (2) ensuring that the ultimate purpose of professional development is less to implement a specific innovation or policy and more to create individual and organizational habits and structures that make continuous learning a valued and endemic part o the culture of schools and teaching. (p. 289)

Fullan's model focuses on the meanings that different stakeholders bring to the educational change process. It is about the perspectives of the participants. This is what makes this model unique. As has been noted earlier, Rogers' (1983) model is based on the theory that the change process focuses on both invention and diffusion. It is also noticeable that Rogers' model examines the reasons as to how decisions concerning innovations are made and the stages under which an innovation and implemented. This work is commendable because it highlights the role of the change agent and the source of the change itself. However, compared to Fullan's (1991) model it is somehow limited and narrow. The success and failure of innovations in schools and districts cannot be fully and clearly explained by looking at stages and sources. Educational reforms are often political mandates and include a disparity of populations as well as different degrees of capacity of lack thereof prevents from focusing on innovations by themselves. There is a social system that needs to be attended.

Ely's (1990) model for educational technology innovations is also laudable for examining what conditions promote or inhibit change. Looking at environmental conditions, namely: dissatisfaction with the status quo, knowledge and skills, resources, time, rewards or incentives and commitment is critical and indeed necessary. However, Ely's conditions of change seem narrow because it seems to treat innovations as ends in themselves. In education, the change process itself is about more than the adoption, implementation and institutionalization of

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innovations. It is about deep and continuous changes in the culture of the schools and entire systems. Fullan's (1991) model answers this whole system reality.

Perhaps, Havelock and Havelock's (1973) and Havelock and Zlotolow's (1995) change process models are closer to Fullan's (1991) model. They both share the assumptions that change is a process, not an event. The difference is that while the former models clearly delineate a step-by-step process, Fullan's model does not specify or propose such steps or stages. Fullan's model assumes that change is a process, but that this process is to be constructed by its different stakeholders in order to reach organizational development and system improvement.

Likewise, Hall and Hord's (1987) and Hall and Loucks' (1977) attempt to measure the impact and effectiveness of innovation by underscoring its levels of use and the role of the change facilitator are very appropriate because they encourage not only a closer scrutiny of the innovation itself, but also opportunities to analyze the change process, predict or anticipate issues and ways to deal with barriers. However, this theory is limited in that it analyzes innovations and the role of change facilitator rather than redefining the role of actors and institutions and thus advocating for strategies at the system level that lead to sustainability (Fullan, 1991; 2001; 2007).

The last two models, Zaltman and Duncan (1977) and Reigeluth and Garfinkle (1994), highlight the reality of resistance and stress its systemic nature.

On one hand, in a contested terrain such as education, the presence of resistance is understandable. Educational reform will always confront resistance because its change demands tinker with prevailing norms and values of autonomy, conservativism and presentism so prevalent in many classrooms. On the other hand, districts and state educational agencies are loosely coupled systems. There are so many schools, levels, offices, roles and positions. A systemic approach seems fully appropriate. These two last models seem more consistent with some aspects of Fullan's (1991) model. What distinguishes Fullan's model is his attempt to welcome and embrace resistance and conflict as friends, although conflict and resistance are not critically dissected and Fullan calls for improvement of the entire system.

In this section, I have attempted to briefly describe several models of change process model in order to highlight Fullan's (1991) change process model. This section underscores various models that stress the classic understanding of innovations and diffusion, the conditions of change in educational technology innovations, change as a process, the position of the intended adopter/user in the change process, levels of innovations, resistance to change and a system design orientation. This section does not pretend to elevate Fullan's model as the most superior or successful. Its purpose is to highlight how Fullan's change process model may seem more appropriate in education. Its emphasis and focus on the perspectives and roles of participants and institutions in the change process in

schools, districts and governments and its intent on treating innovations not as ends in themselves distinguish Fullan's change process models from others (Fullan, 1982, 1991, 2001, 2007).

Michael Fullan, Definitions and Perspectives on Educational Reform and Change

Fullan's scholarly work on educational change could also be highlighted by comparing his work to other scholarly approaches to change theory. Describing the ways in which scholars of change theory define change will help differentiate Fullan's contribution and original thoughts. It will also continue to provide a larger landscape of change theory against which Fullan's theory can be seen in its originality as well as continuity within that landscape.

Types, Stages, Characteristics, Scope, Factors and Forces

One way theorists and researchers have attempted to define educational change is by adopting and using a variety of concepts, namely: types, stages, characteristics, scope, factors and forces and perspectives. For example, in their major work on school improvement in an era of change, Hopkins, Ainscow and West (1994) characterized change in two types: "Two forms: incremental change, a gradual, often subtle transition from one state to another; and planned change, which seeks to interrupt the natural developments of events and often on a given day, to break with previous practice to establish a new order" (p. 21). In a similar

manner, Reigeluth (1992) sees change as consisting of two kinds: piecemeal change, often called tinkering, which entails modifying something (fixing a part of it), and systemic change, often called paradigm shift, which entails replacing the whole thing. Nelson and Quick (1994) defined change as consisting of two types: planned and unplanned. The forces of change are characterized as internal or external. Its scope could be incremental, strategic or transformational. Hanson (1996) defined change as grounded in one of three theories: classical theory, the social system and the open system. Bennis et al. (1984), define change as "a conscious, deliberate, and collaborative effort to improve the operations of a human system, whether it be self-system, social system, or cultural system, through the utilization of scientific knowledge" (p. 4).

Beyond types of change, researchers and theorists have attempted to define change by its stages, distinctive characteristics and factors. Stoll and Fink (1996) and Miles (1998) describe change as having three stages: initiation, implementation and institutionalization. Evans (1996) claims that the substance of change has four chief characteristics. The first one is focus and clarity. An innovation, particularly one that requires radical change on the part of those who must implement it, is unlikely to succeed without its being focused and clear, that is, without all key participants' knowing its why, what, and how" (Evans, p. 75). The second type refers to change's scope and complexity. "The larger and more complex an innovation is, and the greater the quantity and quality of change it

requires of individuals, the greater it's potential – but the more difficult it is to implement" (Evans, p. 78). The third is change of the desirability. "Desirability depends crucially upon dissatisfaction and relevance. To even begin to be open to change, people must first be unhappy with the status quo in some way and must then find the change relevant to their concerns" (Evans, p. 80). The fourth characteristic of the substance of change concerns its feasibility. "Teachers must not only want to implement a change, they must feel that they can achieve it. They need to see change not only as appropriate for students and as promising better learning but also as something practical that they and their school can manage" (Evans, p. 85).

Gilbert, Sheehan, and Teeter (1985) make a clear distinction between progressive changes vs. innovative changes. They describe that "progressivism grows out of Dewey's philosophy; it emphasizes freedom, individual desires, immediate goals, pupil-initiative, pragmatism and process" (p. 63). It is noted that "changes that lead in this direction may be classified as progressive. Changes can be innovative without necessarily being progressive" (p.63). Bolam (1975) distinguishes between four major factors: the change agent, the innovation, the user system and the process of innovation over time. Bolam, "highlights the interactive nature of the innovation process, which is virtually important in any mature appreciation of how changes come about" (Hopkins, Ainscow & West, 1994, p. 28).

Other researchers and theorists define change by its scope, forces of continuity and approaches. To illustrate, Cuban (1988) described the scope of change as first-order or second-order change. Cuban defined first order changes as "intentional efforts to enhance existing arrangements while correcting deficiencies in policies and practices. Those who propose first-order change assume that the existing goals and structures of schooling are both adequate and desirable" (p. 93). Cuban characterized second-order changes as those that "seek to alter the fundamental ways that organizations are put together because of major dissatisfaction with present arrangements. Second-order changes introduce new goals, structures, and roles that transform familiar ways of doing things into novel situations to persistent problems" (pp. 93-94).

Fink and Stoll (1998) described three forces that contribute to the maintenance of continuity in schools, namely teacher resistance, contextual constraints and time for maintenance. They describe that teacher resistance is natural and predictable when teachers are left out of the policy debate and formation process and when their work is guided by the 'practicality ethic'. Research in this area has shifted from an earlier emphasis on teacher as being resistant to change to an emphasis on those structures that place limits on their possibilities for teaching and learning and also to the role of personal attributes. Contextual constraints include educators' versus community conceptions of schooling; the role of the school's community (school boards, governing bodies

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i.e.); district bureaucratic structures, teacher unions and national or state

assessment policies. The concept of maintenance force warns that since "not all

change is improvement … the pace, timing and appropriateness of each particular

change needs to be consider carefully" and that the "maintenance of existing

policies, practices and structures is an important part of school's development"

(Fink & Stoll, p. 301). The challenge lies in attending to both forces of change

and continuity. Fink and Stoll cite four approaches to educational change – school

improvement, school effectiveness, school restructuring and reculturing –

(previously mentioned) and discuss six areas that make educational change

challenging, yet exciting – alternative views on teaching and learning, learning for

an uncertain future, conceptions of leadership, assessment of change, the

importance of teachers' lives and teachers and micro-politics. These claims

underscore the critical necessity of school reculturing as a force of integration and

connection. Fink & Stoll (1998) aptly highlight this necessity:

> This 'post-modern' world is a world of diversity, uncertainty and confusion. It is also a world open to human creativity, intuition and sensitivity. Reculturing as an approach to change seeks to find the ecological connections among the purposes of education, the organizational values of schools, as well as its structures, cultures, leadership, and the work and lives of teachers. It is a promising avenue to change but one which is very much in its infancy, with many unanswered questions" (Stoll & Fink, 1998, p. 318).

Perspectives/Approaches

One additional way researchers and theorists have attempted to define change is by adopting various perspectives and/or approaches. For example, Chin and Benne (1969) describe three basic perspectives for change: empirical-rational, normative-reeducative and power coercive. Empirical-rational refers to the "assumption that men are guided by reason and that they will utilize some rational calculus of self-interest in determining needed changes in behavior" (p. 35); this is the strategy that corresponds to the views of enlightenment and classical liberalism; in the normative-reeducative strategy "men are seen as inherently active, in quest of impulse and need satisfaction … man, the organism, does not passively await given stimuli as furthering or thwarting the goals of his ongoing action" (p. 43); this is the strategy that corresponds to the views of the therapists; and the power coercive strategy refers to the use of "political and economic sanctions in the exercise of power" p. 52); this is the strategy used by political institutions, administrative agencies and non-violent activists.

House and McQuillan (1998) examined educational change from three perspectives: technological, political and cultural. They define these three as follows:

> The *technological perspective* takes production as its root image or metaphor. Examples include concepts like input-output, specification of goals and tasks, flow diagrams, incentives and performance assessment. How to do the job is the dominant concern. The parent discipline is economic, and the primary

concern is efficiency. The *political perspective* takes negotiation as its underlying image. Key concepts include power, authority, and competing interests. The parent discipline is political science, and the primary concern the legitimacy of the authority system. The third perspective is the cultural, which rests on an image of community. Central concepts include cultural, values, shared meanings, and social relationships. The parent discipline is anthropology and the primary concern is cultural integrity. (House and McQuillan, p. 198)

House and McQuillan view the three mentioned above as an "interpretive framework for understanding change and innovation the schools" (p. 198). For a clearer picture of the factors and elements associated with each perspective, see the chart below.

Three Perspectives on School Reform

Technological	Political	Cultural
Production	Negotiation	Community
Systemic, rational process	Group conflict/compromise	Interaction of cultures
Knowledge of technique	Persuasion, inducement	Value change
Technique and outcomes	Power and authority	Meaning and values
Common interests and values	Conflict over interests	Conflict over values
Cooperation automatic	Cooperation problematic	Cooperation enigmatic
Innovation	Innovation in context	Context
Efficiency	Legitimacy	Autonomy

House and McQuillan (1998) emphasized that the fact that reformers and policy-makers choose the same perspective does not imply there is agreement in the approach. In addition, they assert that no single perspective could account for the explanation of events in a real world complexity. "Banks are not only economic institutions, but also have political and cultural aspects" (p. 199). That is, for those in education who study educational change, it is necessary to study interactions and identify factors the take place across multiple case studies and conceptual model or perspectives.

House and McQuillan (1998) cite the failed decentralization educational movement of the Chicago schools during the 1990s (indeed a reform solely from a political perspective) to demonstrate what happens when technical and cultural factors are not taken into account. "Eliminating such an obstacle to change did

not mean change would follow necessarily" House and McQuillan, 1998, p. 200).

They go on to mention the successes of Central Park East (CPE) Secondary

School in East Harlem, New York, Green Valley Junior/Senior High School (in

rural northeast) and the Dubuque Public Schools Expeditionary Learning Outward

Bound (Iowa) reforms to demonstrate what happens when three dimensions are

taken into account. For example, the vision, mission and design of Central Park

East Secondary School in East Harlem illustrates how school reform was targeted

from the three perspectives: political, cultural and technological. House and

McQuillan (1998) describe it:

> Politically, CPE accepts only volunteer teachers and students,
> eliminating much political conflict. In order to do this, it was
> necessary to secure the approval of the higher authorities.
> Secondly, the CPE reform makes the establishment of a new
> school culture a high priority. The small size allows direct
> influence and makes possible the agreement of the entire faculty on
> critical issues. Finally, there is integral teacher training. In the
> oral exams, students demonstrate competence, and the teachers
> learn from each other. They can view each other's work House
> and McQuillan, 1998, p. 202).

Along the same lines, Sashkin and Egermeier (1992) identify three major

perspectives on educational change: (1) rational-scientific or R and D perspective,

(2) the political perspective, and (3) the cultural perspective. The rational-

scientific or research and diffusion (R & D discussed earlier) perspective was the

dominant approach in the study and practice of change and improvement in

schools from the late 1950s to the 1970s. The logic is very simple. "It assumes

that people accept and use information that has been scientifically shown to result in educational improvement" (Sashkin & Egermeier, p. 2). The political perspective was the dominant approach in the study and practice of change and improvement in schools during the 1980s. This logic was also fairly straightforward. It was to "mandate certain changes and outcomes, often by law. It was then assumed that the changes would be made" (Sashkin & Egermeier, p. 2). It comprehends the "major top-down, state-level reforms that followed shift in initiative from federal to state levels" (Sashkin & Egermeier, p. 2). This perspective was guided by the utilization and imposition of various policy instruments by those on upper-level positions towards those at the lower-level positions. McDonell and Elmore (1987) identify four policy instruments used by states: mandates, inducements, capacity building, and system changing. The third perspective, namely cultural, was the dominant approach in the study and practice of change and improvement in schools during the 1990s. It "emphasizes changes in meanings and values within the organization undergoing change" (Sashkin & Egermeier, p. 2). Recently, the cultural perspective has heavily influenced many of the current approaches to redesigning and restructuring school change and improvement. After reviewing three generations of approaches to school change, Sashkin and Egermeier identified four operational strategies for improving school performance:

> (1) Fix the parts, which involves improvement by adopting proven innovations of various types; (2) Fix the people, through training and development; (3) Fix the school, by developing school organization's capacities to solve their own problems; and (4) Fix the system, by reforming and restructuring the entire enterprise of education, from the state department of education to the district and the school building. (Sashkin & Egermeier, 1992, p. 3)

Sashkin and Egermeier (1992) organize and classify these approaches to change in this way:

Figure 2: Three Approaches to Change[64]

Chin and Benne (1969)	House (1981)	Sashkin and Egermeier (1992)
Empirical-rational	Technological	Fix the parts
Power-coercive	Political	Fix the people
Normative-re-educative	Cultural	Fix the school

The first operational strategy, 'fix the parts', focused on "transfer and implementation of specific educational innovations. The idea is to fix the ineffective or inadequately performing parts of schooling by implementing one or another new idea that, if used properly, will produce better results for students" (Sashkin & Egermeier, 1992, p. 3). This perspective is guided for the most on the rational-scientific R and D school change and improvement perspective. Hord (1992) lists a number of early studies on change (see chart below)[65] and adapted

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[64]Available online http://www.sedl.org/change/facilitate/approaches.html
[65]Available online http://www.sedl.org/change/facilitate/approaches.html#early

from Sashkin and Egermeier to support the 'fix the parts' approach and emphasize

that it needs the presence of an active local agent as well as assistance and

resources of an innovation for the change to take place.

Early Studies on Change

Pilot State Dissemination Project Seiber et al. (1972) noted that "effective adoptions were quite clearly related to interpersonal contact... [including] needed information but [also] extensive technical assistance" (p. 3).

RAND Change Agent Study McLaughlin (1989) cited strong leadership, high motivation and involvement of teachers, and long-term support as what worked in this study of four federally sponsored programs.

Project Innovation Packages Horst et al. (1975) reported that teachers involved in the Project Innovation Packages received packages but no other information or assistance, resulting in generally negative outcomes.

National Diffusion Network Emrick and Peterson (1978) reported favorable results when the new programs were accompanied by assistance and support, connecting users with specific innovations.

Research and Development Utilization Program Louis, Rosenblum, and Molitor (1981) indicated that "provision of high quality information, technical assistance... can be effective in promoting improvements in schools" (p. 5).

Experimental Schools Program

Doyle (1978) assessed that problems were underestimated and "knowledge about facilitators of change is usually ignored in this laudably successful effort" (p. 5).

Individually Guided Education Program
Klausmeier (1990) stated that the program was "widely acclaimed and used, until Federal support for professional development and technical support activities was withdrawn" (p. 6).

The second step, 'fix the people', focused on improving educational outcomes by "first improving the knowledge and skills of teachers and administrators, making them better able to perform their assigned roles" (Sashkin & Egermeier, 1992, p. 9). This is the professional development strategy. The third construct, 'fix the school', focuses "on the school as an organization" (Sashkin & Egermeier, p. 11). This operational strategy comes out of a field called 'organizational development' (OD). "OD efforts aim to help people in organizations learn to solve their own problems more effectively. The focus is on organizational problems rather problems dealing with just part of the organization or with certain technical skills of organizational members" (Sashkin & Egermeier, p. 11). The fourth strategy, 'fix the system', seeks to integrate the other three operational strategies into one. It is strongly aimed at cultural change. It is also known as systemic reform. Restructuring is a systemic reform approach. It "involves changes in roles, rules, and relationships between and among students and teachers, teachers and administrators, and administrators at various levels from the school building to the district office to the state level, all with the aim if

improving student outcomes" (Sashkin & Egermeier, p. 14). Restructuring has four components: decentralizing authority, changing accountability, changing instruction and developing new and more authentic ways of assessing the performance of students.

Hopkins et al. (1994) have organized, classified and compared these strategies and approaches to change (mentioned above) in relationship to Fullan and Pomfret's (1977) review of implementation studies. Their chart (see below) shows how the notions of fidelity, mutual adaptation and process illustrate a paradigm shift in thinking about educational change. Perhaps, a stronger discovery is that Fullan and Pomfret uncover how there has been a tremendous and radical shift in the way innovation, reform and change should be delivered, structured and defined. This paradigm shift has been from the technical or technological to the political and to the cultural.

A Comparison of Perspectives on Change and Innovation				
Perspectives	House	Bennis et al.	Fullan and Pomfret	Bolam
Technological	Innovation	Rational-empirical	Fidelity	Innovation
Political	Innovation in context	Power-coercive	Mutual adaptation	Change agent
Cultural	Context	Normative-rational	Process studies	User

In the same vein, others like Blenkin, Edwards and Kelly (1997) have examined educational change from six perspectives: technological, cultural, micropolitical, biographical, structural and socio-historical. The technological perspective (again the dominant view in the 1960s) "assumes schools to be rational organizations that are readily manipulated and easily changed. Teachers themselves are, at best, perceived as rational adopters who will readily recognize the value of, and therefore implement, the proposals they are offered …" (Blenkin et al., p. 216). The technological perspective is deficient because it assumes that innovators and teachers are similar in the way they construe practice; it assumes that the ideas of innovators are much better than those of the teachers; it ignores the not so technical meanings of school that impinge upon an innovation and simply label those as mere resistance to change and its view of the curriculum is one that is limited due to the its de-emphasized transactional approach. The cultural perspective "treats educational organizations as cultural entities" (Blenkin et al., p. 218). The cultural perspective says that meaning is the important issue. In contrast to the technological perspective, the cultural perspective re-defines resistance to change and views it as a "lack of congruence between the existing school culture and the culture embedded in the change proposals. The micropolitical perspective is concerned with "the distribution of power in educational institutions" (Blenkin et al., p. 221). The biographical perspective "emphasizes the way in which change impinges upon the lives and careers of

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practitioners and how the two phenomena interact" (Blenkin et al., p. 223). From this perspective, resistance to change can be explained as a loss of the meaning of those normative beliefs and values that offer stability. Change "challenges these largely taken-for-granted structures of meaning and by implication, threatens the professional identities of teachers. The structural perspective assumes that the "process of schooling is embedded in, and a reflection of, wider economic, social and political structures" (Blenkin et al., p. 225). Structural changes can be done at the macro level (policies) or at the micro level (schools). Finally, the socio-historical perspective centers on the work of Goodson. The socio-historical perspective seeks to answer "where subjects came from and why they were as they were" (Goodson, 1987 cited in Blenkin et al., p. 227). Basically, the socio-historical perspective on change seeks to analyze and interpret the process of curriculum change.

    In addition to these perspectives and although not from the educational change field of study per se but from an organizational/administration science standpoint, Bolman and Deal (1997) advocated and examined change in organizations by using a four-frame model. Bolman and Deal have consolidated organizational behavior in schools into these four frames: structural, human resource, political and symbolic. For a clearer picture of these four frames and what they entail, see the following chart (Bolman & Deal, p. 15).

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Overview of Bolman and Deal (1997) Four-Frame Model

	Structural	Human Resource	Political	Symbolic
Metaphor for organization	Factory or machine	Family	Jungle	Carnival, temple, theater
Central Concepts	Rules, roles, goals, policies, technology, environment	Needs, skills, relationships	Power, conflict, competition, organizational politics	Culture meaning, metaphor, ritual, ceremony, stories and heroes
Image of leadership	Social architecture	Empowerment	Advocacy	Inspiration
Basic leadership challenge	Attune, structure to task, technology, environment	Align organizational and human needs	Develop agenda and power base	Create, faith, beauty, meaning

Bolman and Deal (1997) refer to the structural frame as one that "emphasizes goals, specialized roles and formal relationships" (p. 13). The challenge here is for the structure to fit the situation. Bolman and Deal state that the human resource frame "sees an organization as much like an extended family, inhabited by individuals who have needs, feelings, prejudices, skills and limitations" (p. 14). The design should have an organization that appeal to the sensitivities of people while it helps them to accomplish their tasks. Bolman and Deal state that the political frame "sees organizations as arenas, contests, or

jungles" (p. 14). Further barriers are the equal and balanced allocation of power

and resources that are scarce. Finally, Bolman and Deal state that the symbolical

frame "treats organizations as tribes, theaters, or carnivals. It sees organizations as

cultures, propelled more by rituals, ceremonies, stories, heroes, and myths than by

rules, policies, and managerial authority" (p. 14). The challenge here is to

resurrect and nurture the symbols, ceremonies and rituals that give life to the

organization and to ensure that people are playing their part accordingly.

*Connecting Definitions and Perspectives on Educational Reform and Change to
Michael Fullan*

These definitions and perspectives described above represent ways of

describing and classifying educational reform and change. At best, researchers

and theorists have attempted to describe the nature and complexity of changes.

The theories described above directly and explicitly state or imply the notion of a

paradigm shift (Kuhn, 1972). In other words, theorists' and researchers' attempts

at viewing change and reform in organizations (particularly directed at education)

imply the presence of a substantial shift and almost radical innovation, reform and

change as necessary and desirable. Generally, this paradigm has shifted from the

technical or technological to the political and cultural.

Fullan's (1991) groundbreaking work *The New Meaning of Educational*

Change is an integral component of this paradigmatic revolution about education

innovation, reform and change. Fullan stated that educational innovators should attend to implementation as a process, rather than a mere event. Fullan stated that educational reformers should not focus their efforts on the local or the national scenes and realities, although both pictures should be examined and taken into account. Fullan (1991, 2000) claimed that system and large-scale educational reform is the avenue. Finally, Fullan stated that the realities of every human participant in the change process should be the focus of educational change. Change is about implementation, large-scale reform and the stake-holders. The above literature review enables a study of Fullan's work in order to clarify the themes that dominate his work in each of these areas (mentioned above) and *how* are these treated in his work. To complement this thematic (content) analysis, an interview of Fullan himself will help to clarify key ideas, experiences, persons and events that have inspired him to write about these topics as well as *how* these have shaped his thinking about change over time. What follows will be an historical overview of the development across decades from 1960 – 2008.

Michael Fullan – Doctoral Study at The University of Toronto and The Ontario Institute for Studies in Education (OISE): The 1960s

The birth of Fullan as a scholar dates back to 1969. It was during this year that the University of Toronto Department of Sociology granted Fullan the Doctor of Philosophy degree. His dissertation was titled *Worker's Receptivity to Industrial Change in Different Technological Settings*. Its main purpose was "to

investigate whether or not the orientations of manual workers to their work, and in particular, to industrial changes vary by type of technological environment" (Fullan, 1969, p. 1). His argument was that "factors concomitant with variations in these types of technology (namely, craft, mass and continuous process production) are significantly related to workers' orientations to their work and to technological change" (Fullan, p. 1). In order to theoretically approach this topic, organize and classify variables in a systematic manner, Fullan grounded most of the subject and discussion of his dissertation on the work of sociologist Talcott Parsons.

Fullan (1969) examined not only the situation, but also the orientation of the actor (worker in this case) to that situation. In short, as it was stated that "action or behavior is the joint product of the orientation of the actor and the situation in which he finds himself" (Fullan, p. 2). In addition to the work of Parsons, Fullan's dissertation took on an approach that differed substantively from German sociologist Marx in at least two ways. Whereas Marx highlighted objective consequences of types of production, Fullan sought to first emphasize workers' perceptions and evaluations, "their subjective definitions of the situation, as the most relevant consequences" (p. 3), and secondly to argue that this subjective phenomena is not "caused solely by type of technology, but rather a function of the interdependence of the main types of factors identified in the theory of action identified above" (Fullan, p. 3). In a nutshell, Fullan set out to

explore and examine the "worker's relationship to the technological process (nonsocial) and to the various levels of the organizational system (social)" (Fullan, p. 2).

Drawing from large survey of workers in the 1968 Prime Minister Pearson's Task Force on Labour Relations for the Federal Government of Canada carried out at the time by senior investigator Jan J. Loubser, Fullan (1969) collected data from the following industries: automobile, electrical equipment, oil and printing. Fullan hypothesized that the meaning of the worker's relationship to industrial change was the outcome of "viewing ... attitudes as the joint product of the orientations of workers and factors in the situation" (Fullan, p. 27). In general, his findings supported this hypothesis. Workers' receptivity to industrial changes in multiple technological settings was associated with five factors: work group, supervision, labor-management relations, status structure and identification with and evaluation of the company (Fullan, 1970; 1972). These findings showed that "the specific orientations to work were important determinants of attitudes toward actual industrial changes, but the general orientations [job change, general change, open mindedness and optimism] did not show any meaningful relation to evaluation of these changes" (Fullan, 1969, p. 279). Perhaps, the most significant implication of this study is the orientational and situational nature of worker's perceptions and evaluations:

Although the general orientations were of limited value in explaining attitudes toward specific changes, the specific perceptions and evaluations of various aspects of work by respondents were highly significant. I had defined these perceptions and evaluations as an outcome of the interplay between previous orientations to work (e.g. need for control and need for meaningful work activities) and conditions of the work situation. It is this emphasis on the <u>interdependence</u> of orientational and situational factors that distinguishes my approach from that of Marx who not only focused on objective consequences but also tended to view modes of production as the sole determinant. (Fullan, p. 279)

Fullan completed his dissertation at the University of Toronto under the supervision of Loubser. Talcott Parsons was teacher and mentor to Loubser at Harvard University. These connections point to major sources of influences on the young scholar Fullan. Therefore, let us delve deeper into the roles and academic interests and contributions of Parsons and Loubser. Later, the researcher will briefly comment about their influences on Fullan.

Talcott Parsons (1902-1979)[66]

Parsons was an American sociologist. He was instrumental in establishing structural functionalism.[67] He advocated for a grand (general) theory for the analysis of society. After reviewing the works of Durkheim, Weber and Pareto in his work – *The Structure of Social Action,* Parson developed an overarching theoretical paradigm or system called AGIL. This stood for Adaptation, Goal

[66]Scott, J. 2007). *Fifty key sociologists: The contemporary theorists*. New York, NY: Routledge.
[67]Sedgwick, P, & Edgar, A. (2008). *Cultural theory: The key thinkers*. New York, NY: Routledge.

attainment, Integration and Latency pattern maintenance. These four subsystems

or functional imperatives were crucial to maintain equilibrium in an environment.

Each one has its role and importance. Adaptation implied that organizations have

plurality of goals and thus there is need for multiple resources. Goal attainment

implied that there will be incongruity between the system's inertia and the needs

that this situation triggers. Latency pattern maintenance implied that there is a

need for stability if it is hoped that changes will be institutionalized in a particular

setting. Latency pattern maintenance pays particular attention to values as the

contributing and formation factor of the goals of an organization. Finally,

integration implied that there is a need for mutual and continuous adjustment. In a

nutshell, Talcott Parsons was a functionalist theorist who saw society as a system

of interrelated and cooperating parts.

Jan J. Loubser

Loubser is a Canadian sociologist. Loubser earned his Ph.D. at Harvard

University under the tutelage of Parsons. Loubser has "thirty-eight years of

professional experience, including twenty-three years in international

development in both management and professional roles (of which nineteen years

were spent as a successful social and human development consultant), mainly

with the Canadian International Development Agency and the United Nations

Development Programme."[68] His main academic interests include: strategy

development, policy development, capacity development and other factors in

empowering people and creating enabling environments for all people,

communities and societies, with the aim of realizing their highest potentials and

the well-being of all. Loubser has served as advisor to various countries and

international organizations. Consistent with an integrated and cohesive socially-

based theory, Loubser states that his goal is to "contribute to the advancement of

the well-being of all people and the development of equitable, enabling societies

through consultancies in international development, focusing on holistic people-

centered development and community empowerment.[69]

Connecting Academic Background and Preparation at the University of Toronto

(The 1960s) to Michael Fullan

Careful analysis of Fullan's dissertation and beginning academic work

thereafter demonstrate the dominant academic paradigm of functionalism in

sociology and two of its key proponents Parsons and Loubser. In terms of being

the most dominant school of sociological thought at the time, it is stated that:

> Functionalism was the dominant paradigm within cultural
> anthropology and sociology throughout the first half of the
> twentieth century. At its most basic, it attempts to explain any
> given social or cultural institution in terms of the consequences
> which that particular institution has for the society as a whole.

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[68]Available: www.undg.org/archive_docs/2117-Curriculum_Vitae.doc.
[69]Available: www.undg.org/archive_docs/2117-Curriculum_Vitae.doc.

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(Functionalism is therefore an alternative to historical accounts of the emergence of institutions or societies.). Functionalist explanation assumes that all institutions ideally participate in maintaining the stability of the society, and thus in reproducing the society from one generation to their next. Society, in accord with a frequently used analogy to a biological organism, is assumed to have the property of homeostasis, which is to say the various parts of their society work to maintaining the society as a whole. Thus, for example, the functions of the modern family are those of physically nurturing and socializing the young. The culture (including the morality, or norms and values of the society) is thus transmitted, largely unchanged, from one generation to the next, and the economy is provided with a supply of individuals who are capable of playing useful roles. (Edgar & Sedgwick, 2008, p. 134)

In this sense, Fullan's scholarship on educational change is functionalist. It attempts to examine and explore schools and systems in terms of the consequences they have for the whole. Thus, Fullan's writings always aim at whole system reform rather than specific individuals or initiatives. It thus becomes clear that the two functionalist theorists, namely Parsons and Loubser, have played a significant influence on Fullan's scholarship on educational change.

Parson's significance was two-fold: the emphasis on a general theory of social systems and its consequential role as a meta- and grand-theorist. On the other hand, Loubser was significant because of his attempts to link theory to action in his studies for the Canadian government. Both of these prominent figures influenced Fullan as a scholar of educational change in the sense that they provided the intellectual underpinnings for not only a theoretical, but also a

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practical worldview of the functions of systems and their relationships to the individuals that comprised it.

Michael Fullan – Implementation-Missing on Educational Change: The 1970s

This section examines the development and evolution of Fullan's theory of educational change by focusing on his writings during the 1970s. The core idea running through Fullan's writings in the 1970s is the realization that 'implementation' was missing. This section highlights that Fullan realized the lack of the 'implementation' perspective through three avenues: (1) transitioning from sociology into education; (2) identifying and defining educational reform eras and (3) documenting problems and issues within both the sociology of change (diffusion) and educational innovation literatures.

The 1970s marked the birth of Fullan as a scholar in the field of educational change. In fact, during the early 1970s, Fullan shows up by pointing out the lack of 'implementation' perspective in the educational innovation literature. Fullan recounted his own experiences:

> I was extremely fortunate to begin my career in the late 1960s at a time when the field of 'implementation' was literally being born. Professionally speaking, I grew up together with implementation over the past three decades.
>
> Around 1970, almost overnight, innovation got a bad name. The term *implementation* – what was happening (or not) in practice – came into good use. Goodlad's (1970) *Behind the Classroom*

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Door, Sarason's (1971) *The Culture of the School and the Problem of Change*, Gross' *Implementing Organization Innovations (1971),* and Smith and Keith's (1971) *Anatomy of Educational innovation* exposed the problem. People are adopting innovations without asking why, and usage was assumed to be happening (but, as the above authors documented, the little was changing in practice).

I had an opportunity to develop some of my own ideas when I was invited to put together as guest editor, a special issue of *Interchange* on the theme Innovations in Learning and Processes of Educational Change. This resulted in an extensive introductory essay entitled 'Overview of the Innovative Process and the User.' Some of the first ideas leading eventually to the concept of 'meaning' were formulated in this article. My starting point was to say that the problem with much of the literature at the time was that "the focus is on the innovation rather than the user" [parent, teacher, and student]. (Fullan, 1972, p. 4 as cited in Fullan, 1998g, pp. 215, 217)

The main conclusion is that the model process of change whereby innovations are developed external to schools and then transmitted to them has led to no significant change at the user level ... The most important general point is that there is a misplaced emphasis in the innovative process in that those affected by the changes are dependent on the process instead of the process being dependent on them ... Radical change can come only as a consequence of complete revamping of the role of the user in the process of change. (Fullan, 1972b, pp. 1, 15-16)

Transition from Sociology to Education

Transitioning from sociology into the field of education is a consequence

of Fullan's expansive treatment of his own doctoral dissertation work at the

University of Toronto. Its title was "Workers' Receptivity to Industrial Change in

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Different Technological Settings" (Fullan, 1969). As noted earlier, Fullan's doctoral work attempted to find out whether or not the orientations of manual workers to their work, especially, to industrial changes vary by type of technological environment. Grounding his work on the theory of sociologist Parsons, Fullan concluded that the perceptions and attitudes of workers toward industrial changes in various technological settings were the products of both orientational and situational nature of the workplace itself. In short, Fullan argued that these orientational and situational factors were interdependent. Therefore, it was not surprising that this work advocated for and against worker integration and alienation respectively in various industrial-technological settings. These words (interdependence, integration, alienation) implied a call to help workers adjust to industrial changes.

In 1970, Fullan transitioned to the field of education by calling into question at the time the scarce research and theoretical development in conceptualizing adaptability to change capacity (Fullan, 1970a, b; Fullan, 1972a). To illustrate, Fullan and Loubser (1972) attempted to conceptualize the components of adaptive capacity. Grounded in the psychological and sociological literature at the time, they identified the major components of variation and selective variation in the adaptive functioning of individuals. Then, using the educational system as an illustration, Fullan and Loubser (1972) proceeded to analyze the relevance of education to the adaptive capacity of individuals. Here,

they concluded that they knew "very little about the casual relationship between education and adaptive functioning" (p. 279) for two reasons, namely that "most of the researchers who have investigated the effects of education have been content to rely on standardized achievement results… [and] that it is impossible to distinguish the effects of early socializing from the effects of the school on capacity outcomes" (Fullan & Loubser, 1972, p. 279). Consequently, determined to investigate the role education plays in adaptive capacity components, Fullan and Loubser maintained that a focus on the educational system is valid and justified by the position that:

> … it is sounder strategically to focus on the educational system because school arrangements are potentially more manipulable. In fact, recent school innovations such as individualized instruction, team teaching, flexible scheduling, and the open school are intended to increase the adaptive capacity of students. The goals implicit in these new developments, such as student self-direction, self-instruction in learning, critical thinking and problems-solving abilities, and capacity to gather, organize, and analyze new material and draw conclusions about it, are related very closely to the adaptive capacities discussed above. (Fullan & Loubser, 1972, p. 280)

In addition to trying to define the adaptive capacities of individuals, Fullan and Loubser (1972) considered the adaptive functioning of social systems. The rationale is that "there is a clear interdependency between the individual and societal levels" (Fullan & Loubser, p. 281). The complementary nature of differentiation and integration was discussed. While the former is described by the

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key concepts of specialization and autonomy, the latter is characterized by its

emphasis on communication and evaluation. Specialization and autonomy

facilitate variation. Communication and evaluation allow for selective retention or

"For selective rewards for those variations that contribute to the goals of the

system and increase the likelihood that adaptive responses will occur in the

system. These two processes together constitute the adaptive capacity of social

systems" (Fullan & Loubser, p. 282). This is demonstrated using the educational

system:

> First, as for the variation phase, a school system as one of its main
> goals may seek addition to ongoing programs designed to
> accomplish this goal, the school system must have mechanisms for
> systematically becoming aware of new and potentially more
> effective ways of attaining this objective. The school may
> accomplish this through the use of differentiated roles ... In
> addition it may attempt to reinforce this process by allocating
> portions of various person's roles (e.g. teachers) to this task.
> Whatever the case, the system must recognize the autonomy of
> these role activities and provide the incumbents with the necessary
> resources (time and facilities) to pursue this function. (Fullan &
> Loubser, 1972, p. 282)

The key for adaptive capacity of social system relies on a high degree of

both variation and selective retention. The problem in the educational system is

there is a high degree of variation coupled with a low degree of selective retention

as well as the lack of open communication mechanisms, efficacy measures and

rewards that pushed lots of innovations to become short-circuited and even

disused (Fullan, 1972b; Fullan 1973a; Fullan & Eastabrook, 1970).

Fullan transitioned from sociology into education by making the case that

there was a need for a full and systematic treatment of the relationship between

education and individual and systematic adaptive capacity. Fullan and Loubser

(1972) suggested broad parallel dimensions of both social system and individual

adaptive functioning. In fact, they argued for the interdependence of the

individual and social system's adaptive capacities. Using the educational system,

they advocated:

> …there is a reciprocal relationship whereby individuals with high adaptive capacity will influence the character and adaptive functioning of social systems and vice versa. Thus if we want to increase the adaptive capacity of the educational system (and consequently of society), we must develop educational organizations which permit variation, are capable of selective retention, facilitate the development of adaptive capacities of individuals within this system, and evaluate the individual and social products in light of individual and social objectives.
>
> It is clear, therefore, that education and adaptive capacity are interwoven at the individual and social levels in ways that defy reduction to unidirectional casual chains. (Fullan & Loubser, p. 284)

Identifying and Defining Educational Reform Eras

In addition to this scholarly transition from sociology into education,

Fullan arrives at the 'implementation' perspective[70] by identifying and defining

educational reform eras or periods in similar ways (Fullan, 1973a; Fullan, 1993d;

Fullan, 1999e; Fullan, Eastabrook & Hewson, 1973). In his extensive introductory

essay entitled 'Overview of the Innovative Process and the User', He (1972b)

documented the absence of the 'implementation' perspective by focusing on

school innovation research. Fullan defined the 1950s and the 1960s as not very

helpful for the research designs and type of measurements used:

> Much of the research on school innovation during the 1950s and 1960s is not very helpful because of the research designs and type of measurements used. The typical way to measure school innovations (from a predefined list) they had adopted over a given time period (e.g., Carlson, 1965). In other words, the dependent variable was reported adoptions of specific innovations. This variable was correlated with a variety of independent variable concerning individual, interpersonal, and system characteristics. Although this research has made some contribution to knowledge, that is limited because of the fundamental weakness of the measurement of the dependent variable.
>
> There are at least three serious problems with this measurement relating to the failure to (1) distinguish between adoptions and use in relation to the characteristics of educational innovations, (2) distinguish between the decision-maker and the user, or (3) measure the consequence or value of the innovations. (Fullan, 1972b, p. 5)

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[70]*see* Appendix 5A.

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Moreover, Fullan (1973a) points out the 'implementation' perspective highlighting the model process of change (the way in which innovations have been usually adopted and implemented) by grouping approaches to educational reform into five types. That is, Fullan classified educational change by noting various approaches.

> "The *innovations* approach is the most widespread and is characterized by an attempt to reorganize the existing school structure. This approach is exemplified by open-plan schools, flexible scheduling, differentiated staffing, and a variety of curricular reforms. The systems approach is a variation of the inputs and outputs. This approach is associated with such terms as performance contracting, accountability, behavioral objectives, and planning programming, and budgeting (P.P.B.S.). *Problem solving* is a third approach to educational reform. The emphasis is on the school or user group which engages in goal setting, seeking and selecting alternatives, and evaluating results supported by outside facilitators and resources. The fourth type concerns *alternative schools*. At first, alternative schools were outside the public systems. Recently they have been funded and approved as experiments within the system taking the form of "free schools" and of more "structured" alternatives. The fifth and final approach to reform, *de-schooling*, is to do away with school organization altogether and design more open, free-access learning opportunities. (Fullan, 1973a, p. 397)

In a slightly different fashion, Fullan, Eastabrook and Hewson (1973) identified the absence of the 'implementation' perspective by contrasting the 1960s and the 1970s' approach toward school innovations:

> The 1960s has been a period of ubiquitous innovative activity in educational institutions. The trend in the 1970s is toward

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accountability. The question being asked in the 1960s was how can we increase innovativeness. The question now being asked is how can we determine if innovations are worthwhile? (Fullan, Eastabrook, & Hewson, p. 64)

Documenting Problems and Issues: The Sociology of Change and Educational Innovation

A third and last way Fullan arrived at the 'implementation' perspective is through the documentation of problems and issues within both the sociology of change (diffusion) and educational innovation literatures. Fullan uses both theoretical and empirical studies (Eastabrook & Fullan, 1978; Fullan, 1972c; Fullan, 1973b; Fullan, 1978a, b, c; Fullan, 1979; Fullan & Eastabrook, 1973; Fullan, Eastabrook & Biss, 1977; Fullan & Pomfret, 1977).

In the sociology of change (diffusion) literature, Fullan's (1978a, b, c) reviews of the state of the art of Organization Development (OD) in education for the National Institute of Education is particularly groundbreaking. Likewise, Fullan and Miles' (1978) and Fullan, Miles and Taylor's (1978) assessments of the implications of OD for educational institutions were also groundbreaking. Basically, these were comprehensive assessments of the state of knowledge of OD in education and as it pertained to the nature and extent of use of OD in school districts in both the United States and Canada. Researchers wanted answers to the following four questions:

1. What is the extent of OD work in school districts across Canada and the united States?
2. How many OD consultants are active in education? What is their background and the nature of their activities?
3. What are the conditions or factors associated with sustained or successful OD efforts compared to less successful ones?
4. What policy and strategic implications derive from a thorough assessment of where OD is and where it is going? (Fullan & Miles, 1978, p. 149)

In order to answer these questions, Fullan, Miles and Taylor (1978) identified and gathered data on over 300 OD consultants and 76 school districts and three onsite case studies. The study of OD in schools was not only justified by the claim that "although OD has been applied to schools since the mid 60's…there were no comprehensive theoretical and empirical reviews of its use in education available" (Fullan, Miles & Taylor, 1980, p. 121), but also by the concern to determine its characteristics, use and impact. Moreover, this system-oriented change strategy for organizational self-development and renewal underscores the perennial dilemma in the study of change in people on whether or not the focus should be or is on the individual or the group, as Fullan and Miles (1980b) aptly described:

> This dilemma appears in even more complex form when we remember the fact that the groups in which most people work and learn are embedded in an organizational setting. Thus, when considering any effort to change or improve the way individuals are functioning, we must attend not only to their interaction with their work group(s) and to the group's functioning, as would be the case in 'stranger' groups, but to the role expectations for

individuals drawn from the surrounding organizational contexts, the relations between their groups and other groups, and so on. It is no longer the case that the individual and group change occurs in the context of efforts to improve the overall functioning of the organization. (Fullan & Miles, p. 223)

In their review of OD in schools, these researchers critiqued and clarified its values, themes and goals; identified and analyzed various practical models and characteristics; assessed its impact or outcomes on achievement, productivity and attitudes, and reframed OD by suggesting policy implications for educational agencies at all levels (Fullan, Miles & Taylor, 1980).

After much documentation and research into the nature and implications of OD in schools, they concluded that defining OD is not simple since OD was subjected to a great debate in the general literature (Fullan & Miles, 1980a). Rather, a revised definition of OD was presented:

Organization development in school districts is a coherent, systematically planned, sustained effort at system self-study and improvement, focusing explicitly on change in formal and informal procedures, process, norms or structures, using behavioral science concepts. The goals of OD included *both* the quality of life of individuals as well as improved organizational functioning and performance. (Fullan & Miles, 1980a, p. 246)

In addition to these OD studies, Fullan derived much of the need for an 'implementation' perspective from several empirical (although small) case studies of schools and educational actors (Eastabrook & Fullan, 1978; Fullan, 1972c; Fullan, 1973c; Fullan & Eastabrook, 1973; Fullan, Eastabrook & Biss, 1977). For

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example, in what appears to be his first case study Fullan (1972c) investigated the role that social relationships exerted upon the implementation of innovations in a secondary school (Thornlea School). Largely descriptive in nature, Fullan taped interviews of principals, teachers students and community members in order to examine the quality and frequency of particular innovations, the birth and development of this innovative secondary school, the social and administrative structure of the school as well as the conflictive nature of the plurality goals as evidenced by the various positions of multiple stakeholders. The main finding was that implementation should not ignore the social relationships of those expected to adopt and execute the innovations.

In another paper, Fullan and Eastabrook (1973) documented the need of role understanding by principals, teachers and students in the educational change process. This study, part of a large research project in more than forty Ontario elementary and secondary schools, underscored the reality that schools functioned as adopters and consumers of innovations that are nearly universalistic in nature and therefore deny the existence of other alternatives.

Besides the OD studies and these other case studies, Fullan and Pomfret's (1977) commissioned review by the National Institute of Education published in the Review of Educational Research represented his best attempt at documenting the lack of the 'implementation' perspective. Although this study is documented in more detail previously in the literature review chapter section under the

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innovation and diffusion period, it is essential to cite it here as a key scholarly

work in the development and evolution of Fullan's work. Fullan and Pomfret

focused on examining the 'black box' of implementation. Defining

implementation as "the actual use of an innovation or what an innovation consists

of in practice" (Fullan & Pomfret, p. 336), they sought to study how to ensure

that educational change took place. One way they sought to establish this was to

distinguish between fidelity and a mutual adaptation perspective. The major

argument is that implementation is a process that takes place within micro- and

macro-sociopolitical units. In sum, implementation is a process that demands a

redefinition and reassessment of relationships between stakeholders or users.

Summary

So far, I have attempted to examine the development and evolution of

Fullan's theory of educational change during the 1970s. I argued that Fullan's

writings during this decade are particularly characterized by the realization that

the 'implementation' perspective was missing in the corresponding educational

innovation and diffusion era. There were three ways Fullan came into contact

with the lack of this perspective. One was his transition from sociology into

education. Fullan made a persuasive argument that there was little

conceptualization in adaptability or change adaptive capacity. This transition is

completed when the role of education in adaptive capacity is investigated.

Another way to highlight the lack of implementation is to point out historical

efforts in education. Fullan provided a compelling case of the continuing failure

of educational innovations by describing different eras or periods of reform that

were marked by particular paradigms. One final way to come in contact to the

absence of implementation was through empirical and theoretical studies. Fullan's

studies demonstrated the importance of roles, social relationships and the

organizational realities of the users on the actual implementation of innovations.

To summarize, Fullan's writings during the 1970s acknowledged that attention to

implementation issues was critical and that its process-oriented nature demands a

broader reconceptualization and reexamination of stakeholders in education.

Michael Fullan – Meaning-Making on Educational Change: The 1980s

> *The problem of meaning is central to making sense of educational change. In order to achieve greater meaning, we must come to understand both the small and the big pictures. The small picture concerns the subjective meaning or lack of meaning for individuals at all levels of the educational system. Neglect of the phenomenology of change – that is, how people actually experience change as distinct from how it was intended – is at the heart of the spectacular lack of success of most social reform. It is also necessary to build and understand the big picture, because educational change after al is a sociopolitical process (Fullan, 1982c, p. 4).*

During the 1980s, Fullan highlighted the 'meaning' of educational change.

In his own brief professional biography, he stated:

> "The source of the next phase of conceptualization literally came to me in a flash. Early in 1980 I had just finished an Advisory

Group consultation at Far West Laboratory and was boarding a plane in San Francisco to return to Toronto. The plane was nearly empty and as I sat down the thought suddenly occurred to me that there was really no textbook that I could think of that dealt with the change process covering implementation. (Fullan, 1998g, p. 219)

This section continues to examine the development and evolution of Fullan's theory of educational change by focusing on his writings during the 1980s. The key idea behind Fullan's writings in the 1980s is his advocacy for considering the 'meaning' of educational changes. Fullan noted that the critical need to take into account 'meaning' by focusing on the following elements: a researching agenda for implementation; the sources, assumptions and processes underlying educational innovations; the roles of actors and stakeholders; the dilemmas inevitably present in educational change and the need to go deeper and wider to bring significant improvements on teaching and learning within schools.

Researching Agenda for Implementation

During the 1980s, Fullan laid out a future agenda for research on implementation (Fullan, 1981a; Fullan, 1982a, b; Fullan, 1985h; Fullan, 1987; Fullan, 1988; Fullan, 1989a, b). The main objective was to describe and review the current state of knowledge of implementation research. Reviewing and understanding and coping with the process of educational change required an examination of the causes of implementation. Fullan (1981a) claimed that defining implementation involves naming possible outcomes. These comprised

three: (1) non-change – where the "implementation has failed because it has resulted in no discernible change" (Fullan, p. 207); (2) the programmed approach – where "change has happened as measured by predefined criteria" (Fullan, p. 207), and (3) never-specified faithful implementation – where "changes have happened, can be described, but they reflect variations in use rather than faithful replications" (Fullan, 1982a, p. 207). In this case, Fullan (1982a) affirmed that it is difficult to define 'success'. Instead, what was needed was to highlight the main determinants of implementation outcomes. These causes are divided into two: the characteristics of the change effort and the characteristics of the institutional setting. The problem is that these characteristics are not always sound, needs-based or merit-oriented, defined and clear. This implies the need to focus and explain implementation research in a more explicit manner in order to "achieve desired outcomes ... to interpret and to improve the achievement of learning outcomes ... and to know how to address" particular problems (Fullan, 1982a, p. 213).

Other ways of laying out research for an implementation agenda are to focus on the evaluation of program implementation, the role of knowledge utilization as a strategy for school improvement, the value and significance of the school effectiveness literature, the limitations of staff development practices and the reshaping of teacher education (Fullan, 1980; Fullan, 1981b,c; Fullan, 1982d; Fullan, 1983a, b, c; Fullan, 1984b,c; 1985a; Fullan, 1987; Fullan & Connelly,

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1987; Fullan, Newton & McDonald, 1986; Fullan & Newton, 1988; Fullan, Wideen & Eastabrook, 1983).

Planning and evaluation of new models and programs demand critical attention to the implementation perspective (Fullan & Leithwood, 1980; Fullan, Miles & Anderson, 1988). To illustrate, Fullan's (1983a) evaluation of an experimental project in the United States provided valuable lessons for program implementation. On the planning side, Fullan concludes that there is a need for an explicit orientation to implementation that:

> …compels developers of innovations to be more precise about the operational components of their programs; targets specific in-service education, and follow-up assistance; stimulates the gathering of clearer, more useful information about what is happening in practice ... draws a direct causal link between the model, its quality of implementation and its outcomes, and forces developers and users to prepare more carefully for the introduction of new programs, and especially to be preoccupied with what is actually happening in practice during the initial attempts at using a program. (Fullan, pp. 224-225)

This brings developers and adopters together for a closer dialogue and exchange of ideas in the actual field of implementation and practice. The evaluation of program and curriculum implementation should not neglect this relational and social aspect if it intends to maximize school improvement (Fullan, 1985b, c, d, e, g; Fullan, 1989b).

In addition to the evaluation of program implementation, knowledge utilization was also advocated as another strategy for delineating the future research agenda. Knowledge utilization was discussed as a strategy for advancing

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school improvement through its use in the school district and personnel (Fullan, 1981b, c; Fullan, 1984c). The underlying assumption here was that individuals and groups internal to the district "are the most important agents for knowledge utilization" (Fullan, 1981b). Therefore, it can be identified that the research base about the knowledge utilization roles of personnel internal to the district has serious gaps and was underdeveloped. There was a critical need for a deeper and more intensive research about the roles of superintendents, district specialist/consultants, principals and teachers in knowledge utilization.

The future agenda for research on implementation was also driven by staff development and teacher education. These two research developments are a result of Fullan's (1985f) attempt at integrating theory and practice in teacher education. Fullan (1987) claimed that staff development failed for three reasons, namely (1) the problems of understanding staff development as change; (2) the confusion and differing assumptions about the goals of staff development; and (3) the neglect, regardless of one's assumptions, to attend to matters of 'how', that is, implementation-type questions, in addition to matters of 'what' (Fullan, p. 213). Staff development needs to be reframed as a process of learning. This takes place, it was argued, when four factors were taken into consideration: the role of leadership and the organizational culture at the school level (Fullan, 1986b) and the role of local authority/support agencies (Fullan, Anderson & Newton, 1986). Contrastingly, there was also a call for reform of leadership and the reshaping of

teacher education (Fullan, Wideen & Eastabrook, 1983; Fullan, 1986a; Fullan, Park, Williams, Allison, Waller & Watson, 1987).

For example, Fullan and Connelly's (1987) major review of teacher education in Ontario signaled a call for a major reshaping of the profession. This report consisted of six sets of major recommendations: schools for professionalism, administering the schools professionally, collaboration and the governance of teacher education, the continuing in-service education of teachers, pre-service teacher education and supervised reflective practice" (Fullan & Connelly, p. 59). The core idea behind this report is to push those in charge of teacher education to change the way they think about it by attending to the interaction and integration of theory and practice; quality of schooling and teacher education; knowledge and knowing, the meaning of being a teacher and the teacher as a professional and the career-long continuum.

A final way Fullan focused on the future research agenda for innovation was to advocate for school improvement strategies in addition to school effectiveness outcomes (Fullan, 1982c; Fullan, 1983c; Fullan, 1984a). To illustrate, Fullan (1985a) suggested change strategy implications arising from the school effectiveness literature. The issue at discussion here was that "despite a great deal of very good research on factors related to school improvement, we do not have much specific knowledge about how and why improvement occurs"

(Fullan, 1985a, p. 392). After reviewing four case studies of successful change,

Fullan stated that these cases illustrated:

> Change takes place over time; the initial stages of any significant change always involve anxiety and uncertainty; ongoing technical assistance and psychological support assistance are crucial if the anxiety is to be coped with; change involves learning new skills through practice and feedback ...; the most fundamental breakthrough occurs when people can cognitively understand the underlying conception and rationale with respect to 'why this new way works better'; organizational conditions within school make it more or less likely that the process will succeed and ... pressure through interaction with peers and other technical and administrative leaders. (Fullan, 1985a, p. 396)

In sum, Fullan (1985a) argueed that successful change occurs when the

psychological dynamics and interactions taking place among and between

individuals in schools are taken into account. After documenting the limitations of

the school effectiveness research, Fullan suggested what he understood at the time

to be the missing process variables in the school effectiveness literature. These

were a list of variables that explain the dynamics of the organization. They

explained how the factors operate and how to implement them in a particular

school. These included: leadership feel for the improvement process, values,

intense interaction and communication and collaborative planning and

implementation (Fullan, pp. 400-404). Two strategies for successful change are

highlighted: the innovation- and the school wide- change focus. The former

usually involves the identification, adoption, or development of specific proven or

promising new programs, while the latter is more comprehensive in that it

engages the whole school by attempting to change certain organizational

conditions. Fullan advised change agents to use the guidelines for both as a means

to accomplish improvements at the school level.

Fullan highlighted the meaning of educational change by focusing on a specific

research agenda for implementation that included program evaluation, knowledge

utilization, staff development, teacher education, and school improvement

strategies. In sum, getting at the meaning of educational change requires

promoting and advocating for research into innovation.

Sources, Assumptions and Processes Underlying Educational Innovations

In addition to this future research agenda, Fullan (1982c) addressed the

sources of educational innovations as another way of getting at the meaning of

educational change. This was clearly documented by highlighting the purposes of

educational reform as well as the specific problem of change, the character of

innovation and its ends. Fullan expressed that the purpose of educational reform is

two-fold:

> There are at least two major purposes to schooling: to educate
> students in various academic or cognitive skills and knowledge,
> and to educate students in the development of individual and social
> skills and knowledge necessary to function occupationally and
> socio-politically in society. Let us label these respectively the
> cognitive/academic and the personal/social-development purposes
> of education. Superimposed on these two main purposes in
> democratic societies is the goal of equality of opportunity and
> achievement – in John Dewey's phrase, "the opportunity to escape

from the limitations of the social group" in which one is born. (Dewey, 1916, p. 20 as cited inFullan, 1982c, p. 10)

Fullan (1982c) acknowledged the conflictive and political nature of advocating for a particular purpose of education. He recognized the struggle between internal and external sources of information when trying to assess whether schools are performing in their job or not. In addition, Fullan acknowledged the claims that family background is a strong determinant of academic success, as well as the growing body of research in school effectiveness showed that schools can make a difference. Between these two poles, Fullan pointed out the literature that claims that the democratic purposes of education are undermined by the capitalist order and its subsequent creation of hierarchical order as well as the hidden curriculum. However, Fullan adhered to a position that indicates that the "purpose of educational change is presumably to help schools accomplish their goals more effectively by replacing some programs or practices with better ones" (Fullan, p. 11). In contrast, in practical terms, Fullan stated that his academic interest and pursuit was to investigate the conditions under which educational change improves schools. This is why he made the following poignant observation about change:

> Change for the sake of change will not help. New programs either make no difference, help improve the situation, or make it worse. The relationship between change and progress, using accomplishments in the cognitive/academic and personal/social-development domains as criteria, can be most forcefully brought home if we ask: What if the majority of educational changes

introduced in schools, however unintentionally, actually made matters worse than if nothing had been done? Behind this theme is also the matter of the relationship between educational and societal change. There are certainly limits to what education can do for the life chances of individuals. While I am not interested in this book in the performance of the educational change system, it should be said that educational reform is no substitute for societal reform. The question is whether it can influence, respond to, or otherwise make a contribution to societal reform. The failure of educational change may be related just as much to the fact that many innovations were never implemented in practice (i.e., real change was never accomplished) as it is to the fact that societal, political, and economic forces inhibit change within the educational system. (Fullan, pp. 11-12)

This was one way in which Fullan focused on the sources of educational change. He delved into the classical and enduring dilemmas of what schools are for; the criteria that shall be used to evaluate its performance (internal vs. external) and his intentional pursuit to investigate the conditions under which educational changes take place.

Besides pursuing the sources of educational change through its purposes, Fullan (1982c) also laid down what he perceived to be the problems of change. Fullan called upon educators, researchers and policy makers to consider the difference between change and progress. Fullan wrote:

Implicitly, but rarely recognized, is the confusion between the terms *change* and *progress*. Resisting certain changes may be more progressive than adopting them, but how do we know? The key to understanding the worth of particular changes, or to achieving desired changes, concerns what I call; "the problem of meaning." One of the most fundamental problems in education today is that people do not have a clear, coherent sense of *meaning* about what educational change is for, what it is, and how it proceeds. Thus,

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> there is much faddism, superficiality, confusion, failure of change programs, unwarranted and misdirected resistance, and misunderstood reforms. What we need is a more coherent picture that people who are involved in or affected by educational change can use to *make sense* of what they and others are doing. (Fullan, p. 4)

It is important to notice that Fullan advocated for coherence and interdependence – words that were highly implicated in his dissertation work. This was about worker integration and interdependence. Fullan's position regarding the distinction between change and progress implied that the meaning of educational change should not be taken at face value, but rather examined through a process- and people-shared social lens. Related to this socially-based argument, Fullan (1982c) continued to talk about the sources of educational change by focusing on the character of innovations. His consideration took into account two major problems of innovations, namely: "The appropriateness/soundness of innovations which are introduced and the bias of neglect vis-a-avis needed changes which are never so much as proposed" (Fullan, p.15). He explained this two questions using open education as an example.

> One problem relates to whether open education is the most effective reform for particular communities in which it is introduced. The other and equally problematic issue is whether its lack of technical development and failed implementation harmed rather than helped children. (Fullan, p. 16)

A final way Fullan (1982c) set out to unpack the sources of educational change is by making a distinction between means and ends. His assumption here

was that there is no certainty as to what truly represent the purposes, possibilities

of implementation and actual outcomes of proposed changes. He suggested that:

> We should neither accept nor reject all changes uncritically. Nisbet (1969, 1980) has claimed that the "metaphor" is not a counter-metaphor of decay. Rather, the nature of educational changes should be examined according to the specific value, goals, events, and consequences which obtain in concrete situations. Educational innovations are not ends in themselves, but must be subjected to fundamental questions about their relationship to the basic purposes and outcomes of schools – a task made no easier but all the more necessary by the fact that the goals of education in contemporary society and the beast means of achieving them are simply not that clear or agreed upon. (Fullan, p. 22)

Fullan claimed that one way to understand the sources of educational

change was to note that educational innovations were not ends in themselves.

Something larger and broader was at stake here. Individual as well as institutional

development was the goal. In other words, Fullan's concern seemed to be to help

organizations and individuals learn to cope with change rather than deal with the

latest educational project. One question that remained here is that if the content,

character and nature of educational innovations are somehow compromised by the

complexity and diversity of human as well as socio-political systems, what then is

the work of the scholar of educational change? One possible answer may be the

pursuit of possible approaches for addressing the meaning of change by

examining the assumptions of innovations and its causes/processes.

Another way of defining the meaning of educational change is by closely

looking at its underlying assumptions. Fullan (1982c) introduced the planning, the

doing of and coping with change by suggesting those situations vary according to

the position and relation individuals found themselves in. Fullan also advised that

people coping with change should have a critical mindset. Favorability and

suitability of change should be criteria.

> The major initial stance should involve *critical assessment* of whether the change is desirable in relation to certain goals and whether it is "implementable." In brief, assess whether it is worth the effort, because it will be an effort if it is at all worthwhile. Several criteria would be applied. Does the change address an unmet need? Is it a priority in relation to other unmet needs? Are there adequate (not to say optimal) resources committed to support implementation (technical assistance, leadership support, etc.)? If the conditions are reasonably favorable, knowledge of the change process outlined in previous chapters could be used to advantage: for example, push for technical assistance, opportunities for interaction among teachers, and so on. If the conditions are not favorable or cannot be made to be favorable, the best coping strategy consists of knowing enough about the process of change so that we can understand why it doesn't work, and therefore not blame ourselves, and/or we can gain solace by realizing that most other people are in the same situation of non-implementation. We can also realize that implementation, in any case, cannot be easily monitored; for most educational changes it is quite sufficient to *appear* to be implementing the change such as by using some of the materials. In sum, the problem is one of developing enough meaning vis-a-vis the change so that we are in a position to implement it effectively or reject it as the case may be. (Fullan, p. 89)

In addition, Fullan (1982c) identified several assumptions that should

facilitate not only the unconscious sources of action of planners, but also the way

people experience change. These include:

> 1. Do not assume that your version of what the change should be is the one that should or could be implemented. On the contrary,

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assume that one of the main purposes of the process of implementation is to *exchange your reality* of what should be through interaction with implementers and others concerned;

2. Assume that any significant innovation, if it is to result in change, requires individual implementers to work out their own meaning. Significant change involved a certain amount of ambiguity, ambivalence, and uncertainty for the individual about the meaning of the chance. Thus, effective implementation is a *process of clarification*;

3. Assume that conflict and disagreement are not only inevitable but fundamental to successful change. Since any group of people possess multiple realities, any collective change attempt will necessarily involve conflict;

4. Assume that people need pressure to change (even in directions which they desire), but it will only be effective under conditions which allow them to react, to form their own position, to interact with other implementers, to obtain technical assistance, etc. unless people are going to be replaced with others who have different desired characteristics, resocialization is at the heart of change;

5. Assume that effective change takes time. It is a process of "development in use" unrealistic or undefined time-lines fail to recognize that implementation occurs developmentally. Expect significant change to take a minimum of two or three years;

6. Do not assume that the reason for the lack of implementation is outright rejection to the values embodied in the change, or hard-core resistance to all change. Assume that there are a number of possible reasons: value rejection, inadequate resources to support implementation, insufficient time elapsed;

7. Do not expect all or even most people or groups to change. The complexity of change is such that it is totally impossible to bring about widespread reform in any large social system. Progress occurs when we take steps (e.g., by following the assumptions listed here) which *increase* the number of people affected. Our reach should exceed our grasp, but not by such a margin that we fall flat on our face. Instead of being discouraged by all that

remains to be done, be encouraged by what has been accomplished by way of improvement resulting from your actions;

8. Assume that you will need a *plan*, which is based on the above assumptions and which addresses the factors known to affect implementation (see the section below on guidelines for action). Knowledge of the change process is essential. Careful planning can bring about significant change on a fairly wide scale over a period of two or three years;

9. Assume that no amount of knowledge will ever make it totally clear what action should be taken. Action decisions are a combination of valid knowledge, political considerations, on-the-spot decision, and intuition. Better knowledge of the change process will improve the mix of resources on which we draw, but it will never and should never represent the sole basis for decisions;

10. Assume that change is a frustrating, discouraging business. If all or some of the above assumptions cannot be made (a distinct possibility in some situations for some changes), do not expect significant change *as far as implementation is concerned.* (Fullan, 1982c, pp. 91-92)

In addition to the assumptions, meaning is also facilitated by attending to the causes and processes of educational changes. Fullan (1982c) proposed four broad phases in the change process. These are initiation, implementation, continuation and outcome. They key idea behind this explanation is that curriculum change and implementation is a process, not a single event (Fullan & Park, 1981). Basically, this implies that educational changes are shaped and affected by a myriad of factors, variables and determinants that are bound to appear and disappear at the beginning, in the middle or at the end of one stage or another.

Roles of Actors and Stakeholders

One way of exploring the meaning of educational change is by focusing on the multiple realities of stakeholders. This suggested an understanding of the meaning of change, its subjective and objective reality. Understanding meaning implies having an appreciation of the general societal problem as well as the meanings embedded in the innovation itself: what it means by learning; what the outcomes mean in relationship to school wide goals; what it means to students?, etc. Change means or involves loss, anxiety and struggle as well as progress. It must be experienced in such a way that people are able to connect to some sort of familiar, reliable and meaningful context and reconstruct their realities despite their natural conservative impulse. Finally, the origins of change need to be considered.

> Change may come about either because it is imposed on us (by natural events or deliberate reform) or because we voluntarily participate in or even initiate change when we find dissatisfaction, inconsistency, or intolerably in our current situation. (Fullan, 1982c, p. 25)

Thus, change in general is full of uncertainty, stress, overload and threats to an already established framework. When real change takes place, mastery and growth happens. Besides a general appreciation of the meaning of change, Fullan (1982c) explained the subjective and objective realities of those who experience change. The subjective meaning of educational change to teachers for example is one fraught with failures because of its rationalistic mode:

The rational assumptions, abstraction, and descriptions of a proposed new curriculum do not make sense in the capricious world of the teacher ... Many proposals for change strike them as frivolous—they do not address issues of boundedness, psychic rewards, time scheduling, student disruptions, interpersonal support, and so forth. (Lortie, 1975, p.235)

In short, there is no reason for the teacher to believe in change, and few incentives (and large costs) to find out whether a given change will turn out to be worthwhile ... Predictably, 'rational' solutions to the above have backfired because they ignore the culture of the school. (Sarason, 1971)

Two of the most popular, but in themselves superficial, solutions consist of the use of general goals (on the assumption that teachers should specify the change according to their own situation) and of voluntary populations (on the assumption that people who choose to participate will implement change). The result has been two forms of non-change: *false clarity* without change and *painful unclarity* without change ... At this stage, we can register the observation that in the subjective realm of change, false clarity occurs when people *think* that they have change but have only assimilated the superficial trappings of the new practice. Painful unclarity is experienced when unclear innovations are attempted under conditions which do not support the development of subjective meaning of the change. (Fullan, 1982c, pp. 27-28)

Not only the subject meaning of educational change needs to be captured,

but also its objective reality. Objectively, change is multidimensional. In practice

this means that:

The difficulty is that educational change is not a single entity ... There are at least three components or dimensions at stake in implementing any new program or policy: (1) the possible use of new or revised *materials* (direct instructional resources such as curriculum materials and technologies), (2) the possible use of new *teaching approaches* (i.e., new teaching strategies or activities), and (3) the possible alteration of *beliefs* (e.g., pedagogical

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assumptions and theories underlying particular new policies or programs). (Fullan, 1982c, p. 30)

Thus again, Fullan asked educators to consider the general, subjective and objective character and nature of the meaning of educational change. The conflicts, tensions and dilemmas posed by all these three realities point out the need to clarify the meanings embedded in change in education. Fullan (1982c) sought to explain the meaning of educational change by focusing on the roles that stakeholders in education played. He looked at the world of educational change from the perspective of the teacher, the principal, the student, and the district administrator, the consultant, the parent and the community as well as the roles that governments and professional preparation and professional development actors play in the public arena. In fact, in his critical introduction to Fullan's (1992) study of the implementation in the use of microcomputers in Ontario, scholar Huberman highlights Fullan's 'phenomenological' focus on the stakeholders:

> It is always intriguing when a sociologist, like Michael Fullan, insists on the importance of the meaning of change to those involved in its adoption and implementation. It has long been assumed in the 'school improvement' field that well-designed programmes or projects would find their way easily into school environments, where professionals could rationally weigh their merits ... What Fullan also underscores in this regard is that perceptions are often a function of the phenomenal world in which actors are living and that, as a result, the administrator's world may be very different from the teacher's world. (Fullan, 1992, p. 8)

Dilemmas Inevitably Present in Educational Change

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Fullan attempts to get at the meaning by laying out the future agenda of

educational change. A masterful manner of doing this was by highlighting

dilemmas or themes that are critical for educators. One way Fullan (1982c)

worded these was in terms of the tensions embodied in each. These concerned the

cognitive vs. social-development goals, fidelity vs. variation, privatism vs.

professional development, specific vs. generic capacity for change, time and

change, leadership and change, grandeur vs. incrementalism, meaning and

change, and school and society. Another way Fullan (1985a) explained this was to

discuss them as four difficult issues that are vexing to any strategy for successful

change, namely: "small- versus large-scale efforts; fidelity versus adaptation,

homogeneity versus variation in implementation and where to start, especially in

relation to formal plans" (Fullan, p. 404).

Summary

So far, the intention of this past section has been to capture the

development and evolution of Fullan's theory of educational change during the

1980s. While, in the 1970s, Fullan focused on the 'implementation' perspective,

during the 1980s, there is a clear, closer and deeper look at the meaning of

educational change. Fullan's theory on educational change shifts from an

overview of implementation to a more specific yet broader and larger view on the

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research, sources, assumptions, role understandings and dilemmas underlying

educational change efforts. He advocated for a research agenda on

implementation that takes into account program evaluation, knowledge utilization,

staff development, teacher leadership, teacher education and change-based

strategies to accompany the school effectiveness research base. Fullan also

critically examined some of the sources of educational innovations through an

analysis of the purposes of education as well as the problems and character of

innovations themselves. He makes a compelling argument that innovations are not

ends in themselves. In addition, he explored assumptions that undergirded the

educational change process. He was particularly critical of its rationalistic nature

and character. During this decade, there also appeared the publication that will

make Fullan known, *The Meaning of Educational Change*, a sort of encyclopedia

on educational change that portrays the causes and processes of adoption,

implementation and continuation. Additionally, in this publication, one witnesses

a major attempt at analyzing the key roles of key participants and their

organizational relationships. Finally, Fullan discussed the future of educational

change by addressing certain dilemmas.

To summarize, Fullan's writings during the 1980s acknowledged that

attention to implementation issues was critical and that its process-oriented nature

demands a broader reconceptualization and reexamination of stakeholders in

education. However, Fullan's writings during the 1980s underscore the necessity

of examining in detail the significance and meaning of innovation through

research and practice of the organizational and individual variables that can

facilitate school improvement

Michael Fullan – Capacity-Building on Educational Change: The 1990s

Linking the 1970s (the implementation perspective) and the 1980s

(meaning-making) reveal the limitations and possibilities of educational change

efforts. In fact, these decades signal the need to focus and promote capacity-

building, the focus of the 1990s. As it was stated by Fullan (1992):

> The concept implementation has revealed its own limitations. The very term connotes 'something to put in practice'. It focuses on the object of change thereby detaching it in artificial ways from people and their ongoing circumstances. It has a bias implying that innovations are externally introduced. Beyond implementation alters the lens from innovations per se to the day-to-day actions of individuals in organizational settings. There has been a move from implementation to individual and institutional development. The latter is more basic – second-order change into today's jargon. (Cuban, 1988)
>
> In individual and institutional development, how people and organizations cope with the daily demands of maintenance and change becomes the anchor point. Beyond implementation leads us to consider more holistic, and organic questions of how individuals and organizations can become better equipped to manage multiple changes are normal fare. Here success is not whether a given innovation is implemented, but whether the basic capacity to deal with change has developed. (Fullan, p. 113)

Thus, Fullan (1992) signals the need for change capacity knowledge. It is

about individuals and institutions acquiring capacity-building.

There are two dimension of capacity. One is what individuals can do to develop their effectiveness, despite the system so to speak; the other is how systems need to be transformed. (Fullan, 1998, p. 224).

In *Change Forces* and in the *What's Worth Fighting For* series there is a very strong advocacy that we cannot depend on or wait for the system to change:

We must then develop our own individual capacities to learn and to keep on learning, and not to let the vicissitudes of change get us down ... If more individuals act as learners; if they connect with kindred spirits; if more and more people speak out and work with those with kindred spirits; it is likely that systems will learn to change. (Fullan, 1998g, p. 224)

During the 1990s, Fullan focused on the capacity-building orientation.

Fullan (1998g) recounted:

We have now in the mid to late 1990s returned forcefully to the question of large scale, radical reform in education. We are more cynical by a long shot, but we are also more realistic about what needs to be done. I referred to the third phrase of my writing as the 'change capacity' period. It is not that capacity is a new concept. Indeed in the 1960s several initiatives by the National Institute of Education focused on the local capacity: organizational development (OD) similarly stresses organizational capacity. But capacity takes on deeper meaning when we combine what we have learned over that past twenty-five years. (Fullan, 1998g, p. 224)

This section explored the evolution of Fullan's theory of educational change by focusing on his writings during the 1990s. The central idea throughout this decade is change capacity. Simply stated, individuals and systems need to develop, nurture and sustain change capacity in order to be effective. Fullan's writing exhibited this change capacity theme through five themes: (1)

evolutionary and complexity/chaos theories, (2) moral purpose, and (3) linkages,

(4) teacher education and (5) leadership for change.

Evolutionary and Complexity Theories

One way Fullan justifies the need for change capacity is by addressing

change in organization through two theories: complexity (chaos) theory and

evolutionary theory. The paradoxical and postmodern nature and character of

society demands new ways to work with change:

> The paradox and complexity is that it makes things exceedingly difficult, while the answer lies within its natural dynamics – dynamics which can be designed and stimulated in the right direction, but can never be controlled.
>
> The jury surely must be in by now that rationally constructed reform strategies do not work. The reason is that such strategies can never work in the face of rapidly changing environments. Further, rapid change is endemic and inevitable in postmodern society – a system which self-generates complex dynamics over and over and over again.
>
> The old way of managing change, appropriate in more stable times, does not work anymore. Two theories in particular help us think differently about where we are at the end of the twentieth-century, and how we must approach the new millennium, – complexity theory and evolutionary theory. (Fullan, 1999a, pp. 3-4)

Furthermore, Fullan strongly claimed that "the forces of educational

change are so multifaceted that they are inherently unpredictable" (Fullan, 1994e,

p. 190). He explained:

How is change complex? Take any educational policy or problem and start listing all the forces that could figure in the solution and that would need to be influenced to make for productive change. Then, take the idea that unplanned factors are inevitable - government policy changes or get constantly redefined, key leaders leave, important contact people are shifted to another role, new technology is invented, immigration increases, recession reduces available resources, a bitter conflict erupts, and so on. Finally, realize that every new variable that enters the equation - these unpredictable but inevitable noise factors - produce ten other ramifications, which in turn produces tens of other reactions and on and on. (Fullan, 1993a, p. 19)

In this way, Fullan laid down his claim that educational change is complex and nonlinear and therefore not amenable to rational control. He added:

No amount of sheer brilliance, authority, or power could possibly resolve the problem of nonlinearity because it is organically part and parcel of the way complex societies *must* evolve. The rational trap, then, is to take as one's central purpose the strategy of making the system cohere objectively. (Fullan, 1996b, p. 421)

Fullan (1993a) also used the work of Senge (1990). Particularly a distinction is made between 'detailed complexity' and 'dynamic complexity'. Fullan explained:

Senge makes the distinction between 'detailed complexity' and 'dynamic complexity'. The former involves indentifying all the variables that could influence a problem. Even this would be enormously difficult for one person or a group to orchestrate. But detailed complexity is not reality. Dynamic complexity is the real territory of change: 'when "cause and effect" are not close in time and space and obvious interventions do not produce expected outcomes because other 'unplanned' factors dynamically interfere. And we keep discovering, as Dorothy in Oz did, that 'I have a feeling that we are not in Kansas anymore'. Complexity, dynamism, and unpredictability, in other words, are not merely things that get in the way. They are normal! (Fullan, p. 20)

Fullan prefers complexity rather than chaos theory because it is more accurately descriptive (Fullan, 1999a, p. 4). Complexity theory is described as a new science that "essentially claims that the link between cause and effect is difficult to trace, that change (planned and otherwise) unfolds in nonlinear ways, that paradoxes and contradictions abound and that creative solutions arise out of interaction under conditions of uncertainty, diversity and instability." (Fullan, p. 4)

In a nutshell, complexity theory implies that learning and adapting takes place under unstable and certain conditions. Therefore, "the solution lies in better ways of thinking about, and dealing with, inherently unpredictable processes (Fullan, 1997g, p. 33). In addition to complexity theory, Fullan (1999a) argued that change capacity is crucial due to our evolutionary development as a species. "Evolutionary theory of relationships raises the questions of how humans evolve over time, especially in relation to interaction and cooperative behavior. Both Ridley (1996) and Sober and Wilson (1998) trace the evolution of self-centered and cooperative behavior in animals and insects, and in humans. What makes humans different, says Ridley, is culture. Ideas, knowledge, practices, beliefs and the like enter consciousness and can be passed on 'by direct infection from one person to another" (Fullan, 1993a, p. 6).

The key point here is that cooperative individuals and groups thrive and are more successful than selfish ones. The assumption is that humans brings have the capacity for creating harmonious societies. The real question then becomes, in Fullan's eyes, "whether cooperative relationship serve a higher moral value while at the same time provide individuals or groups with advantages" (Fullan, 1999a, p. 7). In essence, Fullan claimed that the key to change capacity lies in collaborative rather than isolated cultures, which requires ongoing interaction. The outcome of this is healthy societies. At the societal level, Fullan says that this demands greater equality that is conducive to social cohesion. Another way of stating this is "how to achieve narrower economic income distribution and better social cohesion" (Fullan, p. 9). Political, moral and self-interested forces must converge for this to take place. Fullan strongly argued that evolutionary theory expects that:

> …the power politics of recognizing that social cohesion, better health and economic productivity are closely related ... some appeal to the common good and the welfare of others is essential ... we may all be better off if greater equity prevails. The results of inequality do not just affect the poor. It costs society more economically to pick up the pieces arising from poverty, and it is more difficult for all of us, including the rich, to live in amoral conflict-ridden societies. (Fullan, pp. 8-9)

Two related ideas or by-products of complexity and evolutionary theory are organizations as living systems and the role of knowledge creation in innovation. The key idea here is movement. Regarding living systems, Fullan

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(1999a) states that people and relationships are critical and crucial. "it is the quality of the relationships among organizational members, as they evolve, that makes for long-term success …'Companies die, [says De Gues] because their managers focus on the economic activity of producing goods and services, and they forget that their organizations' true nature is that of a community of humans" (Fullan, p. 3). The idea of movement also emphasizes knowledge creation.

> Knowledge creation is not easy at all. It is hard to define tacit knowledge. Knowledge must be sorted out in order to yield quality ideas. The best and high quality ideas must be then retained, shared and used throughout the entire organization. One lost caution about knowledge creation is to find ways to prevent groupthink. This happen "when people in a tightly knit culture go along uncritically with the group and/or squelch individual dissent ...Embrace a healthy respect for diversity and conflict is essential in addition to openness and learning orientation to the environment. (Fullan, p. 16)

In a sense, the key argument here is that change is inevitable and complex. Its barriers push educators to want to adopt, use and learn capacity-building strategies (Fullan, 1991a, b; Fullan, 1992f; Fullan, 1973).

Moral Purpose

Another way Fullan points out the need for change capacity is by attending to moral purpose. In his own brief autobiography, Fullan recalled how during the prewriting conceptualization of the *Change Forces* series he realized the significance and relationship of moral purpose to change.

The second big breakthrough was the realization that 'moral purpose' was a critical change theme. I had written about the difference between progress and change, but it wasn't until I realized that the core goals of change should be to make a difference, which was indeed a change theme – to make a difference is to make a change – which is in turn congruent with what the best of educators wanted to do. Moral purpose and change agentry made perfect partners. (Fullan, 1998g, p. 222)

So what does Fullan explicitly and specifically say about moral purpose in all of his literature? Before responding to this question, it is critical to note that Fullan calls for both moral purpose and spiritual leadership (Fullan, 1996a; Fullan, 1997d; Fullan, 2002k). Fullan (2002k) explains why these terminologies may be problematic and thus makes a distinction between the two.

Both terms –"moral purpose" and "spiritual leadership"– have problems. Defined literally, moral purpose is too narrow. Webster's defines moral as "of or related to principles of right and wrong behavior." Spirituality has religious connotations for many, although Webster's definition is "a life-giving force." I am going to use the somewhat cumbersome phrase "moral purpose writ large" to indicate we are talking about principled behavior connected to something greater than ourselves that relates to human and social development. (Fullan, p. 1)

Fullan (2002k) argues that not only educators need to be infused by spiritual and moral motives, but also insists that the key is have a clearer and less-mysterious idea of what we are talking about, and an accessible and achievable goal for the cultivation of most leaders, not just a few" (Fullan, p. 1). This is about transformative and attainable systemic leadership. From now on, Fullan drops the 'spiritual' term and focused on moral purpose. Therefore, the following excerpts

of his work pertain to this moral purpose rather than spiritual leadership or forces

although it is clear that undoubtedly Fullan is fully aware of the moral

connotations, assumptions and practical implications.

For Fullan, moral purpose means:

> A front-and-center commitment to making a different in the lives of all students, especially the disadvantaged… (Fullan, 1994e, p. 249)

> In summary, moral purpose – making a positive difference in the lives of all citizens… (Fullan, 1999a, pp. 11-12)

> Stated more directly, moral purpose – or making a difference – concerns bringing about improvements. (Fullan, 1993e, p. 12)

> The moral purpose is to make a difference in the lives of students regardless of background, and to help produced citizens who can live and work productively in increasingly dynamically complex societies. (Fullan, 1993a, p. 4)

> Moral purpose means acting with the intention of making a positive difference in the lives of employees, customers, and society as a whole. (Fullan, 2001h, p. 3)

> Moral purpose means acting with the intention of making a positive difference in the lives of employees, customers, and society as a whole (Fullan, 2001h, p. 3).

> Moral purpose is about both ends and means. In education, an important end is to make a difference in the lives of students. (Fullan, 2001h, p. 13)

> Moral purpose of the highest order is having a system where all students learn, the gap between high and low performance becomes greatly reduced, and what people learn enables them to be successful citizens and workers in a morally based knowledge society. (Fullan, 2003g, p. 29)

Moral purpose or the spiritual dimension of education reform involves elevating the debate and commitment to making a difference in the lives of all students. I believe that this goal has been latent in the hearts of many educators and citizens and is on the ascendancy. This is why Goleman's (1995) book on *Emotional Intelligence* become an instant million-dollar seller? Why do we see more and more books with the words soul, spirit, meaning in the title? The research Goleman presented has been accumulating for some years. The reason the book flew off the shelves was *timing*; it hit a concealed rich vein of discontent and hope. The majority of people, I think, are growing weary of conflict in society, the widening gap of the haves and the have nots, the cold hand of technology and other forms of impersonality and degradation of humanity. Instead, people have a deepening interior need to find and give meaning to life. (Fullan, 2005c, pp. 81-82)

Moral purpose, as we have discussed it, consists of raising the bar and closing the gap of students learning, treating people with demanding respect, and contributing to the social environment (e.g., other schools) (Fullan, 2005c, pp. 87-88). Perhaps, Fullan's most significant contribution in terms of moral purpose is his claim that this needs to be a quality of the system:

Moral purpose, defined, as making a difference in the lives of students, is a critical motivator for addressing the sustained task of complex reform. Passion and higher order purpose are required because the effort needed is gargantuan and must be morally worth doing. (Fullan, 2003a, p. 18)

Moral purpose will not add up if left at the individual level. (Fullan, 2003a, p. 18)

Reducing the gap between high and low performers at all levels (classroom, school, district, and state) is the key to system breakthroughs. (Fullan, 2003a, p. 18)

Focusing on gap reduction is the moral responsibility of all educators. They must then understand the bigger picture and reach out beyond themselves to work with others. (Fullan, 2003a, p. 18)

Reducing the gap in educational attainment is part and parcel of societal development in which greater social cohesion, developmental health and economic performance are at stake. (Fullan, 2003a, p. 18)

Mobilizing the untapped moral purpose of the public in alliance with governments and educators is one of the greatest advances to the cause that we could make. (Fullan, 2003a, p. 18)

If concerns for making a difference remain at the one-to-one and classroom level, it cannot be done. An additional component is required. Making a difference, must be explicitly recast in broader social and moral terms. It must be seen that one cannot make a different at the interpersonal level unless the problem and solution are enlarged to encompass the conditions that surround teaching and the skills and actions that would be needed to make difference. Without this additional and broader dimension the best of teachers will end up as moral martyrs. (Fullan, 2003b, p. 15)

In order for this to be accomplished, Fullan argued that moral purpose

must marry change agentry.

Moral purpose without change agentry is so much wishful valuing: change agentry without moral purpose is change for sake of change (Fullan, 1993a, p. 6).
Managing moral purpose and change agentry is at the heart of productive educational change. (Fullan, 1993a, p. 8)

Moral purpose is one of the change processes' strange attractors because the pursuit and pull of meaning can help organize complex phenomena as they unfold. Strange attractors do not guide the process (because it is not guidable, they capitalize on it." Without moral purpose, aimlessness and fragmentation prevail. Without change agentry, moral purpose stagnates. The two are dynamically interelated, not only because they need each other, but because

they quite literally *define* (and redefine) each other as they interact. (Fullan, 1993a, p. 18)

I have argued that moral purpose and change agentry, far from being strange bedfellows, should be married. They keep each other honest. They feed on, and fulfill one another. Moreover, together they are generative in that they have an in-built capacity to self-correct and to continually refigure what should be done. Not only are they effective at getting things done, but they are good at getting the *right* things done. (Fullan, 1993a, p. 18)

I have also claimed that moral purpose and change agentry separately, but especially in combination, are as yet society's great untapped resources for improvement. We need to make them explicit, and make them part and parcel or personal and collective agendas. We need to go public with a new rationale for why teaching and teacher development is so fundamental to the future society. (Fullan, 1993a, p. 18)

Ideas without moral purpose are a dime a dozen. Moral purpose without ideas means being all dressed up with nowhere to go. Power without ideas or moral purpose is deadly. Moral purpose and ideas with power means the train never leaves the station. (Fullan, 1999a, p. 82)

Certainly calls for reestablishing the moral foundation of teaching are warranted, but increased commitment at the one-to-one and classroom levels alone is a recipe for moral martyrdom. To have any chance of making teaching a noble and effective profession – and this is my theme here – teachers must combine the mantle or moral purpose with the skills of change agentry. (Fullan, 1993e)

The case for moral purpose and change agentry is also made in teacher,

principal and system leadership. Regarding teachers, it is stated:

Moral purpose is integral to conceptualization of teacher leadership. Good teachers always have been driven by moral purpose, but the image is one of the lonely martyrs soldiering on against all odds. I wish to make three additional observations. First, those small number of teachers who believe that their high

ideals and commitment are sufficient inevitably burn out, leaving no institutional residue for their efforts. Second, steps can and should be taken to articulate and push the moral purpose of all teachers. Third, pursuing moral purpose is a change theme, both in content (the substance of achieving moral purpose means making substantive changes) and in process (what you would have to do to create the conditions to accomplish the changes). (Fullan, 1994e, p. 249-250)

The new image of the teacher, just around the corner, is the moral change, who has the ability to acquire new knowledge and work with change continually, all the while committed to making a difference in the lives of students. Teachers are expected to create a climate conducive to that kind of work and to plug into wider learning networks, some of them electronic. Teachers are expected to help shape as well as work in collaborative organizations and specific partnerships. (Fullan, 1993a, p. 18)

The change agent is a lifelong learner, but sees the teacher's role in broader terms. The change agent teacher interacts with society, working with parents and agencies in different ways. The interaction may be on a small scale with parents or within the community, or on a large scale with global trends in new kinds of information and new developments in science. (Fullan, 1995e, p. 18)

Teachers are agents of educational change and societal improvement. (Fullan, 1993a, p. 11)

First, teachers of the future will make their commitment to moral purpose – making a difference in the lives of children – prominent, more active, more visible, more problematic. Many teachers have moral purpose now, but they do not conceptualize it that way. They do not give themselves the stature they deserve. They must push moral purpose to the forefront, but along with the other components described below. Otherwise it leads to frustration, burnout, cynicism or moral martyrdom (Fullan, 1993a, p. 80)

At the principal level, moral purpose:

If concerns for making a difference remain at the one-to-one and classroom level, it cannot be done. An additional component is required. Making a difference, must be explicitly recast in broader social and moral terms. It must be seen that one cannot make a different at the interpersonal level unless the problem and solution are enlarged to encompass the conditions that surround teaching (such as the collaborative school, chapter 4), and the skills and actions that would be needed to make difference. Without this additional and broader dimension the best of teachers will end up as moral martyrs. In brief, care must be linked to a broader social, public purpose, and the latter if it is to go anywhere must be propelled by the skills of change agentry. (Fullan, 1993a, p. 11)

Today, the teacher who works for or allows the status quo is the traitor. Purposeful change is the new norm in teaching. It has been bouncing around within teaching for the past thirty years. It is time we realized that teachers above all are moral change agents in society – a role that must be pursued explicitly and aggressively. (Fullan, 1993a, p. 14)

I claim that the moral imperative will never amount to much unless school leaders also take it on the road. Sticking to one's neck of the woods guarantees that the moral imperative will never exist in more than a very small percentage of schools. (Fullan, 2003g, p. 47)

The message of this chapter is that moral purpose is worthwhile on just about every meaningful criterion; it may not become activated on its own accord, but it is there in a nascent form to be cultivated and activated. I have argued elsewhere that moral purpose has a tendency to become stronger as humankind evolves (Fullan, 1999). Thus, in evolutionary terms, moral purpose has a predestined tendency to surface. Effect leaders exploit this tendency and make moral purpose a natural ally. Although moral is natural, it will flourish only if leaders cultivate it ...The most fundamental conclusion of this chapter is that moral purpose and sustained performance of organizations are mutually dependent. Leaders in a culture of change realize this. (Fullan, 2001g, p. 27-28)

At the system level, moral purpose concerns:

It is only by individuals taking action to alter their own environments that there is any chance for deep change. The 'system' will not, indeed cannot, do us any favours. If anything, the educational system is killing itself because it is more designed for the *status quo* while facing societal expectations of major reform. If teachers and other educators want to make a difference, and this is what drives the best of them, moral purpose by itself is not good enough. Moral purpose needs an engine, and that engine is individual, skilled change agents pushing for changes around them, intersecting with other like minded individuals and groups to form the critical mass necessary to bring about continuous improvements. (Fullan, 1993a, p. 40)

In either case, teacher as moral martyr, or teacher as powerless incompetent, *the system never changes.* (Fullan, 1993a, p. 76)

It should be clear that this is not just a matter of helping out a few schools. Rather, this is changing the whole system. If school leaders do not take their moral imperative on the road, system transformation will be impossible because you can't change the system from the center from weakly supported grassroots networks. The new moral imperative implicates all school leaders in a shared mission to improve all schools. (Fullan, 2003g, p. 59)

In examining moral purpose (Fullan, 2003b), I talked about how it must transcend the individual to become an organization and system quality in which collectivities are committed to three aspects of moral purpose: (1) raising the bar and closing the gap of student learning; (2) treating people with demanding respect (moral purpose is supportive, responsive, and demanding, depending on the circumstances); and (3) altering the social environment (e.g., other schools and districts) for the better. (Fullan, 2005c, p. 13)

Public value and moral purpose have always been the mission statements of democratic governments. This time it is different because the eight elements of sustainability, once pursued in combinations, compel all levels of the system to take moral purpose seriously. (Fullan, 2005c, p. 27)

As these selected readings demonstrate, Fullan underscores moral purpose as the primary driver behind educational change. Perhaps what is most significant about these claims is that moral purpose is not an individual and inner-directed force or trait. Fullan accentuated that moral purpose should be a collective, outer-directed and organizational quality. On the other hand, what may seem problematic here is that moral purpose remains unpacked in the sense that is not tied to the politics of education, the issue of power and the question of whose purposes, processes and ideologies give shape and form to the construction of moral purpose. In sum, while it is commendable to make moral purpose a system quality, it may be critical to point out that moral purpose is not that simple in a sector (education) where knowledge, access and power are heavily contested.

Linkages

The crucial need for change capacity is also underscored by the concerns of thinking about the concept of linkages or links (Fullan, 1990b; Fullan, Bennett & Rolheiser-Bennett, 1990; Fullan, 1990a; Fullan, 1992c; 1993c; d; Fullan, 1994b,f; Fullan, 1995c,h; Fullan, Lee & Kilcher, 1995; Fullan, Alberts, Lieberman & Zywine, 1996; Fullan & Quinn, 1996; Fullan, 1997h; Fullan & Newton, 1997; Fullan, Eastabrook & Biss 1997; Fullan, 1998b,f; Fullan & Watson, 1999). His writings attempt to link staff and institutional development, classroom and school improvement, top-down and bottom-up strategies,

educational change and teacher development and education and the new work of leadership and the evolution of change.

Fullan (1990b) argued that staff development is ineffective due to its technical and political character. "It takes a great deal of wisdom, skill and persistence to design and carry out successful staff development activities ... is a big business, as much related to power, bureaucratic positioning, and territoriality as it is to helping teachers and students..." (Fullan, p. 4). Staff development is also exceedingly difficult because it is often seen as the central strategy for school improvement and because it has the tendency of being artificially separated from its institutional contexts (Fullan, 1993b). Thus, it is no surprise that staff development as a strategy for implementation and as an innovation are limited perspectives for development and improvement. In the former case, the kind of assistance that is critical in large scale innovations is often lacking. In the latter case, mentoring and coaching are treated as innovations or projects or even as strategies. The problem is that staff development as an implementation strategy and as an innovation does not lead to development and improvement as a way of life in schools. Fullan (1990b) instead argued for staff development as institutional development. He tried to makes the case that it is about "changes in schools as institutions that increase the capacity and performance for continuous improvement ... [or] to refocus staff development so that it becomes part of an overall strategy for professional and institutional reform" (Fullan, pp. 11, 16).

Staff development needs to be rethought beyond discrete, unconnected projects. The key is to get to the core of the culture of schools and professional lives of teachers (Fullan, 1995b; Fullan, 1996c; Fullan, 1997b; Hargreaves, Davis, Fullan, Stager & McMillan, 1992; Stager & Fullan, 1992). The point here is to link the individual, the school and the district. "Those in staff development must think and act more holistically about the personal and professional lives of teachers as individuals ... work more organically with the school as an organization" (Fullan, 1990b, p. 22).

In addition to staff and institutional development, there is also call for classroom and school improvement (Fullan, 1992d; Fullan, Cassells, King, Kilcher & Stager, 1992; Fullan & Hargreaves, 1992b). School-university partnerships are one way of linking classrooms and schools. A three year experiment called The Learning Consortium with the University of Toronto attempted to do this (Fullan, Bennett & Rolheiser-Bennett, 1990; Watson & Fullan, 1992). This included a comprehensive framework to identify systematic links between classroom and school improvement. The overall goal was student engagement and learning through leadership and mobilization. The three core concepts were classroom improvement, teacher as learner and school improvement. Classroom improvement included: content, instructional strategies, instructional skills and classroom management. The teacher as learner considered technical repertoire, teacher as researcher, collaboration and reflective practices.

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Finally, school improvement featured collegiality, shared purpose, continuous improvement and structures which represented organizational conditions. The main point here concerns innovations, progress and systemic and cultural change. "Systemic and cultural change in schools as workplaces and in teaching as a profession are intimately linked; and these links represent a powerful route to educational reform ... innovations should be seen as points of departure or catalysts, rather than as things to be implemented ... [and] progress cannot be sustained by individual working alone no matter how energetic and skilled they be" (Fullan, Bennett & Rolheiser-Bennett, 1990, pp. 13, 19).

Links should also be made between top-down and bottom-up approaches and strategies in order to accomplish school and system improvement (Fullan, 1992b; Fullan & Miles, 1992; Fullan, 1995g; Fullan, Bascia & Stiegelbauer, 1997; Fullan, 1997c; Fullan & Hannay, 1998; Fullan, 1999b). Centralized and decentralized strategies are essential. The problem with top-down strategies is that they are "problematic because complex change processes cannot be controlled from the top" (Fullan, 1993b, p. 190). Bottom-up or local participation is also full of fundamental difficulties. "Two reasons why decentralization fails is because key aspects of authority are retained at the regional and central level … [and] it usually refers to structural elements (such as site-based councils), thereby missing the day-to-day capacities and activities that would make it work for school improvement" (Fullan & Watson, 1999, p. 2). Three examples of reform

strategies that illustrate some of these difficulties are site-based management,

school councils and technology. For example, reviews of school-based

management as a strategy for school improvement clearly document that "SBM

has failed to live up to its promise because as a general strategy, SBM fails to

specify and otherwise is unlikely to trigger changes in the chain of variables

linking [SBM] to student learning" (Leithwood & Menzies, 1998, p. 340 as cited

in Fullan & Watson, 1999, p. 4; *see* also Fullan, 1994a; Fullan & Watson, 1999).

What is needed instead is the idea of reculturing or a "process of increasing the

focus on core instructional goals, processes and outcomes by improving the

capacity of teachers and others to work together on these matters" (Fullan &

Watson, 1999, p. 6; *see* also Fullan & Hargreaves, 1998; Fullan, 1999a). The

point here is that instead of defining site-base management "as end in itself ... [the

focus should be on] developing professional learning communities, establishing

new capacities across the school and community, and developing broader

infrastructures that stimulate and support local development in light of national

goals ..." (Fullan & Watson, p. 11). In this sense, site-base management is both a

structural and cultural change (Fullan, 1994a). Still, there is a problem and that is

that literature on site base management documents what is effective, but lacks

adequate documentation on 'how' to obtain those changes. Based on their review,

Fullan and Watson recommend four sets of strategies to guide the further

development of SBM: (1) review and strengthen policies aimed at

decentralization; (2) review and build an infrastructure or sets of agencies whose main role is to stimulate and support local capacity at the school and community levels; (3) establish a data-gathering system aimed at developing 'assessment literacy' on the part of local and regional groups and (4) be simultaneously persistent and patient" (Fullan & Watson, p. 23). Again, the key overall argument here is that "site-base management is not an end in itself; not a short-term solution; not decentralization. Rather, site-base management is a means of altering the capacity of the school and community to make improvements; it is something that will require training, support and other aspects of capacity-building over a period of time; and it is local improvement in the context of natural goals and accountability" (Fullan & Watson, p. 25).

Similarly to site-base management, education reform strategies such as school councils and technology have the potential to illuminate why decentralized efforts fail (Fullan, 1992b; Fullan & Kilcher, 1992; Fullan & Quinn, 1996; Fullan, Miles & Anderson, 1997; Fullan & Smith, 1999). To illustrate, Fullan and Quinn (1996) made a distinction "between school councils as ends in themselves (the compliance orientation) and school councils as a means to the larger mobilization of a greater partnership between parents/community and school to enhance the learning of all students (the capacity-building orientation)" (Fullan & Quinn, 1996, p. 2). The tendency is for school councils to be ends in themselves. This is such "because it is easier to focus on mere compliance and not the way of

mobilizing greater partnerships that will actually enhance learning of students ... it

is harder, much harder to build new relational capacities between

parents/community and schools (Fullan & Quinn, p. 2). School councils should be

about capacity-building. This involves:

> to recognizing the mergence of school council as part of a systemic shift in the relationship between the communities and schools that is both inevitable and that contains the seeds of a necessary realignment with the family and other social agencies … that nothing motivates a child more than when learning is valued by schools and families/community working in partnership … [that subsequently] the principal's theory of change becomes much more powerful … [and] that ideas about diversity and conflict become a natural part of the creation of something new. (Fullan & Quinn, 1996, pp. 3-4)

This can be accomplished through the building of shared purpose; the

development of capacities; the creation of networks; and the provision of both

resources and mechanisms for evaluation and dissemination. Fullan and Quinn

(1996) stated that the lessons learned from the implementation on school councils

in the province of Ontario, Canada were that building capacity and resources are

essential; reaching out for knowledge and expertise both informs and reforms;

partnership and communication are powerful and critical; a balancing of

provincial directions and local solutions is key and that problems are our friends.

Just like site-base management efforts, the main theme here is that school

councils are about fundamental changes in the roles and relationships that play out

in schools and communities – "a deep cultural change" (Fullan & Quinn, p. 5).

One last example that can be either top-down or bottom-up is the use of technology. Fullan and Smith (1999) asserted that 'the more powerful technology becomes, the more indispensable good teachers are ... [because] this would not be the case if rote learning were the goal but it is especially the case when learners must construct knowledge and meaning in order to achieve deep understanding" (Fullan & Smith, pp. 2-3). In order for technology to lead to school improvement and student learning, Fullan and Smith made the case there is a need to examine technology and learning and technology and the problem of change. Technology must take into account the notion of a paradigm shift in the nature of learning. The other issue is that "teaching in a knowledge-building community represents a very sophisticated change for teachers and all those who work with them" (Fullan & Smith, p. 7). There is a need to examine three key aspects of this knowledge: the teacher as learner, organizational learning, and program coherence. Fullan (1991d) underscores the claim that mere use of materials was important but does not necessarily lead to changes. What were more important were the development of skills and practices and the acquisition of new beliefs. Teachers as learners is about redoing and rethinking. Technology and the implications of findings of cognitive science make teacher learning crucial.

The second aspect, organizational learning, means that schools should not restructure but also reculture. The key is about "focusing on student learning and student learning; linking knowledge of student learning to changes in instructional

practices; and working together to assess teachers and school leadership to make improvement" (Fullan & Smith, 1999, p. 9). It is about assessment literacy (Fullan, Bascia & Stiegelbauer, 1997). This entails the "capacity to examine student work and student performance data and make critical sense of this information; and to develop instructional and school improvement plans to make the kinds of changes to get better results — doing all of this on a continuous basis" (Fullan & Smith, 1999, p. 9). What is required is for schools to become learning organizations (Fullan, 1992e; Fullan, 1995g; Fullan, 1996b). One possibility to accomplish this is the use of teacher networks. However, one major risk of networks is that they may not "connect the individual learning to reculturing the whole school — without the latter new ideas will falter and disappear (Fullan & Smith, p. 9). One last aspect of teaching in a knowledge-building community is program coherence. The tendency is to introduce technology as another mere innovation and as "new machines and software, one-shot workshops at best, and generally the episodic infusion of new monies for technology unconnected to the curriculum let alone to whole school improvement" (Fullan & Smith, p. 10). The key is to work on program coherence, connectedness and synergy. Two major problems still characterize any major technological effort in education. One is that knowing the requirements of change does not equate how to get there in one's own situation, and the other is how to go to scale. For now, Fullan and Smith advised that technology, teaching in a

knowledge-building community and the change process needs to be connected. "To achieve any significant breakthroughs it is going to require that we marry the professional new examples of technology-based pedagogies with grounded knowledge in the complexities of bringing about reform on a large scale. The content of reform in technology and learning, and knowledge of the change process must feed on each other if substantial impact is to be achieved" (Fullan & Smith, p. 11).

Another strong link that needs to be examined is the connection between teacher development and education and the change process (Fullan, 1992c,d; Fullan, 1998c,e; Fullan, 1999c; Fullan, Galluzzo, Morris & Watson, 1998; Fullan & Hargreaves, 1992a; Fullan & Watson, 1992; Fullan, 1993d; Fullan, 1995f,i; Fullan & Watson, 1998; Fullan, Watson & Connelly, 1990; Fullan, Watson & Kilcher, 1997; Hargreaves & Fullan, 1999; Sheehan & Fullan, 1995;).

> Teaching is not yet a profession. The way we go about education reform is piecemeal, and is not likely to make a difference. The key to changing this is to link two sets of strategies: (a) those pertaining to teacher preparation and teacher development throughout the career, and (b) those related to school development. (Fullan, 1996c, p. 496)

Reshaping the professional culture of teaching demands that teachers not only have knowledge of change process, but also that they become moral change agents (Fullan, 2005e). Fullan (2005e) examines teachers in terms of their particular history, teacher development approaches, mentoring challenges and the

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moral and leadership content of their new professionalism (Fullan, 1993e; Fullan, 1994a,c,d,e; Fullan, 1995a,b,e,f; Fullan, 1996d; Fullan, 1997a; Hargreaves & Fullan, 1999; Stager & Fullan, 1992).

Fullan (1995e) reviewed the evolution of the teaching profession by change in the self and societal images. Accordingly, teachers wore several masks. They were guardians of democracy, innovators, jaded martyrs, life long learners and moral change agents.

> Teachers were seen as the guardians of democracy although the truth was the 'hidden curriculum' often maintained a strangehold on the values of obedience and uniformity. Citizenship and societal development was articulated and formulated through the progressive agenda by Dewey and his followers. (Fullan, 1995e, p. 16)

> From the early '70s to the mid '80s we entered a period of cynicism and discouragement. The wind had been taken out of the optimistic sails of a half generation of teachers for whom innovation hadn't worked, and the '70s felt somewhat jaded. Teachers who had been burned too often said, "We're going to be a lot more careful in the future," and toiled away on their own. (Fullan, 1995e, p. 16)

> By the 1980s parents, the media, policy makers, employers and many teachers had developed a strong feeling that the educational system was failing. The general public was increasingly dissatisfied not only with its performance, but also with its lack of accountability. With these very public demands for accountability, teachers easily saw themselves as martyrs appreciated by nobody, bombarded all the time, inheriting society's problems without the resources to address them, and then being blamed for failing. (Fullan, 1995e, pp. 16-17)

> A more current image of the teacher is the lifelong learner, or the continuous learner or the reflective practitioner, because the

information is so demanding and keeps growing year by year. The lifelong learner continually thinks, processes new knowledge and monitors students as active learners. (Fullan, 1995, p. 18)

The new image of the teacher, just around the corner, is the moral change agent, who has their ability to acquire new knowledge and work with change continually, all the while committed to making a difference in the lives of the students. (Fullan, 1995, p. 18)

The key idea here is not only to review the evolution of teachers, but to point out that teaching is not yet a profession. In order for this to take place, a change in self and societal image is needed. These changes must be part and parcel of educational reform. The way for school system to become model for the future is to recognize this and to build on the causal links to student learning, school improvement and teacher quality. System transformation and improvement cannot take place without the input of the teacher (Fullan & Hargreaves, 2000).

In addition to the evolution of the teaching profession, Fullan and Hargreaves (1992a) examined three approaches to teacher development. These consist of teacher development as knowledge and skills development; teacher development as self-understanding, and teacher development as ecological change. Training and improving the teaching force involves providing teacher opportunities to teach. One way of doing this is to "equip them with the knowledge and skills that will increase their ability to provide improved opportunities to learn for all their pupils (Fullan & Hargreaves, p. 2). Knowledge and skills development approaches have fundamental difficulties for several

reasons: they are "imposed on teachers on a top-down basis by 'experts' from outside their own schools ... the problem of undue confidence and certainty that is often invested in the findings of educational research ... [and as a result] this approach to teacher development forecloses teachers' disagreement with the methods to which they are being exposed ... [and] they overemphasize particular aspects of teacher development" (Fullan & Hargreaves, pp. 3-6).

Teacher development as self-understanding involves "changing the person the teacher is" (Fullan & Hargreaves, 1992a, p. 7). This is critical for three reasons: "one's development as a person progresses through different stages ... the human life cycle also comprises characteristics phases of development that embody typical concerns ... there are personal development issues specific to the teaching career itself" (Fullan & Hargreaves, pp. 7-8). However, the flip side is that humanistic approaches to teacher development have their limitations too. These may "overemphasize personal responsibility for change and draw attention away from controversial questions about the context in which teachers work, and the ways in which it enhances or inhibits personal or professional development. In this sense, it is argued, humanistic approaches to teacher development can be implicitly conservative" (Fullan & Hargreaves, p. 13). Finally, teacher development as ecological change implies that the nature of context is heavily critical. This ecological perspective is essential for two reasons: "the context of teachers' working environment provides conditions in which teacher development

initiatives succeed or fail ... and the context of teaching can itself be a focus for

teacher development" (Fullan & Hargreaves, p. 13). The key idea here is that

teacher development is not only acquiring the skills and knowledge. It is more

than that.

Educational change prompts us to examine the sort of person the teacher

is, the contextual conditions upon which they work. "Without an understanding of

the person, and without the most profound alterations in the bureaucratic,

andocentric, control-centered ways in which our schools and school systems are

run, specific staff efforts are likely to prove temporary and localized in their

impact, and unsuccessful in their overall effects" (Fullan & Hargreaves, 1992a,

pp. 16-17).

Mentoring represents another challenge in the quest for educational

change. Hargreaves and Fullan (1999) explored how teachers' concepts and

practice of mentoring have changed radically. There is a critical need to

understand and appreciate that the ultimate goal of mentoring is to transform the

teaching profession. In order for this to be accomplished, the evolution of

mentoring as a model of professionalism needs to be looked at. Hargreaves and

Fullan (1999)[71] explored this evolution by chronicling four ages: the pre-

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[71] Originally researched and fully examined by Hargreaves, A. (2000). Four ages of
professionalism and professional learning. *Teachers and Teaching: Theory and Practice, 6*(2),
2000.

professional age, the autonomous professional, the collegial professional and the

fourth professional age.

> In the pre-professional age, teachers are – at best – enthusiastic people who know their stuff and how to "get it across," and can keep order in their classes. They learn to teach by watching others do it, first as a student and then as a student teacher. In the pre-professional view of teaching, teachers need little training or ongoing professional learning. They learn refinements on the job, within the confines of the classroom which the teacher controls. Mentoring here is reduced to a few words of encouragement, perhaps a few management tips offered in the staff room – otherwise new teachers are on their own. This is scarcely mentoring at all. (Hargreaves & Fullan, 1999)

> In the autonomous professional age, the words "professional" and "autonomy" became increasingly inseparable among teachers. One of the overriding characteristics of teaching at this time was its individualism. Most teachers taught their classes in isolation, separated from their colleagues. Professional autonomy enhanced the status of teaching as the amount of teacher preparation was lengthened and salaries rose. But professional autonomy also inhibited innovation. (Hargreaves & Fullan, 1999)

> By the mid-1980s [in the collegial age], individual teacher autonomy was becoming unsustainable as a way of responding to the increased complexities of schooling, yet the persistence of individualism in teaching meant that teachers' responses to the challenges they faced were ad hoc, uncoordinated with the efforts of their colleagues and based on rates of development in their own personal knowledge and skill. At the same time, there were many reasons to create collaborative cultures – the knowledge explosion, the widening of curriculum demands, the increasing range of special education students in ordinary classes, and the accelerating pace of change. In today's schools, we see increasing efforts to build strong professional cultures of collaboration. Our research shows this helps teachers develop common purpose, cope with uncertainty and complexity, respond well to rapid change, create a climate of risk-taking and continuous improvement and develop stronger senses of teacher efficacy. (Hargreaves & Fullan, 1999)

Collegial professionalism has significant implications for initial teacher education, ongoing professional learning and mentoring, in particular: teachers must learn to teach in ways they have not been taught; professional learning is seen as a continuous process grappling with complex and evolving issues; continuous learning is both an individual responsibility and an institutional obligation; professional learning is not to be found in a choice between school-based and course-based modes of provision, but in an active integration of and synergy between the two; collegial professionalism means working with, and learning from, teaching colleagues; and teaching must be framed and informed by professional standards of practice that define what good teachers should know and be able to do, as well as what qualities and dispositions they should possess and display to care for and connect with their students. (Hargreaves & Fullan, 1999)

In the fourth professional age, the boundaries between institutions are dissolving, roles are becoming less segregated and borders are becoming increasingly irrelevant ... [and] teachers are having to learn to work with more diverse communities, to see parents as sources of learning and support rather than interference, to work more with other social agencies and so on. The content of professional learning now needs to become wider and deeper. It needs to encompass working with parents, becoming assessment literate in relation to standards and data about student learning, keeping up with scientific breakthroughs in the pedagogy of learning, rekindling the purpose and passion of teaching and working with others to bring about positive reforms in education. (Hargreaves & Fullan, 1999)

The development of mentoring in the new millennium requires that educators deal with four areas of the postmodern age and three key implications. Mentoring in the new millennium requires less hierarchical mentor relationships. Because teaching is an emotional practice, mentoring requires support as well as standards. It demands a professional learning community where teachers are open

and responsive to the judgment and opinions of others. Basically, this means that a space is provided where their practices are de-privatized and publicly scrutinized. It is about communities as well as classrooms. Mentoring also needs to pay attention to demographics. Large numbers of young teacher entering the profession for the first time while baby-boomer generations are retiring lends itself to refocus on the need for renewal. The strategic implications of mentoring in the new millennium are that it functions as instrument of school reculturing, connects to initial teacher education and ongoing school improvement and have a wider and broader comprehensive engagement of people and organizations that are directly and indirectly related so as to create opportunities to recreate the teaching profession. Educational change in the new millennium through mentoring is a function of mentoring moving into new directions, namely, **"**from focusing only on classroom work with students to developing the ability to form strong relationships with colleagues and parents as well; from hierarchical dispensations of wisdom to shared inquiries into practice and from being an isolated innovation to becoming an integrated part of broader improvement efforts to reculture our schools and school systems" (Hargreaves & Fullan, 1999).

Teacher Education as Moral Agentry

Two last challenges represent teachers as moral agents and leaders. Fullan (1993e) suggested that teacher education programs must link the moral purpose

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that characterizes their teaching candidates with the insights of the change

process. Fullan claimed that moral purpose and change agentry should become

natural allies. Principals and superintendents leading large scale literacy efforts

should rethink their mentoring practices and supports in terms of not only

expertise in a certain subject but also knowledge of the change process (Fullan,

2002a,c,i,m; Fullan, Leithwood & Laing, 2002; Fullan, Rolheiser & Edge, 2002;

Sharratt & Fullan, 2005).

> Stated more directly, moral purpose—or making a difference—
> concerns bringing about improvements. It is, in other words, a
> change theme. In addition to the need to make moral purpose more
> explicit, educators need the tools to engage in change productively.
> Moral purpose keeps teachers close to the needs of children and
> youth; change agentry causes them to develop better strategies for
> accomplishing their moral goals. (Fullan, 1993e, p. 2)

Fullan (1993e) argued that the new conception of teacher professionalism

that integrated moral purpose and change agentry required attention to: personal

vision-building, inquiry, mastery and collaboration. These are four crucial

ingredients for the redesign of teacher preparation programs. These four

ingredients link moral purpose and change agentry.

> In sum, the moral purpose of teaching must be reconceptualized as
> a change theme. Moral purpose without change agentry is
> martyrdom; change agentry without moral purpose is change for
> the sake of change. In combination, not only are they effective in
> getting things done, but they are good at getting the right things
> done. The implications for teacher education and for redesigning
> schools are profound. (Fullan, 1993e, p. 3)

One of the implications here is that teacher education institutions must become moral change agents. Fullan (1991c) claimed that faculties of education should only advocate for teachers and schools what they are able to practice themselves. Using a hypothetical 'best faculty of education in the country' metaphor, it was suggested that such a faculty would:

1. Commit itself to producing teachers who are agents of educational and social improvement;
2. Commit itself to continuous improvement through program innovation and evaluation;
3. Value and practice exemplary teaching;
4. Engage in constant inquiry;
5. Model and develop lifelong learning among staff and students;
6. Model and develop collaboration among staff and students;
7. Be respected and engaged as a vital part of the university as a whole;
8. Form partnerships with schools and other agencies;
9. Be visible and valued internationally in a way that contributes locally and globally; and
10. Work collaboratively to build regional, national, and international networks. (Fullan, 1991c, p. 2)

The core idea behind teachers as moral change agents is that teacher professionalism requires both moral purpose and change agentry. "Systems don't change by themselves" (Fullan, 1993e, p. 7). The new teacher professionalism requires the radical rethinking of teacher preparation, development and education grounded on moral and the change process and accompanied by corresponding restructuring and reculturing changes of universities and schools systems.

A related theme is Fullan's (1994e) argument for teacher leadership for the future. A case for serious education reform demands a conceptualization of teacher development and education (Fullan, Galluzo, Morris & Watson, 1998; Hargreaves & Fullan, 2000). Fullan (1994e) stated that the two reasons why teacher development and education fails as potential strategy for school improvement is that there is a lack of confidence that investing in it will yield results and that teacher leadership is superficial. In short, there is a lack of confidence and lack of conceptualization that reinforce the status quo. Fullan examines various examples of teacher development efforts were a way to demonstrate what is needed to build teacher leadership. Field-based teacher education initiatives are crucial to focus on since university-based teacher education programs seems to be irrelevant while time spent in schools is deemed the most valuable. Now, does that mean that increasing the time spent in schools lead to transformative teaching leadership? This is not guaranteed. Teacher leadership, as a by-product of school-based development, is frustrating and very hard to come by especially on a large-scale basis since "schools as learning organizations are basically non-intellectual in the sense that the way they are organized, structurally and normatively, is not amenable to experimentation, critical reflection, continuous learning, assessment, or rethinking" (Fullan, p. 243). Establishing university-school/district partnerships, with professional development as the platform, to counteract these patterns may hold great promise.

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The nested and embedded work of teaching and its connection to a larger

institution (the university in this case) may lead to greater changes. However, this

may not be always the result. "As with most bandwagons, the rhetoric outstrips

the reality. Such partnerships frequently are narrowly conceived affecting only a

handful of schools and only a small part of the college of education. They tend to

be confined 'projects,' rather than wider instructional reform strategies" (Fullan,

p. 243). Induction programs for beginning teachers may also represent another

hope for teacher leadership. But as Fullan reminded his readers, "these programs

lack a compelling conceptualization ... [and] represent only one small piece of the

solution. Similarly, narratives, autobiographies, and other methods of teacher

reflection have been a great boon to personal introspection; but they suffer major

limitations" (Fullan, p. 244). Two final solutions to develop teacher leadership

concern site-base management and state and national efforts to raise standards. As

noted earlier, the problem with site-base management approaches is that it tends

become an end in itself and rarely affect or impact the teaching-learning core of

the school and the development of collaborative norms and thus it needs to be

reconceptualized (Fullan, 2000c). In terms of state and national standards, Fullan

(1994e) affirmed their value, but stated that it is not enough to determine and

announce what teachers should know and be able to do. Standards have their

place in teacher education (Fullan, 1999d). Rather, what is needed is a "more

basic understanding of the roles of teachers and teaching" (Fullan, p. 245).

Teacher leadership needs a more compelling and comprehensive conceptualization. Transformation of the teaching profession demands commitment and knowledge. Fullan (1994e) states six domains of knowledge: teaching and learning; collegiality; educational contexts, continuous learning; the change process and moral purpose. As noted earlier, the vexing problem is always how to get there. Fullan claimed that building teacher leadership through these six domains of knowledge can be accomplished through the institutional and individual strategies. The former is about incorporating particular teacher development strategies that serve to "critically examining underlying conceptual assumptions in terms of the extent to which it contributes to the comprehensive agenda" (Fullan, p. 250). The latter is about "individual and small-group action as the route to institutional change" (Fullan, p 250). The individual strategy is more powerful (Fullan, 1993a, e; Fullan, 1994d; Wright, 1993). The argument is that teachers need to take more responsibility for changing institutional contexts. Knowing the process of change means that individual teacher leaders know about the barriers they face and the choices they need to make in order to alter the conditions for personal intellectual growth that can help them accomplish the moral purpose of schools (Fullan, 1991a; Fullan, 1992a; Fullan, 1994c; Fullan, 1997f; Fullan, 1999c).

Leadership and the Evolution of Change

Finally, there is the claim that the new work of leadership and the evolution of change shall go hand in hand (Fullan, 1995d, h, i; Fullan & Hargreaves, 1996; Fullan, 1997e, h; Fullan 1998a; Fullan, 2001d; Fullan, 2002e, f). Fullan discusses the complexity of the job for the reform-minded principal. He attempts to conceptualized leadership for change and provides examples of what leaders have done to solve particular situations of complex change of their own. Fullan (1998a) claimed that the job of the principal has become too complex and constrained. Principals have become more and more dependent on context (Fullan, 1997h). This dependency is a product of

> …two interrelated conditions: overload and corresponding vulnerability to packaged solutions. First, the system fosters dependency on the part of principals. The role of principals in implementing innovations more often than not consists of being on the receiving end of externally initiated changes. The constant bombardment of new tasks and the continual interruptions keep principals off balance. Not only are the demands fragmented and incoherent, but even good ideas have a short shelf life as initiatives are dropped in favor of the latest new policy. Overload in the form of a barrage of disjointed demands fosters dependency. (Fullan, p. 6)

This situation is aggravated by historical conservative tendencies in the principalship and the nonrational world principals find themselves in. Principals experience educational or school climate and cultures that emphasize stability and maintenance. While at the same time, Fullan asserted, "There is no point in

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lamenting the fact that the system is unreasonable and no percentage in waiting

around for it to become more reasonable. It won't" (Fullan, 1997h, p. 5). In

addition, several trends in school leadership affect directly its function and role

(Fullan & Hargreaves, 1992b; Fullan & Hargreaves, 1996). At least, eight trends

were identified:

1. Self-managing schools;
2. New forms of school-community governance;
3. A tendency to reduce dependence on outside bureaucracy and regulation;
4. The state is taking on new centralist roles;
5. Reinventing teacher professionalism;
6. Information technology;
7. New learning outcomes;
8. Multi-racial, gender and sexual politics. (Fullan, 1997e, pp. 116-118)

These realities and trends demand new and broader conceptions of the

principalship.

> We need to move away from the notion of how the principal can become lead implementer of multiple policies and programs. What is needed to reframe the question? What does a reasonable leader do, faced with impossible tasks? (Fullan, 1997h, p. 6)

In order to search and apply these new conceptions of the principalship,

Fullan (1998a) critiqued the life cycle for leadership theory, the limitations of

vision-driven leadership. The former means that there are no silver bullets or "no

techniques anywhere that will solve the problem or substitute for the

commitments, skills, and messiness of acting in complex environments" (Fullan,

1997h, p. 8). The latter implied the need to examine and realize that the kind of

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visionary leadership that maintains that the answer comes from the top and that is grounded on an individualistic and nonsystemic world view (heroes) works against the kind of work that must deal with opposing tendencies by bringing them into dynamic tension. Leadership for change requires a more balanced view. Fullan's (1997e) examples of four dilemmas faced by principals illustrate the claim that leadership for action "requires an internalized mindset that constantly refined through thinking, and action, thinking, action etc." (Fullan, 1997e, p. 124). The case for advocacy and resistance with respect to given innovations and reforms, the case for whole school reforms, the case for school councils and the case of contending with state policy represent these four dilemmas. The key point about these dilemmas is that they expose principals to real life situations and provide them with examples and insights that help them manage paradoxes. Leadership for action in a complex and nonlinear world demands this kind of work, not less. "The education leader of the 21st century, paradoxically, will find greater peace of mind by looking for answers close at hand and reaching out, knowing that there is no clear solution" Fullan, 1998a, p. 10).

Summary

     The development and evolution of Fullan's scholarship on educational change during the 1990s is a function of building capacity for school improvement and system transformation. Capacity-building demands that current

change be grounded in an adequate theoretical context. Evolutionary and complexity (chaos) theories provide this context. Capacity-building is driven by the moral purpose of education. Basically, striving to make a difference in the lives of children is a moral imperative.[72] Moral purpose also involves the working roles of all stakeholders in education. Fullan underscored the idea of establishing and cultivating clear and systematic links or linkages. These comprised staff and institutional development, class and school improvement, top-down and bottom-up strategies, educational change and teacher development, educational change and the new work of leadership and the evolution of change. Teacher and principal leadership are additional crucial aspects of building capacity. There is a need to have a more comprehensive reconceptualization teacher and principal leadership. Teacher leadership demands not only knowledge and commitment but also the conditions for personal intellectual growth so that they function as authentic moral agents. Principal leadership requires a more balanced view of the reality of schools and society. Leadership for action requires that principals and systems leaders face and learn to cope with the enduring tensions present in nonlinear, complex and postmodern age. To summarize, Fullan's writings during the 1990s highlighted that capacity-building is critical and consequently reframing of strategies is essential for school improvement and system transformation.

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[72]*see* Appendix 6E & 6P.

> *I focus not so much on particular initiatives but on the system itself (Fullan, 2005c, ix). Our recent work is based on two interacting assumptions. One is that in order for educational reform to be sustainable we must focus on tri-level development, namely, what has to happen at the school and community level; at the district level; and at the state level. The second assumption is that we need initiatives that deliberately set out to cause improvement at the three levels and in their interrelationships (Fullan & Barber, 2005, p. 1). We need ... to cast the problem of failing schools in much larger perspective, not only in the context of the entire educational system but in reference to societal development as a whole. (Fullan, 2006, xii)*

Since the early 2000s, Fullan has directly and consistently focused on

leading system transformation. As it has been forcefully stated:

> Our recent work is based on two interacting assumptions. One is that in order for educational reform to be sustainable we must focus on tri-level development, namely, what has to happen at the school and community level; at the district level; and the state level. The second assumption is that we need initiatives that deliberately set out to cause improvement at the three levels and in their relationships. Both assumptions represent a 'systems perspective.' (Fullan, 2005c, p. 32)

This section examines the development and evolution of Fullan's theory of

educational change by focusing on his writings since the beginning of 2000 until

2008. The guiding theme throughout these years has been his advocacy of system

reform or transformation. For purposes of this study, these concepts of 'reform'

and 'transformation' are used interchangeably through this section. The researcher

acknowledges that many scholars and students of educational change and reform

may not define these two terms in the same way. However, the point is that Fullan's writings in the 2000s argue for whole system reform or transformation and thus in a way these two are equated. In fact, several newspapers reports underscore Fullan's 'guru' status and advocacy strategy for system transformation (Fullan, 2001b; Lorinc, 2004; MacDonald, 2004; Mitchell, 2004; Schofield, Macqueen, Bergman & Ferguson, 2001).

This section highlights this theme through six trends: (1) the return and increasing presence of large-scale reforms; (2) the question of turnaround leadership and its need for reconceptualization; (3) the tri-level argument; (4) the need to overcome dysfunctional infrastructures through both pressure and support strategies; (5) the critical criterion issue of sustainability and (6) the redefinition of professional development.

The Return and Increasing Presence of Large-Scale Reforms

Fullan underscored the return and need of large-scale reform, but also its main enemies, complexities and dilemmas. Fullan (2000f) specifically signaled the return of large-scale reform. What is most important about this development is the fact that these new reform initiatives are "self-conscious about implementation strategies" (Fullan, p. 8). Again, this is significant because large scale reforms of the past, especially those attempted during the 1960s, for the most part, ignored issues of implementation and did not address local initiations and cultures.

Three additional reasons justified the return and need of large-scale reforms. One is the enormous difficulty of delivering on education that will tackle a power structure and thus reduce the lack of academic achievement of the disadvantaged. The civil rights movement in the United States exerted great pressure on assuring that numerous national educational initiatives reduce social inequality. A second reason concerned government policy. The 1980s focused heavily on accountability. "The pressure for reform has increased, but not yet the reality" (Fullan, p. 7). Finally, another reason has to do with our increasingly global and complex society. Fullan pointed out:

> The global society is increasingly complex, requiring educated citizens who can learn continuously (Drucker's 1999 knowledge worker), and who can work with diversity, locally and internationally. Although the source of blame varies, it is now an undeniable conclusion that the educational system and its partners have failed to produce citizens who can contribute to and benefit from a world which offers enormous opportunity, and equally complex difficulty of finding your way in it. (Fullan, 2000f, p. 7)

The growing intensity of large scale reforms are derived from an innovation bias, a justice concern, government policy issues and the implications of globalization. In short, the return and need of large-scale reform is driven by educational, social, political and economy purposes.

Fullan's discourse on large scale reform is also driven by a host of complexities and dilemmas. The direct results of the main enemies of large-scale

reform are: overload and extreme fragmentation (Fullan, 2000d, i, 2001c,e; Mascall, Fullan & Rolheiser, 2001).

Fullan's (2000f) three stories of education reform exemplified the complexities of reform. These illustrate the need for coherence is a very disjointed system. This means that large scale reform will continue to fail unless there is a purposeful and conscious effort to take into account that lasting success has to do with both local school development and the quality of the surrounding infrastructure (Fullan, 2000a, b, e; Fullan, 2001c; Fullan & Barber, 2000).

Accomplishing both of these two perspectives demands dealing with the dilemmas inherent to large scale reform. Some of these include: too little vs. too much structure, pressure vs. support, personal vs. systemic, will vs. skill and top-down vs. bottom-up. In essence, Fullan (2000) strongly urges us to combine, reconcile, and integrate both.

The key to achieving complex and increasing large-scale reforms and system transformation seems to be the acquisition and use of greater know-how to knowledge of implementation[73] (Earl & Fullan, 2003; Earl, Fullan, Torrance & Sutherland, 2000a,b; Earl, Torrance, Fullan & Sutherland, 2003; Fullan, 2007a, b; Fullan, Alvarado, Bridges & Green, 2000; Fullan, Cuttress & Kilcher, 2005; Fullan, 2001a, e, f; Fullan, 2002b; Fullan, 2003b; Fullan, 2004e; Fullan, 2005a; Fullan, Watson, Torrance & Levin, 2005). However, the reality is that these

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[73] *see* Appendixes 6R & 7H.

changes are often fragile and not deeply institutionalized and thus they could

easily be undone by changes in leadership, for example. It is exactly to this

particular concept and practice that Fullan turns his view in the quest for large-

scale educational reform.

Turnaround Leadership and the Need for Reconceptualization

One way to lead system transformation is to reconceptualize leadership[74]

(Fullan, 2003h; Fullan, 2005g,h; Fullan, Leithwood & Watson, 2003; Fullan,

Watson & Leithwood, 2003; Fullan & St. Germain, 2006). For example,

leadership is complex and its turnaround phenomenon is "a dangerous narrow and

under-conceptualized strategy" (Fullan, 2006f, p. xii). School leadership is

characterized by complexity for four reasons: (1) "the changes we are seeking are

deeper than we first thought; (2) as such, there are a number of dilemmas in

deciding what to do; (3) one needs to act differently in different situations or

phases of the change process; and (4) advice comes in the form of guidelines for

action, not steps to be followed (Fullan, 2000h, p. 16). What is at stake here is the

reculturing of schools; the development of learning communities; the combination

of different leadership characteristics depending on the change. Fullan (2000h)

provides a series of guidelines for principals designed to assist principals to

become "thinking leaders who blend knowledge of local context and personalities

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[74]*see* Appendixes 6B & 6D.

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with new ideas from the outside ... (Fullan, p. 21). The main point here is to make

the case that leadership is both complex and therefore more meaningful for those

leaders who are willing to lead change.

As a result of the complexity, the principal as an instructional leader is too

narrow and limited (Earl & Fullan, 2003; Fullan, 2002g, h, l; Fullan, 2003d, f;

Fullan, 2004b; Mitchell, 2003; Rolheiser, Fullan & Edge, 2003; Sparks, 2003). To

illustrate, Fullan (2002h) argues that instructional leadership is valuable as a first

step but limited.

> Characterizing instructional leadership as the principal's central
> role has been a valuable first step in increasing student learning,
> but it does not go far enough. Literacy and mathematics
> improvements are only the beginning. To ensure deeper learning -
> to encourage problem solving and thinking skills and to develop
> and nurture highly motivated and engaged learners, for example -
> requires mobilizing the energy and capacities of teachers. In turn,
> to mobilize teachers, we must improve teachers' working
> conditions and morale. Thus, we need leaders who can create a
> fundamental transformation in the learning cultures of schools and
> of the teaching profession itself. The role of the principal as
> instructional leader is too narrow a concept to carry the weight of
> the kinds of reforms that will create the schools that we need for
> the future. (Fullan, 2002h, p. 17)

Principals need to be trained to be change leaders. This means that "the

principal of the future - the Cultural Change Principal - must be attuned to the big

picture, a sophisticated conceptual thinker who transforms the organization

through people and teams (Fullan, 2001g). Cultural Change Principals display

palpable energy, enthusiasm, and hope" (Fullan, 2002h, p. 17). The Cultural

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Change Principal is one who is characterized by: moral purpose, an understanding of the change process, the ability to improve relationships, knowledge creation and sharing, and coherence making (Fullan, 2001g). Sustainability, discussed later, is a key to develop and support the Cultural Change Principal. Sustainability for leadership implies "developing the social environment, learning in context, cultivating leaders at many levels (and ensuring leadership succession), and enhancing the teaching profession" (Fullan, 2002h, p. 19).

Leadership is also compounded by the increasing reality of the turnaround phenomenon. Fullan's (2006f) critiques the present strategy to quickly 'turnaround schools" and explains why it is not effective.

> They [turnaround strategies], at best, moving from awful to adequate, with no staying power to continue to improve. Almost every developed country has specific provisions for intervening in situations of persistent poor performance. Variously called failing schools, underperforming schools, schools facing challenging circumstances, schools in need of special measures, the terms all represent situations calling for action to 'turn around' the school question ... We need ... to cast the problem of failing schools in much larger perspective, not only in the context of the entire educational system but in reference to societal development as a whole ..current turnaround strategies... are too little and too late, work on only a small part of the problem, and unwittingly establish conditions that actually guarantee unsustainability." (Fullan, 2006f, p. xii, 20)

The appropriate response to the turnaround phenomenon is a set of practical strategies[75] that "mobilize the forces of change – strategies that do not

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[75] *see* Appendix 7G.

choose between tightness and looseness but incorporate both" (Fullan, 2006f, p. 44). These strategies will tap the sources of motivational commitment and energy of people. The turning around phenomenon is about turning around a system. This is driven by the contribution of education to the real agenda which is "raising the bar while closing the gap between the richest and the poorest" (Fullan, p. 7); "go[ing] beyond a few exceptional examples of success to make continuous improvements a characteristic of the vast majority of the constituent parts of the whole system" (Fullan, 2006f, p. 33); learning to know how to recognize the conditions under which people become motivated to change; and moving towards turning a whole system around.

The Tri-Level Argument

System transformation requires changes within and across the three levels of the school, district and the state (Barber & Fullan, 2004; Fullan, 2005b; Fullan, Bertani & Quinn, 2004; Fullan, Rolheiser, Mascall, Edge, 2001a; Fullan, 2003c,e; Fullan, 2004k,l; Leithwood, Jantzi, Earl, Fullan & Levin, 2004; Rolheiser, Mascall, Edge, Bower & Fullan, 2004). This is the tri-level argument.[76] System transformation is a function of working within and across the levels of school, district and state using the principles of complexity theory called: correlation and auto-catalysis. "Correlation is what happens when individuals increase their

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[76] *see* Appendix 6A.

interaction patterns and exert greater influence over one another creating new convergent patterns; auto-catalysis is when the behavior of one system stimulates certain behaviors in another system that, in turn, stimulates another and so on, eventually returning to motivate the original system thereby reinforcing a cycle of development and learning" (Fullan, 2003a, p. 40).

One reason for whole system reform through tri-level development is that whole school reform models are valuable but limited (Fullan, 2001a; Fullan, 2004a; Fullan, 2005d; Fullan, Rolheiser, Mascall & Edge, 2001a; Fullan 2004i,j). Whole reform models suffer from the claim that they are strong enough "to go deeper to achieve substantial reform that is powerful enough to impact student learning in even the most difficult circumstances ... [and] to simultaneously go wider to achieve reform on a large scale" (Fullan, 2001i).

The value and limitations of whole reform models are both found in its timelines and its implementation record; its misguided and short-sighted focus on professional development; its inability to overcome dysfunctional infrastructures and each to a plan directed towards at large scale sustainable reform (Barber & Fullan, 2004; Fullan 2001i; Fullan, 2004e,k,l; Fullan, Rolheiser, Mascall & Edge, 2001a). Turning around an elementary school, secondary school and district from being underperforming to one that demonstrates evidence of strong and continuous improvement takes 3, 6 and 8 years respectively (Fullan 2000a,i; Fullan, 2001h; Fullan 2007e). The problem with these timelines is three-fold: they

may be "considered to be too long; ... only a small proportion of schools and

districts who should be engaged in this kind of successful reform are so involved

... [and] it takes a great deal of effort to accomplish the turnaround which can be

undone almost overnight when two or three key leaders leave" (Fullan 2001i, p.

2).

In addition to timelines, whole school reform models may be helpful in the

short-run, but then work against long-term development and improvement.

> In the short-run they provide a focus, well-developed designs and
> support for implementation, and in many cases evidence of impact
> on student learning. As a whole they represent some of the best
> advances in school reform in the past quarter of a century, but as I
> shall argue later, adopting models is not the main point. The main
> point is reculturing the professional community at the school level,
> and transforming the infrastructure supporting and directing
> schools. (Fullan, 2000i, p. 3)

Whole school reform models confront problems in the implementation,

continuation and institutionalization phases of the change process (Fullan, 2001i).

The key problem is that the adoption of external programs may provide success

but on a short-term basis, but do not lead to the development of school capacity,

thus resulting in a negative effect on the desirability of transforming the system

infrastructure. Strengthening school capacity is the object of professional

development. However, Fullan made a compelling argument that as long as

professional development, as constituted by whole school reform models, focuses

on developing individuals it will not lead to system transformation. This is half of

the equation. It addresses the individual classroom and this is only a first step. The other half and second step is organization development. "Thus, schools must combine individual development with the development of school wide professional communities, the second element of capacity. The key here is to integrate individual and organizational development.

Overcoming Dysfunctional Infrastructures Through Both Pressure and Support Strategies

One way to begin addressing this integration is to identify and overcome dysfunctional infrastructures at the district and state level. Fullan (2000a) maintains that infrastructure is critical to large scale, sustainable reform. The main reason why progress in turnaround schools does not last is because of its lack of depth and breath. It is not deep enough and cannot replicate itself on a large scale. Infrastructure is the key. It is usually weak, unhelpful and works across purposes. He defines infrastructure as:

> The next layer above whatever unit we are focusing on. In terms of successive levels, for example, a teacher cannot sustain change of he or she is working in a negative school culture. Similarly, a school can initiate and implement change, but not sustain it if it is operating in a less than helpful LEA. Likewise, an LEA cannot keep going if it works in a state or country which is not aligning and coordinating policies, and so on. (Fullan, 2000a, p. 2)

Fullan (2000a) makes a distinction between specific and generic infrastructure. The specific infrastructure refers to the substance and content of

the reform agenda. For example, England's National Literacy and Numeracy

Strategy are specifically and strategically directed at raising literacy and

numeracy achievement levels. The generic infrastructure refers to:

> The state policies (concerning compensation, standards of
> practice), and working conditions for teachers and administrators
> such that the quality of the teaching profession is enhanced?
> Measures of enhancement include good people coming into
> teaching (and staying); morale; and continued development of the
> quality and performance of schools. (Fullan, Rolheiser, Mascall &
> Edge, 2001a, p. 19)

One integral component of both specific and generic infrastructure is the

realization and application of both pressure and support strategies in order to

accomplish system transformation (Fullan, 2001c, g, h; Fullan, 2003a, e, g;

Sparks, 2003, Fullan, 2004b, c, d, f, g; 2005c, f, g; Fullan, 2006e, f; Fullan,

2007e).

> We call these the "accountability pillar" and the "capacity-building
> pillar." Accountability refers to the setting of standards, the
> gathering and availability of data and the monitoring of
> performance, with corresponding action strategies. Capacity-
> building concerns investment in professional development,
> training, quality materials and other related resources. (Fullan.
> 2001c, p. 20)

England's National Literacy and Numeracy Strategy

England's National Literacy and Numeracy Strategy (NLNS) provided

rich and powerful examples of both specific and generic infrastructures drawn

heavily on accountability and capacity-building pillars (pressure and support).

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- A nationally prepared project plan for both literacy and numeracy, setting out actions, responsibilities and deadlines through to 2002;
- A substantial investment sustained over at least 6 years and skewed toward those schools that need most help;
- A project infrastructure involving national direction from the Standards and Effectiveness Unit, 15 regional directions, and over 300 expert consultants at the local level for each of the two strategies;
- An expectation that every class will have a daily math lesson and daily literacy hour;
- A detailed teaching programme covering every school year for children from ages 5 to 11;
- An emphasis on early intervention and catch up for pupils who fall behind;
- A professional development programme designed to enable every primary school teacher to learn to understand and use the proven best practice in both curriculum areas;
- The appointment of over 2,000 leading math teachers and hundreds of expert literacy

teachers, who have the time and skill to model best practice for their peers;

- The provision of "intensive support" to circa half of all schools where the most progress is required;
- A major investment in books for schools (over 23 million new books in the system since May 1997);
- The removal of barriers to implementation (especially a huge reduction in prescribed curriculum content outside the core subjects);
- Regular monitoring and extensive evaluation by our national inspection agency, OFSTED;
- A national curriculum for initial teacher training requiring all providers to prepare new primary school teachers to teach the daily math lesson and the literacy hour;
- A problem-solving philosophy involving early identification of difficulties as they emerge and the provision of rapid solutions or intervention where necessary;
- The provision of extra after-school, weekend, and holiday booster classes for those who need extra help to reach the standard. (Fullan, Rolheiser, Mascall & Edge, 2001a, pp. 17-19)

The NLNS is a prime example of a reform strategy that targets both the generic as well as specific infrastructure. In a nutshell, NLNS is a direct attempt at impacting both the structure and the culture that govern schooling in the United Kingdom.

Ontario's Effective District Wide Strategies to Raise Student Achievement in Literacy and Numeracy[77]

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[77]*see* Appendixes 6K, 6L, 6M, 6N & 6O.

Ontario's province-wide Effective District-Wide Strategies to Raise

Student Achievement in Literacy and Numeracy Project in another example of an

educational change efforts based on both specific and generic infrastructures

drawn heavily on accountability and capacity-building pillars (pressure and

support). Education reform in the province of Ontario was driven by the Ontario

Liberal Party's victory and formation of the provincial government during the

general election of 2003. Premier Dalton McGunity's commitment to improve

health care and education result led to the creation of a secretariat within the

ministry of education. Fullan (2008c) reports that Ontario's reform is about

reaching every student. It is about commitment and education priorities.

Commitment is about "helping every student reach his or her potential" (Fullan, p.

1). Ontario's province-wide strategy is guided and grounded by three core

education priorities:

> High levels of student achievement –
>
> Going deeper and wider on literacy and numeracy, including reaching the targets of 75 per cent of students achieving at the provincial standard in Grade 6;
>
> Continuing innovation in secondary schools in reaching the 85 per cent graduation rate;
>
> Reduced gaps in student achievement and increasing public confidence in publicly funded education;
>
> Reducing the gap in achievement for those groups of students who, for whatever reason, need extra help;

Fostering greater two-way engagement with the public to inform the implementation of the mandate and to foster public confidence;

Strengthening the role of schools as the heart of communities;

Recognizing the pivotal role of schools in developing the workforce and citizens of tomorrow. (Fullan, 2008c, pp. 2-3)

Commitment and education priorities will lead to an energizing Ontario education. Some factors that will be taken into consideration in order to achieve this ambitious reform agenda include: early childhood learning, parent engagement, the upgrading of school facilities, small class sizes, character development and student engagement, arts education, and safe and healthy schools.

The generic infrastructure of Ontario's province-wide strategy can be best described by implementation elements at both elementary and secondary school levels. At the elementary level chief components of its generic infrastructure include:

Setting a target of 75% of 12 year old students achieving at or above the provincial standard for 2008;

Establishing The Literacy and Numeracy Secretariat to work in a two-way partnership with districts and schools;

Adding considerable new resources for literacy and numeracy, including materials, professional development, staffing, and initiatives linked to local and provincial needs;

Negotiating, through The Secretariat, yearly aspirational targets and board improvement plans with each district;

Engaging in capacity building, which includes focusing on district and school strategies for achieving improvement, such as developing school improvement teams, strengthening the role of the principal, helping schools develop collaborative learning cultures, and increasing assessment for learning capabilities at the school, district, and provincial level;

Fostering lateral capacity-building, where schools and districts learn from each other about effective instructional practices in literacy and numeracy, and learn about effective change strategies for school- and district-wide improvement;

Fostering a commitment to both raising overall student achievement levels and pursuing equity of outcomes by raising the bar and closing the gap in educational performance;

A commitment to drawing on the wider knowledge base to inform the strategies, as well as a commitment to use knowledge to inform decisions as the strategy unfolded and to contribute to the growing knowledge base about large-scale reform. (Campbell, Fullan & Glaze, 2006, p. 8)

The more specific infrastructure of the Ontario province-wide strategy at the elementary level focused on the roles and functions of The Literacy and Numeracy Secretariat. This secretariat was designed to work in partnership with the school districts and schools to support improvement in student achievement. It was guided by nine strategies:

1. Work with school boards to set achievement targets;

2. Assemble and support teams at all levels to drive continuous improvement in literacy and numeracy;

3. Reduce class sizes in the primary grades to a maximum of 20 students per class by 2007–2008;

4. Build capacity to support student learning and achievement;

5. Allocate resources to support target setting and improvement planning for literacy and numeracy;

6. Mobilize the system to provide equity in student outcome;

7. Embark on a process of community outreach and engagement to build support for the literacy and numeracy initiative;

8. Demonstrate a commitment to research and evidence-based inquiry and decision making;

9. Establish a growing presence on the national and international scene in learning from and contributing to the knowledge base about how to improve literacy and numeracy achievement. (Campbell, Fullan & Glaze, 2006, p. 6)

Chief elements of the generic infrastructure at the secondary level include:

1. Providing money for a "student success teacher" in every high school to ensure students are well known and supported by at least one adult on staff;

2. Developing a focus on and resources for literacy and numeracy across the high school curriculum;

3. Expanding options for students, including credit-recovery programs for those who have fallen behind and dual-enrollment programs with colleges and universities;

4. Passing legislation requiring students to be in a learning situation (school, college, apprenticeship, work with training) until high school graduation or age 18;

5. Creating a "high skills major" that allows local school boards to work with employers and community groups to craft packages of courses leading to employment and further learning. (Olson, 2007, p. 4)

The more specific infrastructure at the secondary level focused on the continuation of innovation in secondary schools through the establishment of the Student Success Strategy. This is based on the belief "that every student deserves a good outcome from his or her education and that the outcome should: be the best fit possible with each student's potential; instill willingness and capacity for further learning and have a core of common knowledge, skills and values" (Ministry of Education, 2005, p. 1). Two interrelated aspects guide the Student Success Strategy. One is its "innovative programs and instruction with a strong focus in literacy and math" (Fullan, 2008d, p. 7). This first aspect also aims to expanding choices and enhancing modes of delivery. The second aspect is about "personalization and support for students, beginning with strategies to mitigate the adverse effects experienced by some students in the transitions from Grade 8 to Grade 9" (Fullan, p. 7). This second aspects also implies the development of teams, educational and training for adults, and high standards as a way to make schools more relevant and engaging for students. The Student Success Strategy consist of three phases: providing immediate and remedial assistance; resource and program development and coordination and legislation. Each of these phases is led by five distinctive goals, namely: "better learning, healthier attitudes and expectations for student success; high schools that are caring and engaging places for all students; clear workplace-with-learning, apprenticeship, college and university outcomes and targets for success" (Ministry of Education, 2005, p. 1).

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Two questions need to be raised and responded to. One is what is Fullan's response to the challenge of overcoming dysfunctional infrastructures when infrastructures are essential in itself to large-scale sustainable reform? The second is how England's NLNS and Ontario's province-wide specific and generic infrastructure strategies (shaped by both pressure and support change mechanisms and processes) contribute to the enhancement or delay of large-scale, sustainable reform? On the first question, Fullan (2001c) responds by highlighting four crucial elements: get the conception right; focus as much attention on district and state reform as on school capacity; invest in leadership at all levels; and form permanent endowments. Getting the conception right is about 'coordinated decentralization' and "constantly foster[ing] shared identity with room to be innovative" (Fullan, p. 11). Paying more or equal attention to districts and states rather than to schools, is it has been over the past decade, calls for a balance on policies, programs and practices as well as a "reorganization [of] the role of the district and district leadership so that it focuses primarily on instruction, building capacity at the school level, fostering lateral exchanges across schools, and the like ... [and] regular feedback from schools (e.g., from principals) as to how the role of the district and state helps or hinders reform" (Fullan, p. 12). Investing in leadership must be widespread. Finally, there is a need for investment on a permanent basis which means that "states need to invest more in capacity-building, but ... consider whether states and foundations could also match

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contributions in order to establish permanent endowments that would provide support (for example for leadership development) on a continuous basis (Fullan, p. 12). These represented some preliminary ideas of Fullan on what was needed at the time to accomplish large-scale sustainable reform.

In order to understand this shift in thinking and advocacy in trying to decipher the future agenda for large scale sustainable reform at the state level, it is crucial to examine the evaluation of England's NLNS implementation (Earl et al., 2000a,b; Earl et al., 2002; Earl, Levin, Leithwood, Fullan & Watson, 2003) and of Ontario's Effective District Wide Strategies to Raise Student Achievement in Literacy and Numeracy at the Elementary Level. A brief review of evaluations is in order.

Evaluations of England 's National Literacy and Numeracy Strategy[78]

Acting as critical friends, in their first annual evaluation report, Earl et al. (2000a) summarized policy levers for large-scale reform and mechanisms to improve teaching and learning. The aim here was to view "strategies not only as a national 'scaling up' of reform initiatives, but also as practices implemented at the local level, in classrooms, schools and LEAs (Earl et al., p. 2).

NLNS as policy levers for large-scale reform highlights reform features that are part of other large-scale reform efforts around the world. These include:

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[78]*see* Appendix 7V.

A vision for the education of pupils;
Standards for judging performance;
Curriculum frameworks and other instructional resources;
Focus on teaching and learning;
Coherent and integrated policies; and
Accountability and incentives based on performance.
(Earl et al., 2000a, pp. 2-10)

NLNS as scaling up and implementation of classroom practices examined

variation in the success of efforts to improve the core technology of schooling –

teaching and learning. These variations included:

Motivations of educators to improve their practices or adopt new ones; capacities (knowledge and skills) to carry out the improvements; and situations conducive to developing and sustaining motivation and capacity for productive change. (Earl et al., 2000a, p. 2)

An additional dimension analyzed was timelines. The questions were:

"how long does it take for sustainable change?; and how much progress can be

made in five years with the whole nation as the focus of reform? (Earl et al.,

2000a, p. 2)

This annual report discussed the key strengths and as well as the potential

challenges in the NLNS in the next phase of planning and implementation. On

one hand, strengths were indicated as: "leadership, policy alignment/coherence,

support and pressure, communication, resources, and responsiveness and

adaptability" (Earl et al., 2000a, p. 8). On the other hand, several areas that

represented challenges for implementation included: changing practices is hard

work – intellectually and emotionally; motivation is important, but it is not

enough in the long run; new teachers are a long term investment; assessment literacy for wise decisions; the power of professional learning communities and dissenting voices contribute to clear thinking (Earl et al., pp. 9-10).

In their second evaluation, (Earl et al., 2002) continued to attempt tracking central educational policy and implementation developments. Successes as well as questions and challenges were reported. Six notable areas of success were identified. These included: breadth of influence on teaching and learning; adaptation within a clear vision; value for money; institutionalization of a national infrastructure; policy coherence; and balancing pressure and support (Earl et al., 2002, pp. ix-x). A number of issues emerged during this second report. These included: changes in teaching, unintended consequences or costs, sustainability, availability and use of data, and involvement of parents and community (Earl et al., 2001, pp. ix-x). Changes in teaching meant teachers who had the expertise in using the NLNS strategies. This expertise included modifying the teaching approach, based on knowledge of pupils' understanding of the material and how the pupils learn, and possessing a repertoires of teaching methods" (Earl et al, 2002, pp. ix-x). The unintended costs and consequences included: concerns about how the focus on literacy and numeracy affects attainment of mastery on other school programmes and experiences; manageability for LEAs and schools where the reports advise the strengthening of head teacher capacity and the combination of top policy means and bottom capacity-building efforts to help schools learn and

cope with external pressures and initiatives. Sustainability concerned balancing

central direction and local initiative in that it is crucial to "find a dynamic balance

that recognizes that LEAs, schools, head teachers and teachers are at different

points and have different needs" (Earl et al., 2002, pp. ix-x). Sustainability also

demands changes in the capacity and motivation of individual teachers by

strengthening the generic infrastructure and by cultivating and promoting a certain

sense of commitments, discretion and autonomy. Finally, the availability and use

of data implies that decisions about both policy and practice should be evidence-

based and the challenge of parent engagement efforts is to allocate more resources

to increase their contribution to their children's learning.

NLNS as policy levers was successful due to the following findings:

breadth of influence on teaching and learning; Adaptation within A Coherent

Vision Value for Money (Institutionalisation of A National Infrastructure Policy

Coherence Over Time Balancing Pressure and Support (Earl et al., 2002, pp. 77-

78). Questions about securing the long-term effectiveness of large-scale reforms

included:

> How deep are the changes in teaching that occur as a result of the reform?
> Are there unintended costs or consequences of the reform?
> How is the reform being organized to be sustainable in the long-term?
> What data are available about implementation, training needs and success in changing learning and how are such data being communicated and used?

How are parents, families and the community engaged in understanding and supporting the reform? (Earl et al., 2001, p. 79)

In a third and final evaluation of NLNS, researchers identified successes and challenges by building and extending on earlier findings by considering the views from centre, the schools, and what they have called 'the bridge' which refers to the regional directors and LEA staff linking the Strategies to schools and to initial teacher training institutions (Earl et al., 2003). On one hand, the NLNS has been successful in its influence on the teaching and learning of literacy and mathematics; establishing a national infrastructure; flexibility within a constant vision; value for money; high pressure and high support; assessment literacy and use of data and leadership. According to researchers, the NLNS have improved the "range and balance of elements of literacy and mathematics being covered, increased use of whole class teaching, greater attention to the pace of lessons, and planning based on learning objectives rather than activities" (Earl et al., p. 3). The NLNS has also helped establish a national infrastructure that is "flexible enough to accommodate policy decisions and to meet changing local needs" (Earl et al., 2003, p. 4) as well as interactive.

Another success is that the strategies have remained constant "although specific priorities and emphases have shifted in response to data about pupil strengths and weaknesses and to feedback from schools and LEAs" (Earl et al., 2003. p. 4). With caution, researchers conclude that the strategies represent good

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value for money. The government push for high pressure and high support is recognized as an "effective tool for managing resources and focusing on schools and LEAs most in need" (Earl et al., p. 4). Two additional successes of the NLNS has been teachers' use of assessment literacy whereby there is an increasing collection and use of "various kind to support educational development of data, resource allocation and teaching" (Earl et al., p. 5) and a shift on leadership "from establishing a vision and encouraging commitment from all stakeholders to developing sustainability through a more interactive relationships with LEAs and initial teacher training institutions" (Earl et al. p. 5).

On the other hand, researchers raise a number of challenges in order to in order to "spark discussion about how to secure the long-term effectiveness of the strategies and ... contribute to international knowledge about large-scale reform" (Earl et al, 2003, p. 5). These include teacher capacity; embedding accountability and capacity building; central direction and local initiative; manageability for LEAs and schools; targets and test results, the teaching profession and beyond the school. Disparity across schools and teachers in terms of knowledge, skills and understanding of the NLNS makes teacher capacity a continuing challenge. Researchers acknowledge that government's push for accountability "may result in a culture of dependence" (Earl et al., p. 6). Addressing and monitoring the differences and disparities that exist across LEAs and corresponding authorities while remaining true to the underlying principles of the NLNS strategy remains

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another challenge. The constant appearance of new initiatives or the rebuilding of old ones; target setting as a mechanism to mobilize and motivate the profession and the public; strengthening teacher education efforts in literacy and numeracy and greater attention to out-of-school influences on pupil attainment are issues that need to be re-evaluated in light of the intended changes in teaching and learning that this large-scale reform aims at. Researchers conclude by stating that both greater individual and organizational capacity is needed. In fact, they advocate that long-term effectiveness and improvement depend on the commitment to collective capacity-building.

Case Studies Evaluations Ontario's Effective District Wide Strategies to Raise Student Achievement in Literacy and Numeracy at the Elementary Level

In terms of Ontario, Fullan has been involved in a series of case studies at the elementary level involving different districts (Campbell, Fullan & Glaze, 2006a; Mascall, Rolheiser, Wallace, Anderson, & Fullan, 2005). In their cross-case analysis of eight case studies in Ontario, Canada, researchers attempted to capture the impact of Ontario's literacy and numeracy strategy at the elementary school level (Campbell et al., 2006b). The aim here was to "identify districts that a) had seemed to have sound strategies at work and b) were getting results as indicated by trends in Education Quality and Accountability Office assessments. What we wanted to know was what was going on under different conditions as

districts went about this difficult and important work" (Campbell et al., p. 9).

More specifically, researchers focused on district's strategy and actions; connections between district and schools and the impact of district's strategies and actions and future developments. Findings indicate, across the eight districts studied, that successful practices were evident when they were related to four broad strategic areas, namely: leading with purpose and focusing direction; designing a coherent strategy, coordinating implementation, and reviewing outcomes; developing precision in knowledge, skills, and daily practices for improving learning; and sharing responsibility. These strategic areas were underpinned by twelve key components: leadership for learning; vision and shared focus on student achievement as the priority; moral purpose informing strategies and practices; overarching strategy; resources allocation and prioritization; effective organization; monitoring, review, feedback, and accountability; capacity building for professional learning; curriculum development, instruction, and interventions; use of data and assessment literacy; positive and purposeful partnerships; and communication.

So how does Fullan respond to the challenge of overcoming dysfunctional infrastructures when they are crucial in the first place and how large-scale, sustainable reform is enhanced? Citing the Ontario's reform, Levin, Glaze and Fullan (2007) respond to these questions by claiming that overcoming dysfunctional infrastructures and obtaining sustainable change is about changes

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that "are respectful of professional knowledge and practice ... coherent and

aligned at the provincial, district and school level ... [and] comprehensive and

include professional development, strong leadership, relevant materials, necessary

resources, and effective outreach to parents and the broader community" (Levin et

al., p. 1). In sum, it is about respect, coherence, alignment and

comprehensiveness. Levin et al. underscore that sustaining change in systems and

districts is about facing two challenges. One is the amount of initiatives and the

stress they can create on educators. The second challenge is about resources. In

the end, it is stated that the urgency of reform has created the conditions that will

enable people at all levels to acquire the energy and commitment that is necessary

to accomplish and follow the hard work on education reform continuously.

The Critical Criterion of Sustainability

Leadership and tri-level development are critical ingredients of the next

trend advocated for system transformation: sustainability (Fullan, 2002d; Fullan,

2004c, d, f, g; Sharratt & Fullan, 2006). The challenge is how to address the

tensions between external accountability and internal school development and

short term results while attending to longest term development; develop deep

learning communities and strong leadership. Sustainability is at the heart of these

tensions and issues. Fullan (2005c) states that sustainability is "the capacity of a

system to engage in the complexities of continuous improvement consistent with

deep values of human purpose … It is not just the outcome of continuous

improvement we need to observe, but we must also understand the key

characteristics of systems that display dynamic sustainability" (Fullan, p. ix).

Sustainability is the key to cultivating and promoting a new kind of

leadership. Going further requires 'system thinkers in action' or 'the new

theoreticians'.

> These are leaders who work intensely in their own schools or districts or other levels, and at the same time connect with and participate in the bigger picture. To change organizations and systems will require leaders who get experience in linking to other parts of the system. These leaders in turn must help develop other leaders with similar characteristics. In this sense the main mark of a school head, for example, is not the impact he or she has on the bottom line of student achievement at the end of their tenure but rather how many good leaders they leave behind who can go even further. The question, then, is how can we practically develop system thinkers in action. Some do exist but how do we get them in numbers — a critical mass needed for system breakthrough. (Fullan, 2004c, p. 1)

In order for leaders to work towards sustainability to accomplish system

transformation, it is crucial to critique system thinking and to appreciate the

adaptive nature of changes (Fullan, 2005c). Fullan (2004c) concludes that Senge's

(1990) system thinking is philosophically right, but somehow practically invalid.

> As valid as the argument may be, I know of no program of development that has actually developed leaders to become greater, practical systems thinkers. Until we do this we cannot expect the organization or system to become transformed. The key to doing this is the to link systems thinking with sustainability. I define sustainability as the capacity of a system to engage in the

complexities of continuous improvement consistent with deep values of human purpose. The question in this article is whether organizations can provide training and experiences for their leaders that will actually increase their ability to identify and take into account system context. If this can be done it would make it more likely that systems, not just individuals could be changed. (Fullan, p. 2)

In addition, Fullan (2004c) claims that developing system thinkers for sustainability is an adaptive challenge, not only a technical one. "The key to moving forward is to enable leaders to experience and become more effective at leading organizations toward sustainability" (Fullan, p. 2). In sum, sustainability is about practical and adaptive leadership system-wide strategies.

The agenda for 'system thinkers in action' or 'the new theoreticians' is comprised of eight elements: public service with a moral purpose; commitment to changing context at all levels; lateral capacity-building through networks; new vertical relationships that are co-dependent encompassing both capacity-building and accountability; deep learning; dual commitment to short-term and long-term results; cyclical energizing; and the long lever of leadership. For leadership, "publicly fostering a commitment throughout the school district on (1)raising the bar and closing the gap of student learning; (2) treating people with demanding respect (caring within a framework of high expectations); and; (3)altering the social environment(making schools aware that all schools in the district must improve)" (Fullan, 2005c, p. 15). Commitment to changing context at all levels "means changing the entire context within which people work. Researchers are

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fond of observing that 'context is everything' (Fullan, p. 16). The aim of lateral

capacity building through networks is to *"strengthen peer relations across schools

… through networked learning communities, clusters of schools working

together, walkthroughs and a host of other deliberate strategies … [in which]

"quality knowledge is shared and sorted; and mutual commitment is generated.

Mobilizing the minds and hearts of peers across the district is the key to deeper,

lasting reform (Fullan, 2004c, p. 2).

They key here is to keep in mind that strategies are not ends in themselves.

The ideas of intelligent accountability and vertical relationships are about

strengthening the capacity of schools to engage in self review, but to do so

transparently in relation to district and state accountability frameworks" (Fullan,

2005c, p. 17). Vertical relationships are about support, resources and

accountability. Deep learning is about raising the bar and closing the gap for all

with respect to "literacy and numeracy, emotional intelligence, thinking and

problem solving, teamwork and collaboration (Fullan, 2004, p. 15).

One powerful tool in this respect is assessment for learning.[79] This means

"new capacities need to be developed throughout the system. Accessing student

learning data on an ongoing basis, extracting meaning through disaggregated

analysis, forming action plans, monitoring implementation and making further

improvements are all part of this new constellation of capacities that constitute a

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[79]*see* Appendix 6S.

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commitment to inquiry and deep learning (Fullan, 2004c, p. 18). *Dual commitment to short-term and long-term results implies that* "systems should focus on tangible short-term results such as improved literacy scores, but they must simultaneously work on establishing the eight elements of sustainability because this is where long term payoff resides" (Fullan, p. 3).

Sustainability is about cyclical energizing. Fullan (2005c) debunks the definition of 'sustain' from the Latin word 'sustineo' which is to 'keep up' as merely misleading and advocates that sustainability is cyclical for two reasons. "One has to do with energy and the other with wide, periodic plateaus, where additional time and ingenuity are required for the next adaptive breakthrough" (Fullan, p. 25). Finally, Fullan argues that system transformation is a product of the mobilization of leadership at all levels. Leadership is the level for sustainability. This means that the "main mark of these leaders is to help put into place the eight elements of sustainability" (Fullan, p. 27). For the individual school superintendent or principal, the main mark "at the end of his or her tenure is not just the impact on the bottom line of student achievement, but equally how many good leaders he or she leaves behind who can go even further" (Fullan, 2004c, p. 3). Generating more and more thinkers who are able to act and think at the same time both the small and the big pictures, individual and organizational is the key to organizational performance and enhancing the conditions for sustainability (Fullan, 2004h).

Redefining Professional Development

One last way Fullan attempts to ensure system transformation is by questioning and redefining professional development (Fullan, 2006a, b; Fullan, 2007c, d). The main argument is that the terms professional development or professional learning communities are too narrow. Fullan (2007d) argues that professional development has run its course and the future of the profession, "… depends on a radical shift in how we conceive learning and the conditions under which teachers and students work" (Fullan, p. 35). This argument is based on five key ideas. Professional development in its current forms (through external ideas alone) is "deeply flawed as theory of action ... [because they do not] alter the culture of the classroom and school ... (he adds) ... professional development is a great way to avoid change – because it lessens the pressure for change, diverts people's energy into thinking they are doing something valuable, and drains energy that should be directed at the hard work of changing school cultures that are deeply rooted in the past" (Fullan, p. 35). There is a lack of appreciation for the profound meaning and implications of Elmore's (2004, p. 73) plaintive refrain that we have it all wrong: "What is missing … is any recognition that improvement is more a function of *learning to do the right things* in the setting where you work than it is of what you know when you start to do the work" (Fullan, 2007d, p. 35). A third reason professional development is limited is that every teacher has to learn virtually every day" (Fullan, pp. 35-36).

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The solution to superficial professional learning communities or professional development is the breakthrough triple P strategy.[80] "A breakthrough will be achieved when virtually all students are served well by the public education system" (Fullan, Hill & Crevola, 2006, p. 13). The components of the breakthrough system are personalization, precision and professional learning. Personalization is about "motivation to learn and pedagogical experiences that hit the mark particular for the individual ... precision means to be precise to the learning needs of the individual ... and professional learning [noted earlier means] "focused, ongoing learning for each and every teacher" (Fullan et al., pp. 16, 18, 21). The main focus behind the breakthrough strategy is to provide teachers mechanisms so they can not only interact, but do it in a focused manner toward the change of the culture and its prevailing teaching practices and beliefs. In short, the key "…is not professional development but ongoing learning" (Fullan, 2007d, p. 36).

Deprivatization represents one more challenge of professional development. "Deprivatizing teaching changes culture and practice so that teachers observe other teachers, are observed by others, and participate in informed and telling debate on the quality and effectiveness of their instruction … Changing this deeply rooted norm of privacy is tough because such a change requires tremendous sophistication as well as some risk taking by teachers and

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[80]*see* Appendix 6C, 6F, 6G & 6H.

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other leaders" (Fullan, 2007d, p. 36). On final reason why professional

development is too narrow has to do with teachers' and principals' working

conditions. "Working conditions include the structures, norms, and physical and

other resource factors that characterize teachers' and principals' daily work. No

other profession experiences the dismal, limiting conditions educators face"

Fullan, p. 36). All of this means that system transformation demands a complete

overhaul of professional development strategies. Unless professional development

as presently constituted is abandoned and replaced by professional learning

system transformation is very unlikely to happen. Professional learning is

advocated by Fullan as a more effective strategy to bring about system

transformation through "structure, norms, deprivatization, and focus on results

and improved instruction through continuous development, and the like" (Fullan,

2007d, p. 36). It is about making professional learning an everyday experience for

educators.

Summary

The development and evolution of Fullan's scholarship on educational

change during the 2000s is a deliberate attempt at leading system transformation.

The return and increasing presence of large-scale reforms, throughout the world

are major reasons behind the leading system transformation approach.

Educational accountability policies lead to both the identification and

classification of underperforming schools. Calls for immediate and short-term

improvement results have led to the turnaround phenomenon. A narrow and

limited conceptualization of leadership strategy characterizes these quick-fix

approaches. Leading system transformation demands a broader and larger

approach. The development and improvement across and within the school,

district and state levels represent one attempt to system transformation. This tri-

level development is shaped and guided by the need for both pressure and support

mechanisms. The criterion of sustainability provides the measuring of the effects

of such mechanisms and strategies and pushing for further growth and continuous

improvement in the face standardized-based reforms and quick-turnaround

educational policy and reform approaches. Acknowledging the limitations and

superficial application and execution of professional development or professional

learning communities demands a redefinition of professional learning instead.

System transformation is about changing the conditions and the context under

which learning takes place. To summarize, Fullan's writings during the 2000s

highlighted the critical need to pursue system transformation through the

reframing of strategies and mechanisms that go beyond individual learning.

Michael Fullan – Pro or Con Post-Standardized Future of Educational Change?

> *The solution must entail greater specificity without suffering the downside of prescription (Fullan, Hill & Crevola, 2006, p.9). Before getting to the actual theory, there is one overriding caution: the world has become too complex for any theory to have certainty.*

There can never be a blueprint or silver bullet (Fullan, 2008e, p. 5). If we have to pick a single word to epitomize our aspirations, it would be an education system that 'energizes' everyone in it or who comes into contact with it. (Fullan, 2008e, p. 2)

So what is the future of educational change according to Fullan? How does this future confront or deal with a fifth theorized and probable period of reform called post-standardization (Hargreaves, 2008; Hargreaves, A., *forthcoming;* Hargreaves & Shirley, 2007) as referenced earlier. What does Fullan says about implementation, meaning, capacity-building, leadership and system improvement in the face of post-standardization? Attempting to respond to this question demands a careful look at Fullan's most recent writings. These writings reveal that Fullan is fully aware of the appearance and effects of post-standardization. Although Fullan does not label this period in the same manner his close colleague did (Hargreaves, 2008; *forthcoming*), there is an awareness of the problems confronting leaders who want to lead school and system improvement and transformation. This is accomplished by revisiting and resurrecting the concept of links or linkages.Fullan seems again concerned with linking curriculum and sustainability (Fullan, 2008a); theory and action (Fullan, 2008b, f); individual and organizational development; a competitive economy and a cohesive society (2008c), leadership and system improvement (Fullan, 2008g). A more recent debate on target setting – the long and the short of educational change – provides one last link that is used to illustrate what and how Fullan responds to

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this era of post-standardization (ASCD, 2008; Fullan & Glaze, 2005; Hargreaves & Fink, 2005; Hargreaves, Shirley, Evans, Johnson & Riseman, 2006; Hargreaves & Shirley, 2007; Olson, 2007; Hargreaves, 2008; Hargreaves, *forthcoming*, a,b).

Linking Curriculum and Sustainability

In a reflective and substantive piece on curriculum and sustainability, Fullan (2008a) reviews what is known about innovation. Innovation from 1995 until 1997 is examined. In addition, curriculum change is examined from 1997 to the present. Fullan examined innovation as the focal point. This entails "What is the nature of the change, what is the evidence that it is being put into practice, what are the determinants of successful implementation, and does it impact teacher change and student learning and achievement?" (Fullan, p. 114). In the innovation phase, the distinction between materials, behaviors and beliefs, the adoption process, the phases on initiation, implementations and institutionalization and the limitations of whole scale reform models as piecemeal innovations are revisited and discussed in detailed. Then, Fullan briefly reviews part of the history of system reform and its main strategies. England's National Literacy and Numeracy Strategy are discussed. The strategy behind it (high-challenge / high support) and its six main components are mentioned. Informed prescription dominated curriculum delivery. Another effort discussed is the Cross City Campaign for Urban School reform (2005) strategy. While Fullan applauds

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this strategy for being standards-based and system wide, he critiques it lacking

"… a focus on what needs to change in instructional practice" (Fullan, p. 120).

This reflection concludes by stressing the importance of the utility of the concept

of implementation. Fullan argued that implementing and sustaining elementary

school curriculums is a function of the three Ps inside the classroom:

personalization, precision and professional learning. His main point is that

implementation needs to happen in the classroom and that this involves leaders at

all levels of the system. The value of implementation is that it remains an elusive

concept that serves as a "constant reminder of how much more needs to be done"

(Fullan, p. 122).

Linking Theory and Action

In addition to curriculum and sustainability, Fullan (2008b) attempts to

present a theory of action. This theory of action is intended for whole system

improvement in education. Three conditions such theory needs to meet, namely:

systemness, movement and motivation. Fullan highlights that strategic plans are

often limited because they do not tell you how to get there. It is about "learning

by doing, but it is really by thinking in relation to doing (Fullan, p. 2). Fullan's

theory is the 'Theory of Action for System Change'. Its components are direction

and sector management, capacity building linked to results, supportive

infrastructure and leadership, managing the distracters, continuous evaluation and

inquiry and two-way communication. After discussing the meaning and underlying rationale of each components, Fullan invites those who dare to challenge his theory by asking them "to present the alternative with sound reasoning, underlying assumptions and thinking, and evidence that your alternative promises to be better" (Fullan, p. 18).

Linking Individual and Organizational Development

The link between individual and organizational development is revisited once again (Fullan, 2008d; Fullan & Sharratt, 2007; Levin, Glaze & Fullan, 2007). Reminiscent of Fullan's studies of Organizational Development during the 1970s and 1980s and of his teacher/principal (individual development) ideas during the 1990s, Fullan (2008e) points out that school's unfinished agenda is to integrate individual and organizational development. His argument is grounded in Pfeffer and Sutton's (2008) definitions of hard facts, half-truth and total nonsense. His main focus is to state how leadership programs can be improved so they can maximize school improvement and student achievement. For Fullan (2008e) a hard fact about the push for high-quality principals is "the development of rigorous programs designed to produce candidates who promise to make a significant difference in school improvement" (Fullan, p. 36). The half-truth "is the assumption that it will be sufficient to make a decided difference. In other words, these high-quality individual-development programs are not in themselves

a bad idea, but they are incomplete ... it is that individuals leaders, no matter how great, can carry the day (Fullan, p 36). The key idea here is that the culture of schools or organizations is too powerful for individuals to overcome. Fullan even goes and states that professional learning communities are a half-truth. "They give the educators involved a false sense of progress, while the deeper cultural changes required for school improvement are not being tackled" (Fullan, 2008d, p. 28). Quality implementation along individual and organizational development is important. These two must go hand in hand. In fact, it is about the integration of these two. "In short, efforts to reform school systems are doomed unless educators can combine and integrate individual and organizational development, focusing on mutually reinforcing content and strategies ... The best guideline for doing it well is to work explicitly on both elements, and on their integration. (Fullan, 2008d, p. 28). Integration of ideas and concepts seems to be so characteristic of Fullan's theories on change that one student at a North American university compared and even dared to question whether Fullan was a Buddhist (9 February, 2008) based on his perceptions of the integrative and wholeness orientation of his religious ethos.

Linking a Competitive Economy and a Cohesive Society

Fullan's (2008c) report on Ontario reform seems to be making a link between a competitive economy and cohesive society. His thesis is that an

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education system that is distinctive and worthy of Canadian aspirations is one who "energizes everyone in it or who comes into contact with it" (Fullan, p. 2). Its main goal is to reach every student. This is a system that is focused on three priorities: high levels of student achievement reduced gaps in student achievement and increased public confidence in publicly funded education.[81] Its supported conditions include: early childhood education, arts education, character development, student engagement, safe and healthy schools, parent engagement, peace and progress, school buildings, small class sizes, professional learning and leadership. A strong publicly funded education system is the foundational link between a competitive economy and a cohesive society.

Linking Leadership and System Improvement

Fullan's (2008g) revised and expanded edition of *What's Worth Fighting for in the Principalship* represents an attempt at linking leadership and system improvement. Fullan (2008g) documents problematic and promising change forces. The former are represented by initiativitis, high-stake vulnerability, managerial diversion, and unfit for purpose. Initiativitis is "the tendency to launch an endless stream of disconnected innovations that no one could possibly manage" (Fullan, p. 1). High-stakes vulnerability refers to the heavy "accountability scheme that is externally imposed, ill-conceived, and punitive

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[81]*see* Appendixes 6L, 6M, 6N, 6O & 6P.

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driven" (Fullan, p. 3). Managerial diversion is about the increasing demands for

managing budget, plant, personnel, and public relations (complaints). Unfit for

purpose implies that due to the complex and substantially different nature of the

principalship today, and the scarcity of applicants for the principalship and the

turn over demographics obligates many educators to enter the profession with

very different expectations and prematurely. The promising change forces are

strategies that have the potential to do good or harm. They are recruitment and

succession, cluster, networks and partnerships and international benchmarks. The

key idea here is that while these strategies and forces match up expectations for

principals, they can also "act as a series of vise-like clamps that prevent the

principal from really going anywhere" (Fullan, p. 13). The solution to this

problem is:

> Not to unfetter the principal to act autonomously, but rather to
> enable focused cohesion. When it comes to all things social, the
> metaphor of webs is more potent, tough, resilient, and dynamic.
> Vises are for inanimate objects that you don't want to go
> anywhere, while you shape them to your liking. Webs are alive.
> (Fullan, 2008g, p. 13)

Ways to focus on cohesion are for leaders to work on leading legacies,

leading knowledgeably, learning communities and systems. Leading legacies is

about leading for others; developing collaborative cultures; linking to the outside

and leaving fond memories (Fullan, 2008g, pp. 15-21). Leading knowledgeably is

about opening the 'black box' of instruction; pursuing the precision quest; linking

the results; developing a culture of improvement and learning during performance. Leading learning communities demands putting the knowledge base of collaborative cultures into action. Principals can accomplish this by making "teaching and learning the driving focus ... figuring out how to handle the growing managerial demands that, if mishandled, become dominant distractions to the main agenda ... and through distributive leadership ... [or better] 'growing tomorrow's leaders today" (Fullan, pp. 39-42). One missing piece that should not be neglected is leading systems. The responsibility of the principal here is to help and facilitate system cohesion. This is best done by "link[ing] to other schools ... building relationships with district leaders ... [and] 'connecting to the goals of the system as a whole" (Fullan, p. 43). Guidelines for principals and system leaders are offered in order to make their roles more effective and actionable.

Linking the Long and the Short of Educational Change

One of the most recent debates concerns the long-term and the short-term of educational change. Hargreaves and Fink (2005) have launched an attack on Ontario government's core education policy. Hargreaves and Fink (2005) question why Ontario modeled its change strategy on the targets and testing systems (England & Wales) that have continuously performed at lower levels than Ontario according to OECD reports.

The government's fixation on imposing short-term targets and aligning tests in literacy and numeracy ... boxed itself into a policy that will actually work against its attempts to return the Ontario education system to its place as a world leader ... the most recent research demonstrates that the so-called British achievement gains, based on imposed short-term targets and aligned testing, are mainly an illusion —partly because test items just got easier each year. This is exactly in line with Rosario Marchese the NDP education critic's critique of the government's take on recent EQAO results ... Wales has abolished testing up to and including age 14. England is starting to test younger children individually when they are ready, not in a state of high anxiety, all at once ... under Britain's National Literacy Strategy, fewer children are reading for pleasure ... Ontario could take its lead from Finland, the most successful nation on OECD comparisons of literacy and numeracy, which achieves its stellar results by trusting highly qualified teachers to deliver strong results without a top heavy apparatus of targets and testing. (Hargreaves & Fink, 2005, A25)

More specifically, Hargreaves and Fink's (2005) main concern is long-term sustainability. Writing about the provincial government of Ontario, Hargreaves and Fink (2005) expressed:

The McGuinty government has ensured labour peace by orchestrating four-year contracts with teachers, and pumping badly needed money into new textbooks, class size reductions, and building upgrades. We applaud these efforts. Yet we remain concerned for the long-term sustainability of the province's educational system. Despite its laudable initiatives, the Government remains fixated on imposing short-term targets and aligned tests in literacy and numeracy. By setting the goal that 75 per cent of 12-year-olds will reach the required standard on province-wide testing by 2008, for example, it has boxed itself into a policy that will actually work against its attempts to return the Ontario educational system to its rightful place as a world leader. (Hargreaves & Fink, 2005, p. A25)

Their main point is that the Ontario strategy transgresses the following

sustainability principles: depth, length, breadth, justice, diversity, resourcefulness,

and conservation. Fullan and Glaze (2005) responded back by pointing out that

Hargreaves and Fink are "seriously out of touch with respect to Ontario's Literacy

and Numeracy Strategy." They argued that their strategy was made in Ontario

although it is closer to England's NLNS where Fullan served as major advisor to

Prime Minister Tony Blair's Labour government in the UK. Fullan and Glaze

argued that "the EQAO[82] is an independent agency, not influenced by

government agendas." Fink and Hargreaves' arguments are five-fold:

> (1) the province has indeed imposed short-term province-wide
> achievement targets in literacy; (2) there is a clear paper trail in the
> national press that this overall strategy was inspired by direct
> knowledge of and involvement in that country's (England and
> Wales) national literacy and numeracy strategy; (3) the imposition
> of these strategies elsewhere, especially in England, has proved
> largely unsuccessful and unsustainable; (4) no contradictory
> evidence has been provided of short-term achievement targets that
> provide sustainable improvement and (5) we have provided clear
> evidence of high- performing countries whose success is based on
> professionally shared rather than bureaucratically imposed targets
> or on strategies that steer clear of testing altogether. (Fink &
> Hargreaves, 2005, p. 1)

Recently, Fullan argued that the Ontario province strategy is one of

capacity-building with a focus on results.

> The core question is, how do you get large scale change in a way
> that motivates the field to see the agenda is in their interest and not
> just a government agenda ... The essence of this is to have the

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[82]Education Quality and Accountability Office

direction from the center and to end up with joint ownership from the field. (Olson, 2007, p.1)

One recent question-answer brief note featured in ASCD article (2008) entitled "*Do educators need targets to hit the mark*?" showed Ben Levin and Andy Hargreaves debating the importance of target setting. The context is the Ontario Ministry of Education's (advised by Fullan) statement that "… 75% of grade six students in 2008 can reach Level 3 in reading, writing and mathematics ... [while the goal at the secondary level] is to have 85% of students graduate in a timely way" (ASCD, 2008, p. 1).

Hargreaves recognizes the calls for improvement and its sense of urgency. However, he urges that the "process should be transparent professionally and to some degree publicly so there will be some clear way of showing what progress is needed or what progress needs to be achieved" (ASCD, 2008, p. 1). Hargreaves is not opposed to targets. However, he is fully concerned about the undemocratic, unprofessional and hypocritical ways governments often manage targets. In addition, Hargreaves is equally concerned about the importation of the 'culture of other people's targets' from the corporate and political world of the United Kingdom, specifically England.

> It's important to understand Scotland has no targets, Wales has abolished targets, and now England has abandoned many of its targets because of repeated failure to achieve them. In Massachusetts, people in schools have also failed to meet targets and now the standards are starting to go down rather than up. People can really push themselves hard in cultures of anxiety and

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fear to raise levels of performance for a year or two, but then they just cannot sustain it, so the levels of performance drop and their attention to other things that matter also gets profoundly displaced. Ontario's targets differ from England's in literacy only by 5% and one year. It is a solution that's talked up in terms of public and parental accountability, but there was no public or parental clamour for targets at all. Finland, the highest performers in the world in literacy, performs perfectly well without them. It's about what is politically plausible - not what is educationally valuable. But if you are dealing with this, what do you do? How do you survive? And what are the alternatives? (ASCD, 2008, p. 1)

On the other hand, Ben Levin responds to target setting by reframing the question and clarifying the goals of the strategy.

The Ontario Literacy and Numeracy Strategy are not just about the 75% target; it is a broad based attempt to improve the teaching and learning of literacy and numeracy in Ontario schools. All materials produced by the Secretariat emphasize its multi-part strategy, of which targets are just one element. The Strategy is not about achieving a target; it is about real, sustainable improvement that will lead to the target being met – as shown in the recent independent, external evaluation of the Secretariat conducted by the Canadian Language and Literacy Research Network (CLRNet, 2007) (cited in ASCD, 2008, p. 2).

Levin defends specific targets as the focus for public policy for two reasons: (1) "targets set goals for public policy in many areas; (2) targets also provide understandable and meaningful aspirations for the public" (ASCD, 2008, p. 2). However, Levin acknowledges that targets can be badly done in that they can lead to negative unintended consequences; be poorly designed and implemented and unilaterally determined; used to "vilify those who do not achieve them" (ASCD, p. 2); "lead to poor teaching practices such as an emphasis

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on test preparation or a narrowing of the curriculum" (ASCD, p. 2); "designed to create unfair or invidious comparisons" and "misused for political ends" (ASCD, p. 2).

Levin argued that Ontario's targets - 75% of students in grade 6 reaching the provincial standard in reading and writing, and 85% of students graduating from high school in a timely way" (ASCD, 2008, p. 2) is "realistic, broadly shared rather than imposed, are not being used to create blame and do support good teaching practice" (ASCD, p. 2). Levin pointed out that Ontario targets are appropriate since other provinces in Canada have achieved higher targets; citizens expects and demand higher scores; there are no comparisons being made across schools and districts; there are significant support structures; there are new resources (funding, more professional development, smaller class sizes etc...) and powerful positive results such as the renewed energy and enthusiasm in public education.

This exchange on target setting reflects the emergence of a new era: post-standardization. As noted earlier, this is an era that is marked by the continuity of flat scores; narrowness of the curriculum; the enormous variability in definitions of proficiency and short-term gains that do not lead to capacity for sustainable learning over time; and contradictory, by the advocacy for the support for the role of the federal government in educational by traditionally disenfranchised groups; high levels of public concern; the value of data for tracing students' learning gains

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and the public's easy access to information (Shirley, *in press*). So if the observations of a post-standardization era are somehow accurate, what needs to be done in order to contend with the forces of post-standardization?

One recent manner of responding to this challenge is to link long- and short-term strategies in educational and organizational change (Hargreaves, 2008; *forthcoming*, a). It is critical to observe, as the chart below shows, the good sides and bad sides of both long term and short term action and thinking.

Short	Long	Short	Long
– *cynical* – *opportunistic*	– *evasive* – unaccountable	– *government-imposed short-term achievement targets*	– *UN Millennium Goals*
+*urgent confidence-boosting*	+ *enduring* + *sustainable*	+ *shared targets* + *quick 'wins'*	+ *authentic transformations in practices and beliefs*

(Hargreaves, 2008, p. 19)

Short-terminism can lead teachers to become the "victims of change-related chaos" (Hargreaves, 2008, p. 16). Long-terminism "can be an avoidance of responsibility. Procastination, filibustering, indifference and dithering ... are the evasions of moral purpose ..." (Hargreaves, p. 7). What is needed instead is "less wasteful and impatient approach that brings about more sustainable improvement instead" (Hargreaves, p. 17). This implies several principles:

> Putting learning first, before achievement and testing – rather than equating achievement with tested attainment in literacy and math

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in which Canada, ironically, already excels;

Distributing leadership widely and wisely so improvement becomes a shared professional responsibility rather than the object of top-down government control;

Ensuring improvement lasts beyond the tenure of one school leader or the government of the day's temporary election agenda;

Encouraging schools to work together, helping rather than competing against each other in the quest to raise achievement standards. (Hargreaves, 2008, p. 17)

Three alternatives of connecting the long and short of educational change are mentioned. One is Hargreaves' (*forthcoming*) illustration of Finland's wedding economic and educational system noted earlier. The Specialist Schools and Academies Trust in UK is another alternative for connecting the long and the short of educational change. This approach is built on transforming learning; supporting by mentor schools, training and technical support to interpret and analyze data and a menu of short term, medium term, and long-term strategies provided to the principals to identify measurable improvements and achievement. Hargreaves, Shirley, Evans, Johnson and Riseman's (2008) evaluation of England's 'Raising Achievement, Transforming Learning' (RATL) projects provides evidence of the importance and success of short-term strategies as an alternative instead of the threat of intervention and inspection and of the difficulties of long-term transformation. In other words, schools in the RATL project achieved success with short-term strategies but were unable to connect

with long-term transformations in learning and teaching. Following this, Hargreaves (2008) points out ten strategic implications for linking the long and short of educational change, namely: establish correct valuation; develop sustainable growth rates; be ethically consistent; balance investments; prioritize planning; broaden the language and vision; create intermediate indicators – of moving towards long-term objectives; commit to shared targets; reduce initiativitis; build from the bottom and steer from the top. The key point here is the claim that the long and the short, today and tomorrow are both essential and complementary rather than opponents and competitive.

Another alternative is the Alberta Initiative for School Improvement (ASCD, 2008; Hargreaves & Fink, 2005). This initiative promotes shared targets rather than the government's targets. Hargreaves concluded by stating that the government should "explore ways to keep focused on improvement, but to do it within and through the profession, not to it and on it" (ASCD, 2008, p. 1). It will seek pressure and support not coming from the government, but from the profession, through conditions that it can stimulate, prod, watch, and monitor rather than micro manage every stage of the process.

Summary

So how does Fullan responds to the post-standardization era. Long-time colleague and co-author Hargreaves (2008) states:

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Michael Fullan and I are therefore both wrong and both right. The challenge is not to choose between rewards today and tomorrow. It is to detect and select the good against the bad versions of each, and then to create better synergy between the two (Hargreaves, 2008, p. 16).

My response is what this section has reported. The development and evolution of Fullan's theory of educational change during the present era of post-standardization seems to be driven by the concept of links or linkages. Fullan attempts to link curriculum and sustainability, theory and action, individual and organizational development and a competitive economy and a cohesive society. On one hand, these comments and observations appear persuasive and compelling. Schools and systems are in need of leaders with strategies that are sustainable and actionable. Individual and organization must marry in leadership preparation programs. Principals and leaders are also charged to be agents of cohesion in a global, competitive economy and world that is full of paradoxes and tensions. I commend Fullan for inviting challenges for his theory of action and for providing solutions (Fullan, 2008b). On the other hand I truly sense that Fullan seems a little bit hesitant or reluctant to tinker with themes such as immigration (Cummings, 1998; Nieto, 1998; Noguera, 2006; *forthcoming*; Oakes, Rogers & Lipton, 2006) for which the literature of educational has received scholarly assaults and critiques. In addition, Fullan indirectly questions targets and testing. His closest observation is a middle-of-the-road approach. He calls for 'aspirational targets' (Fullan, 2008c). Perhaps, one should be reminded that Fullan

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is a systems thinker that was not only educated under a sociology of functionalism, but also works at the highest levels of education policy. Overall, Fullan provides a compelling case for a version of educational change that is more specific, action-oriented and focused to an educational policy era that is highly tainted with a flawed and superficial change theory that does not do much to produce the kind of system transformation that is expected by the public in general. To summarize, Fullan's writings since 2008 imply that a post-standardization era is showing up and therefore pushed for the reconceptualization of educational change theory in ways that acknowledged the problems, realities and conditions of system leaders that live in and out in the middle of such demands and challenges.

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CHAPTER SIX: CRITICAL COMMENTARIES ON FULLAN'S RECENT WORKS

Overview

In this chapter both positive and negative commentaries of three of Fullan's work are presented. A summary of the major ideas of Fullan's works is detailed. These include the following publications: *The New Meaning of Educational Change* (2001), *Change Forces: the Sequel* (1999) and a paper titled "*The Future of Educational Change: System Thinkers in Action*" (Fullan, 2006b). Competing as well as supporting views of Fullan's ideas are then examined. The researcher's critique may echo other scholars' critique of Fullan but it will also reflect this educator's own philosophy and values in education. Finally, I will offer some concluding remarks.

Summary of the Meaning of Educational Change (2001)

Fullan first published *The Meaning of Educational Change* in 1982 and subsequently in further editions in 1991, 2001 and 2007. The following summary is based on his third edition (2001) that was the focus of critique cited in this chapter.

Before going on in this chapter, a word about the meaning of educational change intended by Fullan will be briefly explored. Fullan (2001) does not intend

an anticipated conjecture of the meaning of change. Apart from citing Sarason's (1971) *The Culture of the School and the Problem of Change*; Lortie's (1975) *School Teacher*; Huberman's (1983) *Recipes for busy kitchens* and Goodlad's 1984 *A Place Called School* where Fullan paints a subjective picture of the reality of change for teachers, there is no anticipated conjecture of what a particular change means or demands for other stakeholders. Fullan intends to define the 'meaning' of educational change by what it means itself (materials, beliefs, strategies). However, he does not intend to define the 'meaning' as a matter of interpretation let alone as whether it is approved or disapproved by a certain or particular stakeholder in education. Rather, Fullan presents several chapters in which he brings stakeholders to some sort of altar of educational change. His intention is to say that the 'meaning of educational change is understood in very different ways. That is, Fullan seems to be saying that change does not only need to be managed is, but also reframed in terms of what its process implies for those participating in the change at the three stages, namely initiation, implementation and institutional. In short, Fullan does not attach a specific 'meaning' for educational change, but calls attention to the participants in the change process so they are able to recall what means for them.

Fullan (2001) focuses on the critical need to both develop and recognize an understanding of the meaning of educational change and the various actors who participate in change. In short, there is a critical need to develop a shared

understanding of what change means to the various people involved in various educational innovations and its anticipated and actual costs and benefits. After briefly reviewing the history of educational change efforts, Fullan affirms that the success of educational change rests on the beliefs, understandings and organizational roles of the individuals involved. "Neglect of the phenomenology of change – that is, how people actually experience change as distinct from how it might have been intended – is at the heart of the spectacular lack of success of most social reforms" (p. 8). Achieving greater understanding of educational changes requires that "…we come to understand both the small and the big pictures" (p. 8) and contend with "the 'what' of change and the 'how' of change" (p. 8).

Moreover, the problem of understanding the demands of change is compounded by the reality that schools face a fragmentation and overload problem. The challenge is to provide coherence and deep meaning of what and why change is being attempted. Thus, there is a critical need, especially for those in charge of implementation, to understand the general problem of the meaning of change in society as well as the subjective and objective meaning of educational change. Fullan (1999) concludes there is a need to find ways of "developing infrastructures and processes that engage teachers in developing new understandings" (p. 37) as well as gaining deep meaning "about new approaches to teaching and learning" (p. 38). Objectively, educational change "is not a single

entity even if we keep the analysis at the simplest level of an innovation in a classroom" (p. 39). Fullan (2001) aptly states that "innovation is multidimensional" (p. 39). There are at least three components: (1) the use of new or revised materials, (2) the possible use of new teaching approaches and (3) the possible alteration of beliefs about teaching and learning. The point here is that real change takes place along these three components. One important question here concerns Fullan's epistemology. Is 'change' objectively something apart from the interpretations that all stakeholders impose on it, or with which they make sense out of it? Or, rather is the concept of 'change' an abstraction, itself an interpretive word that attempts to simplify for purpose of rational analysis a phenomenon that is more like a chaotic system?

Moreover, Fullan (2001) states that the change process model consists of three stages: initiation, implementation and continuation. The core idea behind this model is that "change is a process, not an event" (p. 52). Factors affecting initiation include: the existence and quality of innovations, access to innovation, advocacy from central administration, teacher advocacy, external change agents, community pressure/support/apathy, new policy –funds (federal/state/local) and problem-solving and bureaucratic orientations. Key factors in the implementation process include the characteristics of change (need, clarity, complexity, quality / practicality); local characteristics (district, community, principal, and teacher) and external factors (government and other agencies). Factors affecting continuation

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include active leadership, professional development and staff and administrator turnover.

Fullan (2001) claims that educational reform efforts fail because of the faulty assumptions of planners regarding the change process. He cites three reasons. Change fails because "it is hyperrational; it fails to take into account local context and culture and it is dangerously seductive and incomplete" (p. 96). Fullan then goes into the local scene and explores the roles of the teacher, the principal, the student, the district administrator, the consultant and the parent and the community. The teacher is crucial to educational change. "Educational change depends on what teachers do and think–it's as simple and as complex as that" (p. 117).

School leadership is complex due to the fact that educational reform is more 'reculturing' rather than tinkering with school operational procedures and arrangements. There are a number of dilemmas that the principal faces in developing learning communities. One of these is the different and often contrasting leadership practices and characteristics that need to be employed depending on the phase of the change process. Fullan (2001) advises that principals can only be provided with guidelines for action rather than checklists or steps to be followed.

District administrators also play a very specific and crucial role. Fullan (2001) explains this in the following manner:

It is possible for an individual school to become highly collaborative despite the district it is in, but it is not likely that it will stay collaborative. If the district does not foster professional learning communities by design, it undermines them by default. We now know that schools will not develop if left to their own devices. (p. 165)

The main task of the district administrator(s) and superintendent is to facilitate the shift of "reculturing toward interactive, accountable, inclusive professional learning communities" (p. 180). Fullan (2001) offers some guidelines to accomplish this. "Choose a district in which change has a chance of occurring or do not expect much change. Once in a district, develop the management capabilities of administrators to lead change. Invest in teacher development. Focus on instruction, teaching and learning and changes in the culture of schools. Monitor the improvement process. Foster an identity with the district. Move toward the danger in selectively forming external partnerships. Continually conceptualize the purpose, design and process of continuous district reform" (pp. 180-181). Fullan reminds us that consultancy "is about building capacity, motivation, and commitment to engage in improvements" (p. 185) and that there is a need to understand and appreciate the different forms of parent and community participation (an untapped, rich and invaluable resource for educating children) and their consequences as well as a need for parents to act differently.

Finally, Fullan (2001) covers the role of governments, professional preparation and professional development of teachers as well as the future of

educational change. First, "governments can push accountability, provide incentives (pressure and supports), and / or foster capacity-building" (p. 220). The key here is for government to do all three at the same time. Second, the preparation, hiring and induction of teachers should not be looked upon as merely a structural reform. It is rather about the reculturing of the profession and the deep and lasting changes that accompany this. Third, the professional development of teachers is not about one-shot "workshops and courses; rather, it is at its heart the development of habits of learning that are far more likely to be powerful if they present themselves day after day" (p. 253). In this sense, reculturing schools demands the enactment of standards of practice that will be "evident in the daily organization and culture of schools" (p. 259). Finally, Fullan reminds us that the future of educational change depends on whether accountability and a professional learning community on the other hand "will learn to work through the discomfort of each other's presence until they come to respect and draw on each other's essential resources" (p. 267). The key here is to recognize that 25% of the change process is to have good ideas and 75% is to be able to figure out how to get there. The ultimate answer lies in having a grasp of principles of change.

Critiques of the New Meaning of Educational Change (2001)

Baker (2001) commends Fullan (2001) for his vision on meaning, relationships and coherence. Baker points out the emphasis on multiple meanings and consequent complexities. There is recognition of numerous positions in the educational establishment as being legitimate and important. None of these actors are viewed as villains and scapegoats. Rather, Baker stated that Fullan does two things:

> He steps back to see the whole picture and he also steps forward to understand the realities facing each of the key actors who must confront change in their lives. Few educational thinkers have the ability of Fullan who can move from the macro arena of nation states debating educational policy to the micro worlds of local educators in the trenches coping with the bombardments of new demands and the daily duties of keeping the school float. (p. 3)

Baker (2001) also acknowledges that Fullan (2001) is fully aware of the objective as well as subjective realities of the people involved in the educational enterprise. Subjectively, people should be allowed to make sense of a particular innovation. Objectively, teaching and learning is multidimensional. It consists of three aspects: materials, practices and beliefs. The key issue here is not Fullan's interest in explaining complexity, but most importantly, the need for shared meaning and program coherence. In this sense, the accomplishment of Fullan's work is the fact that it provides "a large body of evidence that, in some important respects, we have reached the limits of modernity in thinking about schools" (Cherryholmes, 1998, p. 270). In other words, this means that rational conceived

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plans, procedures and actions have a long history of failure in education reform

and thus a more pragmatic and non-rational approach stance and project in

needed.

As a result, it is no surprise that Baker (2001) highlights a further

dimension of complexity, namely: cultivating meaningful relationships for all.

Implementing change is about ensuring that educators not only know what and

why they should want to change but also how they are going to do it and what it

will costs them personally. Educational reforms should not be adopted simply due

to the virtue or foreseen benefit of the innovation. Baker comments:

> The strength of Fullan's work is his unwillingness to take the
> innovator's claims of virtue for what should change as a persuasive
> reason to expect easy sailing for those who must figure how to
> make new found virtues into a living reality. In educational change
> everyone claims good intentions and virtuous motives, but the
> complex pathways always lie ahead for those who hope to see
> broad and deep support for significant school improvements. (p. 7)

School development is the agenda and it is accomplished by the 25 / 75%

rule. Twenty-five percent is concerned with having the right ideas. Seventy-five

percent is about developing meaningful relationships. According to Baker (2001),

Fullan's (2001) vision is to cultivate relationships in two arenas of action: "(1)

inside their immediate circle of peers and others, and (2) beyond this circle in the

larger settings which require vital connections for all the groups and organizations

that constitute the educational system" (p. 8). Baker noted that the failure of

relationships is due to the 'charisma of certainty', 'zones of wishful thinking',

'single factor theories of change', the problem of isolation leading to the lack of

shared learning and the huge gap that separates state policymakers and local

practitioners.

Finally, Baker (2001) affirms that the value of Fullan's (2001) work stems

from his calls for coherence. "Rendering complexity understandable and

amenable to productive action is the theme of this book" (Fullan, p. ix). However,

coherence is characterized not as a coercive exercise of the powerful but as

something that "in a free society must be openly explored and thoughtfully

negotiated as a basic privilege and right for all educators and citizens" (Baker, p.

11). Pursuing coherence demands that local educators resolve the "paradox of

affirming the particularities of each child while simultaneously demanding that

children meet universal standards of measured performance" (p. 12). Fullan

provides a masterful analysis of this fundamental paradox. His ideas are very

consistent with the conceptual understanding of learning communities or learning

organizations which at the same time move the educational discourse away from

simplistic slogans and quick fix solutions. However, Baker asserts that Fullan's

work remains an unfinished agenda because of the difficulty of articulating "a

new vision of schools that can be the source of pride for local communities and

the instrument for an invigorated institution supporting democratic societies" (p.

14). A related issue that also remains unexplored in Baker is the nature of the

paradox of, on one hand, universal measureable achievement and on the other

hand educating children for a democratic society in which individual creativity

and initiative is as important as uniform shifts and perspectives. Tests can only

measure what are considered desirable universal skills and understandings tied to

a functionalist view of schooling and learning for work in a globalized knowledge

economy. Tests do not measure skills, understandings and dispositions required

for responsible citizenship and civic participation. Neither do tests encourage

teaching for divergent thinking nor socially constructed learning in a team. Yet, in

a fast paced global economy and global polity, these may be more important than

uniform individual problem-solving and problem-analysis skills.

Holmes (1998) begins his more sharply critical essay by stating that the

school change literature is grounded on false assumptions:

> … that in pluralists societies, one change fits all; that everyone (or at least everyone that counts) agrees that the myths underlying our civilization are poor, shriveled things no longer serving the attention of serious people; that change makes sense even without an agreed idea of what it is one wants to change into: that the future is something experts know and for which educators must prepare young people, rather than something in which every member of a pluralist democracy may be an active participant; and that practices in schools have not become established because they work, but because they are blindly followed by ignorant people not yet liberated by the superior wisdom of experts in school change. (p. 242)

His central objections to the school change and improvement project

include: the absence of a world view, top down implementation, control by

experts, lack of accountability and the leftist or liberal character of school change

agents. First, Holmes (1998) claims that "…efforts to change and improve schools are not based on any clear sense of what schools are for. This is seen by many participants as its great strength. School improvement literature is just there to help, not to impose its own ideas" (p. 246). For Holmes, this is problematic because we live in a nihilist era and as a consequence educators' beliefs seem to be prone towards emotivism because they are not grounded in traditional narratives. Specifically, Holmes argues that although Fullan (2001) now supports some sort of moral commitment in saying that the moral purpose is to make a difference in the lives of students (as it is also noted in Fullan, 1993), but there are no references to ethics. Fullan makes the point that clarity of moral purpose can be a liability of the vision is too strong or rigid. "Rigidity is anathema to liberal school change agents, which may explain their feeble attempts to describe the morality and ethics of educational change" (Holmes, p. 248).

Moreover, Holmes (1998) criticizes Fullan for ignoring people for whom flexible morality and dynamic complexity is part of the problem rather than the solution and for consequently "trying to lay down conditions for all schools" (p. 248). Fullan (2001) rejects truth and tradition. "Process is made a higher priority than truth for which knowledge is presumably a substitute" (Holmes, 1998, p. 248). Being an effective agent of change is subsumed in the moral purpose of teaching and learning. Holmes also claims that Fullan rejects traditional values. "Today, the teacher who works for or allows the status quo is the traitor; and …

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societal improvement is really what education is about" (Fullan, 2001 cited in

Holmes, 1998, p. 249).

Another problem that Holmes (1998) highlights is that although Fullan

may advocate for the combination of top-down and bottom-up strategies,

> …school change projects are inevitably top down. For all the talk of democratic decision making, collaboration and recognizing the importance of teachers, change projects are and must be implemented from the top. Occasionally, teachers may exercise the right of veto, but more usually any resistance will see them accused of being afraid of change and defenders of the status quo, the most grievous sin in Fullan's moral code. (p. 250)

The school change and improvement literature is controlled by experts.

"Parents, the clients, are rarely consulted" (p. 250). The educational change

literature does not mention parents' right to influence their children's education.

For example, Holmes (1998) states that the United Nations Declaration of Human

Rights' statement of parent's right to exercise a major influence on their

children's education" (p. 250) is scarcely mentioned in the educational change

literature and thus it is dangerous to the educational establishment because it

implies that parents may override the experts. Fullan (2001) admits that parents

can be involved, but does not suggest that parents can have any authority. The

school change and improvement literature does not consider parents "as being

relevant to change forces, this despite the fact that in the Western world there is

unprecedented dissatisfaction with the way schools are being operated, with many

parents feeling they are disenfranchised by the experts" (pp. 250-251). Parents

only participate as mere objects of public relations such as when they are

informed of school events.

> Parents are not at the top, they are at the bottom, if they exist meaningfully at all for the purposes of local school policy. Parents are not the only ones to be manipulated. Top down authority within a large, hierarchical organization, tends to give de facto authority to the educational experts, the school system administrators, district consultants and the external consultants whom they call for help, i.e., those with least direct involvement with or accountability to parents. (p. 251)

In addition to control by experts, Holmes (1998) states that change

projects are not subject to rigorous accountability. This is often masqueraded "as

an investigation of the sites of resistance to change and an examination of the

ways in which they can be overcome" (p. 251). As a consequence,

> … the language of change is often so nebulous as to deny measurement. This leads to such self-serving assertions as: the really important things in education (i.e., the things experts are trying to do) are too sophisticated to be measured; teachers' perceptions of improvement are more important than arbitrary measures; if the program is properly implemented, then there must be improvement because the things being implemented are indicators of the improvement itself; what we are looking for are improved critical thinking and better decision making, as distinct from the traditional measures of academic achievement. (p. 252)

According to Holmes (1998), the school change and improvement

literature is often characterized by a leftist character that is inconsistent with the

majority of school's clients. The educational mainstream is not representative of

the public mainstream. Most of Fullan's major referents (1993) refer to active

promoters of school change that do not express interest in minority dissent. The

point here is that "… their world view excludes large numbers of the population. They all prefer their own 'democratic' agenda to the inconsistent preferences of parents. The educational mainstream should never be confused with the public mainstream" (Holmes, 1998, p. 253). Besides, Holmes concludes that "the very fact that I am unable to point to many significant writers in education today whose ideas about change are ones I should like to be given more prominence" is evidence that school change and improvement experts follow a broad liberal and left dogma.

Perhaps, the strongest criticism of Holmes' (1998) is his own conclusion that the school change and improvement literature reveals the inherent contradiction between the belief that teachers should be constantly and critically aware of the problems in the status quo, "but that any reluctance to accept the reformer's new ideas is not at all a sign of critical awareness, but instead a sign of betrayal of the deity of change and improvement" (p. 255). This will be considered treason and certainly violates the sacredness of change.

In the eyes of Holmes (1998) school change and improvement fails because it does not address the most crucial issues: "The failure of change and improvement projects to address the real problems facing young people in school today; the value relativism explicit in its jargon terms – change, continuous improvement, flexibility, high-level problem-solving, critical thinking, and decision making; the attack on tradition and community, accompanied by a

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rejection of the consequences of pluralism; and the rejection of objective truth"
(p. 255). The school change and improvement literature is victimized by the
imported idea of continuous improvement from the industrial sector. "Continuous
improvement is a useful aim if one is building cars or television sets" (p. 255).

Summary of Change Forces: The Sequel (1999)

Fullan (1999) focuses on complexity theory (chaos) and evolutionary
theory in order to illuminate the dynamic forces of change in the field of
education. This work aims at exploring the nature of moral purpose and arguing
that it is not straightforward. *In Change Forces: The Sequel* (1999), Fullan
explores the implications of complexity theory for the change process; the nature
and meaning of inside as well as outside collaboration; the need to define the
problem of transferability – 'why obvious good ideas do not get used by others,
and how to reframe the matter so that larger-scale change become possible" (p.
ix); and "the essential fusion of intellectual, political and spiritual forces" in the
change process (p. ix).

Fullan (1999) defines moral purpose as "making a positive difference in
the lives of all citizens" (p. 11). Achieving moral purpose is not that
straightforward due to the presence and dynamics of diversity, equity and power.
In addition, attaining moral purpose in post-modern society is exceedingly
difficult because of complexity and evolutionary realities. Fullan defines

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complexity (chaos) theory as the science that "claims that the link between cause and effect is difficult to trace, that change (planned and otherwise) unfolds in non-linear ways , that paradoxes and contradictions abound and that creative solutions arise out of interaction under conditions of uncertainty, diversity and stability" (p. 4). On the other hand, Fullan claims that evolutionary theory "of relationships raises the questions of why humans evolve over time, especially in relation to interaction and cooperative behavior" (p. 6). This implies that humans are somehow different because of culture – the interplay of ideas, knowledge, practices, beliefs etc.

Fullan (1999) claims that understanding organizations as living systems and the role of knowledge creation in innovation is crucial for obtaining a better comprehension of the complex nature of the change process. Organizations as living systems lead us to question that "if we know so much about the change process why don't people use this knowledge?" (p. 14). This takes place because there is no authentic and conscious appreciation of the organic and evolutionary nature of the processes of human and organizational change and because, as a result, there is the realization that "there can be no cookbooks or silver bullets" (p. 14). Fullan seems to imply here that even though a change imported from the outside often comes with accompanying rationale, research evidence and a manual of steps to follow in order to implement the model or program, at the ground level of the change the implementers will have to construct new

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knowledge as they go along. Thus, this imported change plan will always have to

be adapted to unforeseen and necessary local conditions and circumstances. These

new adaptations may highlight flaws in the design of the change itself. In this

sense, local adaptation of the change may be better through the arrangement of

those in the ground to the disappointment and dismay of the experts. Thus, Fullan

suggests eight lessons for understanding and acting in complex change situations:

1. Moral purpose is complex and problematic
2. Theories of education and theories of change need each other
3. Conflict and diversity are our friends
4. Understanding the meaning of operating on the edge of chaos
5. Emotional intelligence is anxiety provoking and anxiety containing
6. Collaborative cultures are anxiety provoking and anxiety containing
7. Attack incoherence: connectedness and knowledge creation are critical
8. There is no single solution. Craft your own theories and actions by being a critical consumer. (Fullan, 1999, p. 18)

Fullan (1999) goes on to argue that collaborative schools are crucial for

success. He lists and examines the characteristics of inside collaborative cultures

for complex times. These "foster diversity while trust-building; provoke anxiety

and contains it; engage in accessing knowledge (tacit) from organizational

members as well as knowledge creation (explicit) or seeking new ideas,

knowledge and practice in the outside world; combine connectedness with open-

endedness and fuse the spiritual, political and intellectual. On the other hand,

inside-outside collaborative cultures work more effectively with a "two-way street of 'inside-outside" (p. 43) communication rather than with top-down-bottom-up thinking. Inside-out collaborative cultures are about sustained knowledge creation and purposeful examination of evaluation data while outside-in collaborative cultures imply that local districts and states are to become learning organizations by way of investing in local capacity-building efforts, designing sophisticated, flexible and rigorous external accountability mechanisms (e.g. literacy-driven assessment) and establishing a deliberate system of stimulating innovation (pp. 57-58). Characteristics of inside-out collaboration for complex times include reciprocity (two-way street), balancing too much / too little structure, deepening the intellectual, political and spiritual.

Fullan (1999) then takes on the problem of transferability and the fusion of intellectual, political and spiritual forces. Basically, transferability means attempting to replicate or transfer an innovation across school contexts (scaling up) (Datnow, 2002; Datnow, Hubbard & Mehan, 2002; Elmore, 1996; Mehan, Hubbard & Stein, 2005; Stein, Hubbard & Mehan, 2003). The difficulties of transferability can be ameliorated by the use of complexity theory for achieving new freedom; by transferring capabilities not products (invest in capacity building); by long-term investment and the integration of different theories, programs and people (p. 67). Finally, Fullan suggests that the fact that "change management is an oxymoron" (p. 78) that postmodern society is exceedingly

complex "does not mean that all planning is out of the window" (p. 78). What needs to be done instead is to "understand and use the forces of change to your advantage; base planning on deeper insights and develop and combine intellectual, political and spiritual forces (pp. 79-84).

Critiques of Change Forces: The Sequel (1999)

Caldwell (2000) states that Fullan's work is positive and helpful for three reasons. It helps to unlock the black box of inside collaboration. It unlocks the black box of inside collaboration particularly as it refers to site-based management and other reforms. In addition, Caldwell points out that the development of capacity-building is crucial for the success of reforms in schools and school systems. However, Caldwell critiques Fullan by arguing that his book is seductive and incomplete. It is seductive because of the friendliness of the lessons, the accessibility of the language and high credibility of the author. On the other hand, it is incomplete because it does not provide a detailed account of what capacities are to be developed especially at the classroom and school levels.

Likewise, Gutiérrez (2000) offers both positive and negative critical remarks. He asserts that Fullan's work is worth reading because of the compelling world view of teaching and learning that is offered. Viewing schools as living system is the most productive. Embracing the forces and complexity and evolution is most appropriate.

> Fullan correctly advocates that complexity and evolutionary theories guide our thinking about schools and most important, refresh and invigorate our strategies to recommit to our 'moral purpose' in public education, its reforms, its restructuring, and its renewal. (Gutiérrez, p. 219)

This is stated in order to point out that ecological models serve humanity and democracy best. However, Gutiérrez (2000) asserts that Fullan does not go far enough in his book. This work does not contest with the market forces and industrial models that drive and erode teaching and learning practices. In addition, Gutiérrez claims that Fullan needs to pay attention to the practical conditions that will enable individual as well as communal equilibrium. Advocating for moral purpose as a spiritual commitment is strongly endorsed. Nonetheless, Gutiérrez suggests small schools or learning communities represent one way to accomplish this purpose. The key is to examine the conditions that confront teachers in their own settings and to implement practical strategies that will enhance and strengthen collaboration. For Gutiérrez the major problem is that schools are guided by culture-driven industrial models that view and treat children as objects and teachers as laborers. Schools are also dominated by a market-orientation and behavior. Gutiérrez emphatically declares that Fullan misses the opportunity to challenge these industrial and market forces models and orientations. These can collide with evolutionary and complex forces. Helping educators fulfill moral purpose implies the restructuring of schooling around democratic means and behaviors. Ecological models, not industrial, "serve life and democracy best

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because teaching and learning are essential acts for developing human beings, not machines" (Gutiérrez, p. 224).

Gitlin (2000) was concerned about Fullan's definition and implications of moral purpose; his understanding of the nature of educational organizations and the lack of focus on relations of power when arguing for the combination of top-down and bottom-up approaches in education reform. Fullan (1999) stated that moral purpose is about both social and intellectual capital. However, Gitlin worried that while Fullan's notion of moral purpose is commendable; it lacks a more elaborate meaning. However, Gitlin criticized Fullan for ... not getting "beneath the surface in his articulation of moral purpose" (p. 212). For example, Fullan's statement that the disadvantaged 'have further to go" is problematic. It is not clear whether this statement implies that the lack of academic success for certain cultural groups' students resides in the home and represents a pervasive view of white middle class values as normative thus putting at a disadvantage students who abide by alternate values? In addition, Fullan's articulation and discussion of social capital is very ambiguous. Fullan stresses that the role of schools is to develop certain dispositions: civility, compassion, fairness, trust, collaborative engagement and commitment. Gitlin questions whether Fullan considers these dispositions "as a sort of universal good" (p. 212). Conversely, if this does not represent Fullan's position and he considers that these dispositions are part of a developmental process, then it is problematic to pinpoint what type

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of socialization needs to take place for various or diverse cultural groups of students in schools. The question concerns which values and ideals ground Fullan's work. Covering the moral purpose of education on the surface may contribute to the reproduction of "long standing group relations that have left particular cultures on the margins of society" (Gitlin, p. 213).

Gitlin (2000) also criticizes Fullan for failing to understand the differing nature of organizations. While commending Fullan for raising questions about traditional approaches for reform, Gitlin states that Fullan commits a great error when "using business literature to inform his understanding of schools" (p. 214). The main issue is the "lack of consideration of the difference between making a product which can turn a profit and working with a student to enhance her/his life chances" (Gitlin, p. 215). In short, the use of business literature "does not highlight the different aims of these organizations" (Gitlin, p. 215).

Finally, Gitlin (2000) criticizes Fullan for ignoring the role of relations of power when advocating for the combination of top-down and bottom-up approaches in education reform. Gitlin acknowledges that neither top-down or bottom-up approaches by themselves are key to successful reform. He even recognizes that many bottom-up approaches have a top-down and bottom-up element. However, Gitlin's main point is that Fullan simply does not get beyond the surface of the power issues and resistance struggles that teachers have historically enacted when trying to implement other's agenda (state and district).

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A related criticism to this power issue is who defines what is 'better knowledge'?

Gitlin appreciates Fullan's suggestion that educators at all levels of the system

need to become engaged in the development and cultivation of knowledge of

good practices through learning communities. However, the question is to

consider the relationship between power and knowledge. Gitlin eloquently asserts:

> Considering the relation between knowledge and power suggests that it is important, even essential, that teachers and other members of the school community not only collaborate and incorporate conflict, but also consider, and interrogate how relations of power skew the nature of the collaboration and the perceived legitimacy or lack of legitimacy of the knowledge produced. (p. 216)

For Gitlin (2000), the key issue here is legitimacy and the construction of

better knowledge. There is a need to examine how collaboration, in this case, may

function to legitimate hierarchical relations of power and confirm "the dominant

positions of particular groups within the educational community" (Gitlin, p. 216)

Summary of the Future of Educational Change: System Thinkers in Action

Fullan's (2006b) The Future of Educational Change: System Thinkers in

Action was a paper presented at the American Education Research Association,

San Diego, CA in 2004 and later published in the Journal of Educational Change

in 2006. This section reviews the key points of the paper and then summarizes the

responses offered to this publication by scholars Pedro A. Noguera, Louise Stoll

and Amanda Datnow.

Fullan's (2006b) paper states that the future agenda of educational change rests on the development of sustainability. He defines sustainability as "the capacity of a system to engage in the complexities of continuous improvement consistent with deep values of human purpose" (Fullan, 2005, p. ix cited in Fullan 2006b, p. 114). This definition is consistent with Hargreaves and Fink (2006b) groundbreaking definition of sustainability by which they "…simply do[es] not mean whether something will last. It addresses how particular initiatives can be developed without compromising the development of others in the surrounding environment now and in the future" (p. 30). Fullan's paper argues that

> … the key to establish sustainability lies in the fostering and proliferation of a fundamentally new kind of leadership in action. Such leadership requires conceptual thinking that is grounded in creating new contexts. New practitioners of this leadership and those working with them are decidedly not armchair theorists; nor are they simply leaders in the trenches. (Fullan, 2006b, p. 114)

These leaders are called 'system thinkers in action' or 'the new theoreticians'. They are the people that have the capacity to be in the balcony and in the dance floor at the same time. These are leaders who are part of the bigger picture and who are able to link to other parts of the system. So Fullan (2006b) affirms that the main mark of a school principal, for example, is not the impact he or she has on the bottom line of student achievement at the end of their tenure but rather how many good leaders they leave behind who can go even further.

The key here is to promote the development of system thinkers in action. This paper argues that system thinking (Senge, 1990) has not made progress in this human endeavor. Systems thinking is philosophically valid. Systems thinking integrates the other four disciplines of learning organizations (personal mastery, mental models, building shared vision and team learning). Systems thinking is grounded in the idea of in a learning organization in which individuals undergo a shift of mind that helps them to view a connected rather than a fragmented organizational world. However, Fullan (2006b) argues that in practical terms systems thinking does not develop "leaders to become greater, practical system thinkers" (p. 115). The core question is whether organizations can provide training and experiences for their leaders that will actually increase their ability to identify and take into account the system's context" (p. 115).

The future agenda of large-scale, sustainable educational change requires that systems and individuals translate and practice eight elements: (1) public service with a moral purpose, (2) commitment to changing context at all levels; (3) lateral capacity-building through networks; (4) intelligent accountability and vertical relationships; (5) deep learning; (6) dual commitment to short-term and long term results; (7) cyclical energizing and (8) the long lever of leadership (Fullan, 2006b, pp. 115-121). Fullan does not propose these as a simple analysis of the problem of leadership, the resulting plateauing effects and its conditions, contexts and cultures of the system at all levels. These are proposed as a challenge

to develop and gain "strategies, training, experiences and day-to-day actions

within the culture of the organization whose intent would be to generate more and

more leaders who could think and act with the bigger picture in mind thereby

changing the context within which people work in order to go beyond individual

and team learning to organizational learning and system change" (p. 121).

Critiques of the Future of Educational Change: System Thinkers in Action

Three separate responses to Fullan's (2006b) paper were published in the

September 2006 issue of the *Journal of Educational Change*. Commentators

included Associate Professor at the Rossier School of Education, University of

Southern California Amanda Datnow; Visiting Professor at both the London

Leadership Centre, Institute of Education at the University of London and the

Department of Education at the University of Bath Louise Stoll and professor in

the Steinhardt School of Culture, Education, and Human Development at New

York University as well as executive director of the Metropolitan Center for

Urban Education and co-director of the Institute for the Study of Globalization

and Education in Metropolitan Settings Pedro A. Noguera.

Datnow (2006) states that Fullan's (2006b) paper paves the way for a

stronger theory of educational change in the sense that this theory is grounded in

data. Although she agrees that sustainability is essential, it is rarely studied let

alone seen. Researchers either do not know how to find it or have the resources in

a particular location. In addition, most studies concentrate on specific school level factors and thus there is a lack of research on issues outside the school. Datnow argues that researchers "need to know much more about what a supportive reform infrastructure at the district and state level looks like" (p. 133). Fullan's paper, it is argued, provides some directions here.

Datnow's (2006) positive compliments revolve around four concepts or ideas: linkages, leadership, context and self-evaluation, and external accountability. Simply, a linkage is a "bridge between at least two policy domains" (p. 134). Its purpose is to enhance existing capacity as well as to potentially build capacity. It can be formal, structural, ideological and relational. Datnow compliments Fullan for raising the critical role of linking to other parts of the system as a requirement for those leaders who seek to change organizations and systems. Fullan's (2006b) writing highlights the importance of linkages as an essential piece of systems thinking.

Leadership as a calling that requires leaders "who can think and act with the big picture in mind" is another compliment. Specifically, Datnow (2006) points to the notion of distributed leadership. Datnow claims that this as a visionary idea. However, the question is what should the responsibilities of leaders be in an educational climate that is grounded in ever increasing accountability and regulatory testing measures?

Focusing on the need to change systemic contexts at all levels (school, districts and system level) is another idea for which Datnow (2006) recognizes Fullan's contribution. The complexity and value of the role of context is raised for the reality that many issues may go beyond individual programs or school units as well as individual school leaders. There is a need to investigate how other institutions beyond schools address contextual issues of race, language, poverty and other socio-political influences.

Finally, Datnow (2006) commends Fullan for connecting the idea of self-evaluation and external accountability. Datnow believes that self-evaluation and external accountability can be accomplished when schools and districts are able to engage in data-driven decision making. Again as in the previous comments, Datnow acknowledges that Fullan's (2006b) approach to capacity building provides "a way of thinking about how it fits into systemic change" (p. 135).

Noguera (2006) recognizes that Fullan is "one of the leading thinkers in school reform and educational leadership" and that "the clearest evidence of the value of Fullan's (2006b) work lies in the fact that his ideas have transcended national boundaries and been embraced in Canada, the US, England and a number of other nations" (p. 129). Noguera also agrees with Fullan that sustainability is the key.

However, Noguera (2006) charges that Fullan's (2006b) main points "…are almost completely irrelevant to urban and rural school systems in the US

and elsewhere that serve large numbers of poor children" (p. 129). The problem is that Fullan ignores "the central problems confronting schools in impoverished areas" (p. 129). School systems across major cities in the United States (one third of the school children) fail to deliver an education that could serve as a path to social mobility for the poor. The real challenge then is not sustainability but "rather how to contend with the manifold effects of poverty within the social context and within the organizational apparatus of the districts themselves" (Noguera, p. 130).

Building on this charge of irrelevancy, Noguera (2006) claims that Fullan's main points are compounded by his superficial references to context. Fullan's approach on context is narrow and weak because he "says nothing about what schools should do to address the challenges faced by poor children, their families and the schools they rely upon" (p. 130). The lack of this deeper analysis perpetuates in the eyes of researchers like Noguera "a form of de-contextualized analysis and benign neglect in scholarship and policy making that has rendered much of the educational research in the US useless to the schools that need the most help" (p. 130). As a result of this, it is argued, the delivery and consequences of high accountability schemes like No Child Left Behind (NCLB) does not do much to address the conditions under which many public school children are educated. Simply said, contexts are not addressed. Noguera defines contexts as the social and racial inequality that pervades public school systems and its effects

on school performance. Although Noguera imagines that Fullan will probably be a critic of the NCLB for the injustices it purports, he affirms that neglecting context reinforces and "inadvertently contributes to the narrow, de-contextualized, ''blame-the-victim,'' thinking that characterizes much of the scholarship and policy in the field of education" (p. 131).

Noguera (2006) suggests that Fullan (2006b) should focus on how sustainability applies to the specific conditions under which children are educated. Sustainability should be rewritten in light of the economic, political and institutional constraints that characterized the institutions that educate the young. It is about what it will take to educate children in poverty. How do educators serve children when they do not have the resources needed to do their job? Scholars must constantly remind themselves of the conditions under which students are educated. Noguera encourages and challenges scholars like Fullan to lend their expertise to help a system that is troubled by its turbulent environment and for which incentives and motivation are not logically expected given the fact that there are no options or access to superior alternatives. Unless scholars are willing to confront these challenges, Noguera argues, they run the risk of becoming irrelevant. In the middle of this conversation, Stoll (2006) poses five questions:

1. What really should be the purpose of educational change?
2. Does the nature of the co-dependent vertical ensure learning for all?

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3. Where does the student fit into educational change?
4. How can the wider community be engaged in collective capacity building for sustainability?
5. Does the future of educational change assume the existence of schools? (Stoll, 2006, p. 124-126)

Fullan's (2006b) emphasis on capacity building and sustainability is highly commended and strongly endorsed. These concepts help move schools towards institutionalization. They are also consistent with the rapid nature of change.

Stoll (2006) claims for a curriculum that is more humane. There is a need for both educating students for life as well as to make a living. Stoll questions whether intelligent accountability can work in two-ways. "How can a government also be accountable to schools and school leaders in a more ongoing co-dependent way other than, ultimately, through the ballot box?" (p. 124). Where does the student fit into educational change? In addition to this, Stoll reminds us that listening to students' voice can be catalysts for change. The critical issue here is how to ensure that students play their part in a more systemic approach to change.

The role of the wider community in collective capacity building and sustainability efforts is still another question. The challenging nature of networks and partnerships and the lack of a shared sense of moral purpose in the wider community are key issues that shall be considered if there is an expectation of commitment to public education. Finally, Stoll (2006) questions whether the future of educational change automatically assumes the existence of schools. Due

to technological advances and the knowledge society, it is suggested that

sustainability and deep learning and inquiry for individuals and communities may

lead to different educational arrangements or possible scenarios.

Fullan's Reply to Noguera, Datnow and Stoll

Fullan (2006a) replies to Noguera by affirming that he has two

disagreements. He states that his eight elements in sustainability are not merely

conceptual. These elements are grounded in his own work as well as others' work

in the field. All these eight elements, Fullan argues, are infused with moral

purpose in that they consist of strategies and plans that are targeted at raising the

bar and closing achievement gap in education. Concrete examples of this work

can be found in Fullan (2006c). In addition, Fullan claims that Noguera fails "to

offer any solutions or even lines of solutions to the critical issues he identifies" (p.

137). Therefore, Fullan charges that although Noguera is fully aware and engaged

in these issues to be fully relevant he should not only raise the questions, but also

provide actionable ideas.

Fullan (2006a) replies to Datnow by reinforcing her main points and the

need for further work. He also points that Datnow is right on target when she talks

about linkages, distributed leadership, context and self-evaluation and external

accountability since it is all about providing incentives for school leaders to have

a greater impact at the system level.

Finally, Fullan (2006a) states that he agrees with the importance of Stoll's first four questions. However, to the question of whether the existence of public schools in the future can be assumed, Fullan responds in the affirmative. The reason for this, he argues, is that public schools function to foster social cohesion. Fullan, Hill and Crevola (2006) supports Fullan's point that current approaches or policies for turning around schools may guarantee short term success while sacrificing sustainable reform.

Summary

This chapter covers three major specific works from Fullan's scholarship: *The New Meaning of Educational Change* (2001), *Change Forces: the Sequel* (1999) and a paper titled "*The Future of Educational Change: System Thinkers in Action*" published in 2006. These works highlight the need for shared meanings of educational change, the complexity of the change process and the sustainability of educational change respectively. Positive as well as negative critical commentaries of each of these works have been presented. Scholars acknowledge that the positive value of Fullan's work rests upon his comprehensive, complex and visionary approach to educational change. Scholars have argued that Fullan's work is highly inclusive. It includes and appeals to its different and multiple actors as well as realities. Schools and systems are treated as living organisms that constantly change and evolve. His ecological models of change serve humanity

and democracy best. Finally, Fullan's work is commended for helping educators understand and reconcile the ramifications and implications of sustainability (its paradoxes and contradictions) as well as for working to close the gap between theory and practice.

On the other hand, scholars have also expressed their objections and questions about Fullan's work. The central objections to Fullan's work rest on the lack of content for the meaning of educational change; the failure to take into account the industrial and market-driven forces that dominate the discourse of educational change in reform, the superficial treatment of moral purpose and context.

The meaning of educational change is seen as left-leaning politically. "School change and improvement projects are often characterized by an at least vaguely leftist sentiment, one shared by the majority of schools' clients" (Holmes, 1998, p. 252). Its major enemy is tradition in terms of parental authority and participation. Thus their dissent is negated by the 'experts' in the field. "Parents are not the only ones to be manipulated. Top down authority within a large, hierarchical organization, tends to give *de facto* authority to the educational experts, school system administrators, district consultants and the external consultants whom they call upon for help, i.e., those with least direct involvement with or accountability to parents" (Holmes, p. 251). The historical as well as political and social foundations of educational reform cannot be divorced from the

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industrial-oriented culture and market behavior that compete for reforms in the public education enterprise. The lack of a more elaborate and richer meaning of the moral purpose of schooling is not adequately addressed. Relations of power between higher and lower socioeconomic status, as well as the question of who defines what are normative values, and thus whose knowledge is legitimatized, escapes Fullan's attention. Finally, the mere mentioning of context does not mean that there is a clear and detailed idea of what this implies for large number of students who live in poverty. Accordingly, Fullan risks the chance of becoming irrelevant when the conditions upon which children are educated and its corresponding organizational arrangements are not taken into account.

This section clearly demonstrates that scholars do their work with a particular set of values. Logically, these values are rooted in particular framework or world views about the purpose and mission of education in a democratic society. Thus, educational change has different, multiple and often opposing meanings for scholars. Their experiences and knowledge color their interpretations and assumptions. Their voices illustrate their struggles to reconcile the micro (small) and macro (big) pictures, the objective and subjective realities of educational reform and the individual and the community tensions as well as to reconcile the worlds of theory and practice and the means and ends of educational change. Fullan's work is one way at attempting to accomplish this which is why one should not be surprised that others question its value and significance.

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CHAPTER SEVEN: CONCLUDING THOUGHTS

Overview

In this chapter, I offer some concluding thoughts. It consists of five

sections. The first section briefly reviews the introduction, background, purpose

and focus of this study. Next, I shortly restate the research questions, methods,

significance and limitations of this study. Then I provide a summary of the

findings as they were fully explained in the previous chapters. This section

highlights Michael Fullan's assessment of historical contexts of education reform;

the most predominant themes within Michael Fullan's educational change

literature; the development and evolution of Michael Fullan's theory of

educational change and critical commentaries on several of Michael Fullan's

works. In the fourth section, I report on the findings of the interview conducted

with Michael Fullan. Responses are reported with their corresponding questions.

Finally, I offer some brief but concise and critical conclusions in the form of some

challenges that await the field of educational change in light of the scholarly work

of Michael Fullan.

Introduction, Background, Purpose and Focus of the Study

Over the last six years, an overriding passion has motivated my research –

the origin, causes and effects of global changes on institutions as well as

individuals. Grounded in the omnipresence of change in society– its rather

inevitability and reality – I have attempted to explore how these societal changes

can be used to promote or inhibit the common good. At a general level, I am

passionate about studying the radical transition from the modern to the

postmodern era. I am concerned about the impacts and consequences of the

shortcomings of modernity and the challenges and implications of postmodernity,

the world economy and the information age. At a more specific level and as an

educator and member of a historically underrepresented and disenfranchised

group, I am particularly interested in exploring and examining what and how

educational changes and efforts can serve to increase the life chances of

disadvantaged students and families; improve and renew the teaching profession

and transform entire systems, communities and countries. Fully aware of the

increasing demand and growth for educational innovations in an increasingly

postmodern, globalized and multicultural world, I have set out to investigate how

theorists and researchers rethink and redefine educational institutions, policies,

strategies and practices in order to respond to these challenges. It is within this

framework and profound societal shift and background that this study seeks to

investigate and uncover the themes, influences, contradictions and objections that

contribute to and shape the intellectual underpinnings of the field of educational

change as seen through one of its leading authorities: Michael Fullan. To

accomplish this end, I have taken on the tasks of describing and analyzing his

complete works. This is a study not of the life but of the scholarly work of

Michael Fullan. This study attempts to understand the historical events and trends

that influenced Michael Fullan's research on educational change and to which he

was responding. That is, this is an analysis of Fullan's contributions to the

scholarly field of educational change as well as an analysis of how themes within

his complete works unfold and evolve from previous and past theoretical

positions. In short, it will attempt to highlight the development and cogency of

Fullan's ideas in the field of educational change. Here, I attempt to investigate,

articulate and interrogate the intellectual and strategic contributions of Michael

Fullan in the scholarly field of educational change. In a nutshell, this study

addresses the prime question of what are the intellectual underpinnings of change

theorist Michael Fullan.

Research Questions, Methods, Significance and Limitations of this Study

The research questions guiding this inquiry are the following: (1) what are

Fullan's major contributions to the scholarly field of educational change?; (2)

what have been the prevailing themes found in Fullan's work on educational

change?; (3) what have been the most significant influences upon Fullan's work

in terms of mentors as well as prevailing trends within educational change and

reform practice? and (4) what are some major positive and critical commentaries

on the influence of Michael Fullan's work? In order to respond to these

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questions, this study employs the methods of hermeneutical research. It follows

the loosely research discipline of a 5 step process. These include conducting a

literature review; performing repeated and intense readings and analysis of all of

Michael Fullan's published works; identifying the main ideas within each decade

of Michael Fullan's scholarly life; selecting and reviewing two major

commentaries on Michael Fullan's work and reporting on an interview with

Michael Fullan.

The primary significance of this study is that subsequent readers will be

able to view a coherent analysis of Fullan's past and present theories as well as

realize the significance of his works within prevailing trends in the fields of

educational change and reform practice. I am also hoping to both stimulate and

facilitate an interest in and substantive discussion of and new educational studies

that attend to the challenges of educational change in a knowledge and global

economy.

While this study is based on my commentaries in the historical contexts of

education reform as well as on the published works of Michael Fullan, I

acknowledge that this study still involves interpretation on my part. I will attempt

to counteract unwarranted personal opinions by basing my commentary on

citations of Michael Fullan's work, and by interviewing Michael Fullan in order

to verify/clarify my interpretation.

Summary of Findings

Michael Fullan's Assessment: Historical Contexts of Education Reform

An extensive literature review of the historical contexts of educational reform provides an understanding of educational change through the following five periods, namely: innovation and diffusion, school effectiveness and school improvement, school restructuring and reculturing, large-scale reform, and a reflective comment on the unfolding period of post-standardization. Fullan's scholarly commentary never led a change period, but rather provided a perspective of why certain initiatives (within each period) succeeded and others did not. For example, at the end of the innovation and diffusion period, Fullan acknowledged the rational and linear nature and process of educational reform as well as the absence of a clear and articulate theory of action which implied that adoption equated implementation. In the middle of the following period, Fullan presented himself as an advocate of school improvement in addition to school effectiveness. Fullan argued in favor of the importance of process factors in addition to outcomes. In both the middle and at the end of the school restructuring and reculturing periods, Fullan acknowledges and comments on the existence, value and necessity of restructuring; however, he claims that school improvement is not likely if there is no space for teachers and principals to question their beliefs as well as the values and norms that shape and guide their relationships. In Fullan's terms, reculturing requires attention to the culture of the schools as it

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affects its teaching and leadership force. Perhaps the exception to being in the middle and at the end of the previous periods is Fullan's participation in the current large-scale reform period. His most recent work and involvement as a consultant and project evaluator with countries and states (i.e., England, Ontario) may represent an attempt to lead the change period (large-scale reform). Fullan briefly acknowledges the arrival, reality, need and complexity of large-scale reform as well as its main enemies, namely – overload and fragmentation – and his advocacy for capacity-building and sustainability. Finally, it is not at all clear at all where Fullan stands on the theory of post-standardization. Fullan's position on the era of post-standardization and its theoretical and practical implications for the educational change process merits further investigation.

Michael Fullan's Educational Change Literature: Predominant Themes

Repeated and intense readings of all of Fullan's works highlight their major and dominant themes. One the one hand, it is about the critical role of stakeholders in education (students, teachers, principals, parents and community, district administrators and consultants). Students are treated as the means of innovations therefore playing a very passive, rather than active role in the process of change. Teaching is not a learning profession as it is not geared towards continuous learning. Principals experience overload, fragmentation and are often the victims of historical conservative tendencies that lead them to indirectly and

directly support and embrace the status quo while also being trained under the rational management of change model. There is a need to understand as well as to help parents and communities develop the skills that will help their corresponding children and schools. The roles of district administrators have undergone a radical shift from educational representatives to conflict management and negotiation advocates. Finally, consultants should be aware and knowledgeable about underlying theories of action, not only of education, so they can contribute to the conditions that lead to capacity-building in the districts and schools they work.

One the other hand, it is about the critical implications of a set of concepts on educational change, namely: process, dimensions (the objective reality), assumptions (the subjective reality), moral purpose, relationships, knowledge, sustainability, complexity/chaos and evolutionary theory, systems, paradoxes, coherence and theory of action. Educational change is not an event, but a process with three significant phases (each mediated by a myriad of factors) that should be seriously observed: initiation; implementation; and institutionalization. Educational change is multidimensional process characterized by three objective components: the alteration of beliefs, the adoption of teaching approaches and the use of materials. Similarly, the process of educational change often fails because of the subjective assumptions underlying its rational, contextual and cultural insensitivity and seductive appeal and nature. The pursuit of moral purpose is

about the improvement of education for all students and it should be married to change agentry. Reframing and cultivating relationships between stakeholders is paramount in the educational change process. Procedures and opportunities should be established for both knowledge creation and sharing. Sustainability is about the whole system, not only system thinking. Developing and sustaining a great number of system thinkers in action is the key for sustainability. Complexity/chaos and evolutionary theories can help stakeholders towards learning and adapting to changing and uncertain circumstances. Educational transformation is about capacity-building at the level of the school, the district and the state. Paradoxes can help explain best the new mindset, paradigm or worldview that governs our knowledge society. Paradoxes demand a different kind of thinking. Educational change becomes the science of reconciling opposites. Coherence-making is about inserting lateral accountability; the sorting and selection process embedded in knowledge-creation and knowledge-sharing and the gaining of insights through shared commitments to selected ideas and paths of action. Finally, Fullan's work underscores the necessity of making explicit of set of theory of action that meets the criteria of systemness, movement and motivation. Fullan's works underscore his intellectual integrity, inclusive and global and systemic approach and sociological background.

Michael Fullan's Theory of Educational Change: Development and Evolution

An exploration, analysis and synthesis of the development of Fullan's theory of educational change captures the intellectual underpinnings of Fullan' scholarly work through a brief examination of prior key thinkers in the discipline of sociology as well as mentors on educational change and reform; describes various ways change is defined (models, strategies, types, stages, characteristics, scope, factors and forces) in order to represent the unique ways in which Fullan defines educational change; recounts Fullan's academic background and preparation and outline the evolution of his writings by examining it in decades. The most predominant and influential sociological thinker in Michael Fullan's work is Emile Durkheim. Fullan's scholarship on educational change (1969-2008) reveals particular connections between his ideas on change and the key works of sociology father /founder Emile Durkheim. Durkheim's intellectual thoughts on social solidarity, social roles, collective bonds and cohesion significantly contributed to and continue to shape Fullan's scholarship on educational change. Fullan's advocacy for whole systems, links, relationships and meaning suggests the ongoing presence of Durkheim's ideas.[83] His work seems to be preoccupied with the roles and relationships that organizations and individuals play in a given institution (educational systems in this case). Mentors on educational change and reform include Seymour Sarason, Matthew B. Miles,

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[83] s*ee* his dissertation and initial writings (Fullan, 1969; 1970; 1972).

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Per Dalin and John I. Goodlad. Sarason was influential for introducing Fullan to the dynamics of school change. Miles was influential in providing Fullan with a sound and critical understanding of paradigms of school change and the key variables for understanding. Norwegian Dalin is credited with being one of the first scholars to introduce Fullan to the international scene. Dalin's studies of innovation and change processes in different OECD countries research projects prompted Fullan to examine closely the critical concepts in the process of change. Finally, Goodlad was very significant in that through him Fullan was introduced to several classroom as well as school-based studies and reports that highlighted the absence of change. Goodlad underscored the continuity of classroom teaching and learning patterns despite years of multiple and often colliding educational innovations and reform attempts. In regards to change process models, Fullan's work was groundbreaking at the time and unique for its stake-holder-agent approach. Its emphasis and focus on the perspectives and roles of participants and institutions in the change process in schools, districts and governments and its intent on treating innovations not as ends in them distinguish Fullan's change process models from others. In regards to definitions and perspectives in educational change and reform, Fullan's work ignited a paradigmatic revolution in that he advocated for system and large-scale educational reform while acknowledging and claiming that the realities of every human participant in the

change process should be the focus of educational change. In short, change is about implementation, large-scale reform and the stake-holders.

Careful analysis of Fullan's dissertation and beginning academic work thereafter demonstrate the dominant academic paradigm of functionalism in sociology and two of its key proponents Parsons and Loubser. Fullan's scholarship on educational change is functionalist. It attempts to examine and explore schools and systems in terms of the consequences they have for the whole. Thus, Fullan's writings always aim at whole system reform rather than specific individuals or initiatives. It thus becomes clear that the two functionalist theorists, namely Talcott Parsons (doctoral advisor of Loubser) and Jan B. Loubser (doctoral advisor at the University of Toronto), have played a significant influence on Fullan's scholarship on educational change. Parson's significance was two-fold: the emphasis on a general theory of social systems and its consequential role as a meta- and grand-theorist. On the other hand, Loubser was significant because of his attempts to link theory to action in his studies for the Canadian government. Both of these prominent figures influenced Fullan as a scholar of educational change in the sense that they provided the intellectual underpinnings for not only a theoretical, but also a practical worldview of the functions of systems and their relationships to the individuals that comprised it.

Michael Fullan's Works: Critical Commentaries

Reviews of two major (negative and positive) critical commentaries underscore that scholars acknowledge that the positive value of Fullan's work rests upon his comprehensive, complex and visionary approach to educational change. Scholars have argued that Fullan's work is highly inclusive. It includes and appeals to its different and multiple actors as well as realities. Schools and systems are treated as living organisms that constantly change and evolve. His ecological models of change serve humanity and democracy best. Finally, Fullan's work is commended for helping educators understand and reconcile the ramifications and implications of sustainability (its paradoxes and contradictions) as well as for working to close the gap between theory and practice. On the other hand, scholars have also expressed their objections and questions about Fullan's work. The central objections to Fullan's work rest on the lack of content for the meaning of educational change; the failure to take into account the industrial and market-driven forces that dominate the discourse of educational change in reform, the superficial treatment of moral purpose and context. More specifically, the meaning of educational change is seen as left-leaning politically. "School change and improvement projects are often characterized by an at least vaguely leftist sentiment, one shared by the majority of schools' clients" (Holmes, 1998, p. 252). Its major enemy is tradition in terms of parental authority and participation. Thus their dissent is negated by the 'experts' in the field. "Parents are not the only ones

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to be manipulated. Top down authority within a large, hierarchical organization, tends to give *de facto* authority to the educational experts, school system administrators, district consultants and the external consultants whom they call upon for help, i.e., those with least direct involvement with or accountability to parents" (Holmes, p. 251). The historical as well as political and social foundations of educational reform cannot be divorced from the industrial-oriented culture and market behavior that compete for reforms in the public education enterprise. The lack of a more elaborate and richer meaning of the moral purpose of schooling is not adequately addressed. Relations of power between higher and lower socioeconomic status, as well as the question of who defines what are normative values, and thus whose knowledge is legitimatized, escapes Fullan's attention. Finally, the mere mentioning of context does not mean that there is a clear and detailed idea of what this implies for large number of students who live in poverty. Accordingly, Fullan risks the chance of becoming irrelevant when the conditions upon which children are educated and its corresponding organizational arrangements are not taken into account. Critical commentaries clearly demonstrated that scholars do their work with a particular set of values. Logically, these values are rooted in particular framework or world views about the purpose and mission of education in a democratic society. Thus, educational change has different, multiple and often opposing meanings for scholars. Their experiences and knowledge color their interpretations and assumptions. Their

voices illustrate their struggles to reconcile the micro (small) and macro (big) pictures, the objective and subjective realities of educational reform and the individual and the community tensions as well as to reconcile the worlds of theory and practice and the means and ends of educational change. Fullan's work is one way at attempting to accomplish this which is why one should not be surprised that others question its value and significance.

Michael Fullan's Voice: Interview Findings

As noted earlier, since the purpose of this study is to explore and describe the evolution and impact of Fullan's professional experiences in the intellectual fields of educational change and reform, something not easily derived from observations or surveys, an interview was one primary data source. Previous to starting this study, Fullan was sent a preliminary letter. The purpose of this letter was to kindly ask Dr. Fullan to write a letter of agreement that will be subject to a formal letter of consent. After receiving this letter, an informed consent was sent. In order to schedule the interview, this informed consent asked Dr. Fullan to provide a one year in advanced professional schedule. In this way, the researcher was informed beforehand where Fullan would be presenting and therefore was able to plan for the interview. E-mail- and phone-based conversations were an option left for the interviewer to use in case of the need for further clarification.

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About The Interview and The Questions

This interview consisted of thirty-three questions. These were classified according to universal themes or categories that emerged during chapter two (Historical Contexts of Education Reform), chapter four (Major Themes in Fullan's Works) and chapter five (Fullan's Theory of Educational Change: Development and Evolution). Therefore questions were classified under the following titles: sociological worldview, educational worldview, innovation and change worldview, perspectives of educational change, transitions, mentors and protégés, critics/contradictions/contexts, students, projects/reforms/consultancies, as a researcher and as a professor, values / ethics, pro or con post-standardization and legacy. A time-line was used when interviewing Fullan. It was used because it allowed the researcher to re-structure, re-focus and re-examine questions related to the focus of the study. This was a researcher-constructed time-line of all of Fullan's writings and was in concordance with Fullan's curriculum vitae, his own website and research conducted in the web and at the library by the researcher. This was especially helpful for the thematic analysis of all of Fullan's writings. Although this study is based on Fullan's published works only, all of his works since his own dissertation in 1969 until April 2008 were included.

Interview questions as well as the time-line were both e-mailed and mailed to Fullan's private residence four weeks prior to the interview date. Originally, Fullan agreed to be interviewed at his office at the University of Toronto Ontario

Institute of Studies in Education. However, due to a busy international traveling schedule, Dr. Fullan, at his discretion and suggestion, was interviewed at his home private office in Toronto, Canada. The interview lasted three hours and ten minutes. To answer questions, Fullan chose to read each question and then respond. As is evident in the reported findings and responses, Dr. Fullan preferred to answer some questions by grouping them together while others were answered specifically and separately. Here are the questions and responses.

Interview Questions and Responses

SOCIOLOGICAL WORLDVIEW

1.   When we look at the discipline of sociology, one finds its classical thinkers as being for the most part three, namely: Karl Marx, Max Weber and Emile Durkheim. Earning your degrees in sociology at the University of Toronto in 1969 presumably made you read and study the works of each one of these thinkers. If you were to talk about roots or beginnings, which one of these thinkers (Marx, Weber & Durkheim) originally had the most influence on your career? What specific work(s)? Why and in what ways?

Response

The first question talks about my work in the late 60s at the University of Toronto. I really went into my PhD without very

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much of a focus. So, in that sense, everything was new to me. And my doctoral dissertation mentor was a student that was taught under Talcott Parsons. His name was Jan Loubser. Loubser was really guiding me from, you know, how to study all the basics in sociology. So in terms of the first question, I would say that both Max Weber and Emile Durkheim were strong forces. Bu they were about basic foundational stuff. I wasn't really yet applying it. I was just getting the ground in. I would say that Weber and Durkheim influenced me more than Marx. But it wasn't the kind of influence that would say how they got it right or this is what I have wanted to do all my life. It was more basic. It was my basic studies and foundation.

2.   In your 1969 dissertation entitled *Workers' Receptivity to Industrial Change in Different Technological Settings*, you set out to explore "worker's relationship to the technological process (nonsocial) and to the various levels of the organizational system (social)" (Fullan, 1969, p. 2). This question was theoretically approached and based upon the work of sociologist Talcott Parsons's *General Theory of Action* (Parsons and Shils, 1951) which refers to the organizational situation and the orientation of an actor to that situation. Talcott Parsons is also known for the theory of

structural functionalism which views society as a system of interrelated and cooperating parts. In what ways does your work on educational change over the last four decades reflect and digress from this theoretical view by Parsons?

Response

When I got more involved with my dissertation, that's where my interests started to sharpen. I was always interested in what did change look like from the point of view of what I called in those days, the user. So my dissertation was about workers' receptivity to change. The emphasis was on the subjective world of the worker first and then with the structural or cultural surrounding that. I wouldn't say that Parsons reflects my work in terms of his actual theory. His general theory of action to me even to this today is still very general and not applied enough for my kind of analysis. So, the structural functionalism that he represented was good for analyzing society but it wasn't very good for informing a theory of action. Even though he called it the general theory of action, I didn't find the action part very applied enough for me. So, it enabled me to do my dissertation which I was able to develop based on finding out more and more about workers' receptivity and alienation. I began to see a tamed version of Marx that was coming

into play. That is, it wasn't so much that workers were being exploited. It was more the analysis of what that world was like from their point of view.

EDUCATIONAL WORLDVIEW

3.   Throughout your scholarly career in educational change, your work seems to be that of a systemic or systems thinker (Fullan, 2007). Your work on educational change addresses sociological debates, namely the individual and society; consensus and conflict, structure and culture, stability and change and the macro and the micro (Would you consider your calling as being an agent of reconciliation between opposites? Why? Explain.

4.   Have you been influenced by the constructivist theory of John Dewey? Have you been influenced by the critical theory of Paulo Freire? Have you been influenced by the work of John I. Goodlad? In what ways? Explain.

Responses to Questions 3 and 4

The single book and the single author that represented the breakthrough for me was Seymour Sarason. Seymour Saracen wrote a book in 1971 called *The Culture of the School and the Problem with Change*. He was the first person who really made the breakthrough on the problem of change being a basic culture where

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those that were implementing change were less in the know and more on the receiving end and that those that were introducing innovations weren't taking their world into account. There was a cluster of authors that really influenced me then. One was John Goodlad's *Behind the Classroom Door* in 1968. Another was Neil Gross. He was a sociologist that wrote about implementing innovation. The term implementation was used for the first time around 1958 in a paper by Neil Gross. The trio, Goodlad, Gross and Sarason were all zeroing in on the problems with implementation. Seymour Sarason did the best job because he did it from a subjective meaning point of view; whereas Goodlad and Gross were saying why innovations didn't work. These two were trying to get the innovations to work where Seymour was trying to understand the influence of culture. In fact, Seymour used to come up to Toronto every couple of years. He is still alive. He is in his 80s. He wasn't a kind of a personal mentor but through his writings and through the annual conversations I had with him, it was quite reassuring.

5.   In your writings, you make a distinction between theories of education and theories of change. Could you elaborate a little bit on how you understand the distinction between these two?

6.   What is your theory of education? How do you define learning? What works or scholars exemplify your position on learning?

Responses to Questions 5 and 6

Here are some questions (referring to both questions #5 and #6) about the distinction between the theory of education and the theory of change. The distinction between the two is that the theory of education is a theory about how children learn and about pedagogy and learning theories and developmental theories and so forth. Whereas, the theory of change is about how the change process would unfold and what part you have to take into account. So even today I think of two sets of knowledge that people need. They need knowledge about what leading reformers need. They need knowledge about pedagogy, constructivism, or whatever your theory is about pedagogy is. But they also need knowledge about the management of change, which is how to change a culture, how to deal with resistance, how to deal with the overload of changes and the political source of changes.

There's a question here that talks about defining learning. Well, there is the learning of the students and then there is the learning of the adults. I would even add the learning of the organization. This is called organizational learning. So, I don't have I could say a very sharp definition of student learning. I'm certainly influenced more by the constructivists in that I want students to learn how to think and problem solve and work with others and be their own learners. But my life is not devoted to getting the theory of learning. I'm more following other people's work in that respect. I am more interested in the management of change surrounding theories of learning.

INNOVATION AND CHANGE WORLDVIEW,

7. Some of your works mention the contributions of what I call 'innovation scholars' such as Everett Rogers, Ronald G. Havelock and Per Dalin to the emergence and study of educational change. What is the impact of their works on your work on educational change?

8.   To what extent your understanding of educational change has been

influenced by prominent American psychologist and founder of modern

social psychology Kurt Lewin (1958)?

Responses to Questions 7 and 8

You mention the names of various scholars in change. You have

here Ron Havelock, Everett Rogers and Per Dalin. I would also

add Matt Miles as another mentor in that group. I became very

close friends with Matt Miles. He was a social psychologist. He

was very brilliant. In terms of the management of change,

educational implementation around 1968 to 1975 was a brand new

field. I was lucky to enter the field as it was being defined. So, it

wasn't like here's the field I'm coming on to catch up to it. The

field was emerging. And the big spokespeople were Everett

Rogers, Matt Miles, Ron Havelock and Per Dalin. Per Dalin was a

Norwegian. He had a project called the International Management

for Training in Educational Change. He was also responsible in the

late 60s early 70s and onward from there. He was the very first

person internationally who brought together leaders to focus on

what we know about change, to do case studies, and to learn from

it. So I got my apprenticeship in that international context. This

was international in the sense of the people that were leading it.

Per Dalin was the chief. But the intellectual leaders were people like Matt Miles and others. It was an apprenticeship for me. I was a junior professor just in my late 20s. I was going along helping doing case studies. We did a case study in Toronto and I was his assistant. Dr. Loubser was the one that introduced me to Per Dalin. Then I became a strong part of that initial group of international researchers. They weren't so much at that stage trying to give out practical strategies for reform. They were trying to understand how change happens, and criticize it. So, I really grew up through them. Karen Seashore Louis was one that came along. She was about in the same age but younger than me. She was part of that very influential international group.

9.   One can recognize that there are two categories of change theories (Zaltman and Duncan, 1977). Change can begin from within the organization/individual or begin from the social conditions or environment. Where does your change theory fit into this dichotomy? Does it begin from within or from without?

10.   Renowned researcher and professor Karen Seashore Louis claims that knowledge utilization theory needs to be resurrected by stating "that we do

not need to throw away our theories about school reform processes and Diffusion and Utilization, but to merge and enlarge them" (Louis, 1998, p. 1092). To what extent has your understanding of educational change been influenced by knowledge utilization theory?

Responses to Questions 9 and 10

Question 9 says change from within versus change from the environment where does your change theory fit into this dichotomy. You're talking about Zaltman and Duncan. Does it begin from within or without? Here's a very good question because there's one difference here that I think is absolutely paramount which is that change from without. Are we talking about naturally occurring change or are we talking about planned change? There are two answers to this. One is that the change from without that's naturally occurring is always the biggest force for change like population shifts, globalization these days, technology and all of those social forces that are built into society. Those forces will always be from without so to speak because they're happening to society. So in that sense, those forces go on. But the particular subset I've been interested in is planned change. That is, deliberate attempts to improve things with an explicit theory. There I would say that my answer to it, probably if I was supposed to give a one

sided answer, I would say most changes including planned changes of any scope always come from without. That is, most organizations are kind of sunken in their ship. They will not change themselves. The odd one does but part of it won't add up. And therefore you'll always need an external stimulus such as policies and strategies to make that change. But I've also come to a conclusion through our studies that top-down change doesn't work. So, if it's from without, you try to test drive it from outside. Bottom-up change doesn't work because there's not enough leverage. So the way we describe our change now is blended top-down and bottom-up. So I guess another answer is that it doesn't matter where change comes from as long as you engage in a strong change process from there. And all the time it would be leaders within an organization seeking change and using the outside to leverage it. But if you want to talk about large scale change it's almost always going to come from outside. That is where I am interested. And for large scale change to happen it always will come from outside.

PERSPECTIVES OF EDUCATIONAL CHANGE

11.   House and McQuillan (1998) examined educational change from three

         perspectives: technological, political and cultural. "The *technological*

         perspective takes production as its root image or metaphor ... The *political*

         perspective takes negotiation as its underlying image ... The third

         perspective is the cultural, which rests on an image of community (House

         and McQuillan, 1998, p. 198). Which perspective is most dominant in

         your work? Explain.

12.   Has your work been influenced by the Hall and Hord's (1979; 1987)

         Concerns-Based Adoption Model (intended adopter/user)? Explain.

13.   The educational change model of Zaltman and Duncan (1977) focuses on

         resistance. What impact, if any, has this work had on your understanding

         of educational change?

14.   Chin and Benne (1969) describe three basic strategies for change:

         empirical-rational, normative-reeducative and power coercive. Which

         perspective is most dominant in your work? Explain.

Responses to Questions 11, 12, 13 and 14

If we go on to perspectives on educational change, you ask about how they have influenced me. Scientist Ernest House was a good friend of mine and a good analyst of the day. His stuff on the technological perspectives and the political perspectives was key. Gene Hall's work was also influential. As a matter of fact, he was also a colleague of mine at the time. And then you have Chin and Benne's empirical rational knowledge of re-educative powers. If we take that set of scholarly themes I would say I certainly took those into account in my writing. But I was less interested in that broad based analysis that House or Zaltman and Duncan did because I wasn't interested in analysis. I was interested in action and improvement. And the biggest intellectual breakthrough for me was an edited issue of the Journal of Educational Studies called Interchange published by the Ontario Institute for Studies in Education. I wrote this quite major introduction pieced called, "An Overview of the Innovative Process and the User", that in some ways was my seminal work. From the beginning of the seminar workshop, the very knowledge and the very terminology used was directed at that the innovative process and the user. I wouldn't use the term user. It was more. I've moved into the subjective realm of the people on the receiving end of external change, which in those

days I called the user. And beginning to unpack that was very much stimulated by Seymour Sarason's *The Culture of the School and the Problem of Change*. Then, Matt Miles' stuff as well on the social psychology of change was key. It was sort of a niche for myself. It was implementation but not from a technocratic point of view but more of the cultural perspective which is if you take Chin and Benne's normative re-educative view. That would be my starting point. It was normative re-educative earlier and then re-culturing later. We can talk about the role of power later…

TRANSITIONS

15.   What events, contexts, encounters, people, projects, ideas, theories help you transition from sociology into education?

Response

> I think the biggest transition was my job. That is, in 1967 I was at the University of Toronto doing my PhD on sociology. It was nothing to do with education. My boss was Jan Loubser and OISE was just opening. It actually opened in 1965 but it added its sociology department. It added that department in 1968. My boss was hired as the first chair. And there were no professors so he hired me. They had lots of money actually. During my first twelve

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months there we had zero students. So I was totally unlike that junior professor now where you got to work on. You know you nowadays have teaching assistants and huge work while you finish your dissertation. So I had this ideal situation. There was lots of room. No demand. It was a slow start and the beginning of the field. So, because I was in an education institution, I was preparing to teach education; twelve months later after I was hired. So I had to teach the sociology in education. I knew nothing about education and that's where I gravitated towards people I've already mentioned: Goodlad, Sarason, and Neil Gross who were all working in education. And my natural interest in change and the proper application was just a perfect fit for the emergence of that set of theories that just were literally being developed at that time. So the big change was getting a job that forced me to focus on education. I don't mean force in a coercive way but that was my job. And the fact that the field was just beginning to be defined, it made it a lot easier. It almost grew from the ground up.

MENTORS AND PROTÉGÉS

16.   Whom do you consider to be your mentors? What works have exerted the most influence upon your academic and intellectual life?

Response

> Mentors and protégés! I think I've already covered that for sure. They were Sarason intellectually, Matt Miles both intellectually and personally, and Per Dalin in terms of the apprenticeship and the international work. Jan Loubser influenced during my dissertation. Just those four or five I guess I would say are strong there.

17. Whom do you consider to be your heirs (protégés) in the field of educational change?

Response

> This is hard to answer because I have been an administrator for the last 25 years. I was chair of the sociology department and I was assistant director of OISE. I was also Dean for 15 years. I haven't had a large group of doctoral dissertation people that I've directly supervised in terms of a critical mass. Nonetheless I think my protégés in that sense are Steve Anderson. He started with the Concerns-based adoption model with Gene Hall. He is now a professor at OISE. There are others. One is Susan Stiegelbauer is also in that group. She is at OISE now. But a lot of my protégés I must say now are actually practitioners. These would be

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superintendents of education, directors of education, staff developers. Some of them now also work with me. So, there is a set of people working in capacity building and training and design and evaluation in the field. The other professors that I would say were strong protégés were people that I hired as a Dean of education to bring reform to the University of Toronto then a stagnant institution. So I hired 25 professors over the next 7 years and a lot of them I'm going to say are my protégés. These are Barry Bennett, Carol Rolheiser and Dennis Thiessen some of which are still professors at OISE. I would say that they were young professors that I hired in the mold that we're talking about. And then after when we merged they became professors at UT-OISE which is now a single institution. But they actually came from the institution that I was creating or helping to create through that theory.

CRITICS/CONTRADICTIONS/CONTEXTS

18.   In a publication entitled *The Sharp Edge of Educational Change: Teaching, Leading and the Realities of Reform* (2000), Nina Bascia and Andy Hargreaves write:

... context is not so complex that it can only be explained (or explained away) as an unpredictable, ineffable process of chaos. Drawing on theories of "new science" which describe the physical and natural worlds as chaotic systems that defy predictability and control (Gleick, 1987), organizational and educational theorists have sought to explain organizational and educational change as chaotic systems that cannot be managed by standard procedures and tight control (Fullan, 1993) ... While their acknowledgement that today's organizations are highly complex and not amenable to standardized regulation is to be welcomed, these theories of chaos are themselves functionalist. They compare human societies and organizations to physical and biological systems ... In relying on this naturalistic analogy, such theorists still explain change as a process without human will, devoid of politics ... the chaos we experience in our lives and organizations is not just "natural" or accidental – it is often willfully and politically manufactured by governments that want to intensify the productivity of teachers and other state employees, and introduce change at an excessive pace, and keep everyone off-balance (Hargreaves, 1997) (Bascia & Hargreaves, 2000, p. 16). I would like to hear your reaction to this observation since much of your force, particularly the *Change Forces* series, is grounded on evolutionary, chaos and complexity theories.

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Yes! This is a minor difference or tension between some of these that Hargreaves doesn't mind. He refers to me that it cannot be managed by tight control…the change process. But I think it can be shaped. And he's saying that any shaping of it is bound to be functionalist. And therefore it intensifies the work of teachers and other state employees. I guess I disagree with that. That is, some of the people that might use my work, let's say a state superintendent, might say, "Ok, Fullan says this, then I'm going to use this to taking control and put it into play". But the way I used it means that I'm increasingly interested in the well being of the adults not just about the well being of students. My last book "The six secrets of change" is all about treating all employees working equally. And if there's any tension here, I guess one could say the tension sometimes to some people might be the answer to us because they want to. I'm not talking about myself now. But some people want to intensify the productivity of teachers. That is, I'm using Andy's language here. They say they have such a commitment to the moral purpose and achievement of students. So they would explain it in that they're serving students in the public. And that's why they're putting extra pressure on teachers. So I understand that. But that's

actually not my position. My position is if you don't treat teachers equally, the students, and I mean equally then you can't actually get the work done. And this is something Seymour Sarason said right from the beginning. And then I agreed with. So I've always been much more sympathetic to the public teachers than Andy's extension here of intensification. For people that talk about intensification, I'm saying, I'm decidedly not in favor of intensification. I'm in favor of creating the conditions for teachers to make an impact in the life chances of individuals.

19.   Professor Emeritus Mark Holmes at the Ontario Institute for Studies in Education, University of Toronto wrote: "For Fullan, the moral purpose of teaching and learning subsides into striving to be an effective change agent. Fullan makes explicit his rejection of traditional values … Today, the teacher who works for or allows the status quo is the traitor; and, ... societal improvement is really what education is all about" (Cited in Holmes, 1998, p. 249). How do you respond to Dr. Holmes?

20.   Dr. Holmes raises several objections to the school change and improvement movement for which he mentions your work *The New Meaning of educational Change* as the classic, liberal study of educational change. These

include: the absence of a worldview; top-down implementation; control by experts; lack of accountability and the leftist character of school change agents (Holmes, 1998, pp. 246-254). How do you respond to Dr. Holmes?

Responses to Questions 19 and 20

Mark Holmes is the opposite of Andy. He is a right winger. It's interesting that Andy and Loucks attack from the left and the opposite for the right to soften teachers. I'm sure you've picked that up in looking at it. And my praise I guess is that it was kind of a prolife or something. I suppose that Mark talked here where today the teacher that loves the status quo is a traitor. And so it's the battle of privileges is really what education is all about. My response is that those words are probably not carefully chosen but I was clearly taking a stand that the moral purpose of teaching is really based on whether the teacher is in a position to bring about changes individually and collectively. Holmes says the opposite. It's another way of saying I think I'm somewhere in between. Sometimes Andy and I will disagree. He's much more empathetic to teachers, you would say. I guess there's a little bit of truth to this. I'm more interested in building leadership. This would be school principals and superintendents and teacher leaders and leaders as change agents opposed to each and every individual

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teacher. Although my actual position in the breakthrough book is that every teacher has to be learning every day. And therefore the leader's job is to create the conditions for teachers to learn individually and collectively. And at some point we'll talk about power.

On question 20, Holmes talks about the absence of a world view and the presence of top-down implementation. On question 21, Oakes notes consistently and explicitly that the educational change literature is too technical instrumental managerial and apolitical. Most educational change literature focus on normatively apolitically, neutral, and technical school reforms. I disagree on the first one.

21. Renowned educator and researcher Jeannie Oakes has consistently and insistently stated that the educational change literature is too technical, instrumental, managerial and apolitical (Oakes, 1998; et al. 2006). "Most educational change literature focuses on normatively and politically neutral, technical school reforms and neglects to address the unique attributes of reforms that aim specifically to benefit students who hold less powerful positions in schools and communities. Behind this omission lies

an implicit assumption that school systems are filled with well-meaning educators who simply need some centralized assistance or prompting to help their bottom-up efforts to achieve more equitable and efficacious pedagogies ... Rarely, however, does the discussion move beyond a neutral analysis to examine the actual assumptions and beliefs which underlie the support, resistance, or apathy that creates and sustains inequitable practices and policies ... Instead, the literature mostly focuses on the need for schools to become 'learning organizations' where teachers and administrators become 'change agents' who are experts at dealing with change as a normal part of their work lives ..." (Oakes, p. 952). How do you respond to this claim?

Response

> On the second point, I tend to agree. Let me explain. This is closely related to question 21. I think Oakes has a good point. That is, her writing is right on especially where she exposes the power forces that undermine change agents within the schools. I think that's a very useful analysis. I recognize that it hasn't been one that I've been strong enough on considering. So, in that sense I agree with her. The problem I have with Oakes is not a personal problem. It's that she doesn't have any theory of change. She does not have a theory of action. She has a theory of analyzing change

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or the lack of change. That's great. But the next step is would she use it? What are her recommendations for improvement? So, this has to do with critical pedagogy and constructivist and the critical sociologist, you know, Michael Apple and all of those people that have been hard about weighing up sociology. My problem with them is that I can agree with their analysis and then not know what to do to fix the problem. And I'd be much more interested in fixing the problem and so my response to Oakes, I did this in my later years, is to put moral purpose front and center. So therefore it's not neutral. It is about raising the life chances of each and every child. Raise the bar and close the gap. So, I think her critique and other like it have caused me, although I don't think I did it overnight, to take much more seriously the moral purpose and to put it front and center, and then ask the question what theories of action are going to realize moral purpose.

22. In many of your publications you repeatedly insist that there is 'no silver bullet' or 'shortcuts' or 'never a checklist, always complexity' since it is a 'chaotic' and 'nonlinear world'; however, your books are full of guidelines, models, theories, solutions and even secrets as your last book suggests. Do you see any contradictions here?

I don't think so in one sense. There's no silver bullet located. There's no checklist that you automatically follow. But there is a theory of action that I have most explicitly stated in the Change Wars chapter now latterly. And the way I explain the distinction is that if you take a technique or a tool and instrument, necessary to find their ways to and to help people to work and it is only as good as the mindset using it. So if you don't really have your underlined theory of action you can use the tools superficially or dangerously. And it's because I'm pushing for solutions that I'm going to push as far as I can to get people guidelines, models, underlined theories, enticing solutions and push to the point several steps before the silver bullet or the checklist. But definitely this is the kind of thinking that I am advocating that people internalize. If they internalize what I'm advocating then they can be in charge of their own theory of action influenced by my suggestions and lines of thought. So, to me it's the middle ground between those that are technical people that want to go by the step by step strategic plan and the other end of the continuum which are the critical analysts. The problem with the technical people is, as Oakes says, that they want to technify and intensify it. The problem with other end is

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they're only analyzing and they're not coming to any recommendations of deliberate action. So, Andy and I have had a very good exchange in this over the years, where he, unlike his colleagues like Oakes, I have stimulated him to be much more applied oriented and he has stimulated me to be much more analytical and critical. And I do think that's why it's a good relationship. He now has good ideas for solutions I would say because I've been pushing the action side of things not just the analysis side. And I now have deeper analysis such as moral purpose and worrying about power.

23.   In various writings you advocate for theories or frameworks for both businesses and schools (public and private). For example, in your last published book *The Six Secrets of Change (2008)* you write: "Theories that travel well are those that practically and insightfully guide your understanding of complex situations and point to actions likely to be effective under the circumstances. Good theories travel across sectors of public and private organizations, and they apply to geographically and culturally diverse situations" (Fullan, 2008, p. 1). In an earlier book entitled *Leading in a Culture of Change (2001)*, you suggest that schools should act as if they had minds and businesses as if they had souls. Some

will say that schools and businesses are two entirely separate entities and that the change process will be different. How do you respond to this claim?

Response

Business and schools! This is another good question. I've worked a lot with it and here's the short answer. The businesses that are doing the kind of changes that I'm talking about are probably 10% of the total. It other words, it's rare in business as well as education for this stuff to be really internalized. And in the Six Secrets I draw on firms of endearment. But if you go to the latest book on Toyota there is great analysis on its culture as one of the 28 companies. And if you look at these companies, they have as you might, secret 1. The full statement on secret 1 is "love all your employees". So you have a responsibility to teachers and principals, parents and students, other schools, and society. This is all the same except with different partners. I think we're talking about democratic societies now. When you get at the heart of the very best businesses you look at which are best I mean in terms of individual production and societal contribution. You find that these are the minority. And these are the organizations of the future. And they're learning organizations. They have values. They have moral

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values for how they treat people and how they treat the field and how they treat the environment. And those are exactly the values that good schools need to have. And many schools, as many people have pointed out, are not very good for kids. They lose their moral purpose sometimes. This is part of Oakes' arguments about how schools have failed children. It is also Kozol's. They're all people I would agree with, with the exception of Noguera. They don't seem to have a theory of action. It's easy to think that I'm proposing business solutions. However, my actual statement is that this is a very small number of businesses that really get it right and when they get it right it's the same as when schools get it right. There's no difference between the educational sector, the health sector, and any public sector or any businesses in terms of the bottom line of being a good citizen and making contributions and being a learning society.

STUDENTS

24. Students' voice in educational projects is largely absent (Rudduck, 1991; Erickson & Schultz, 1992; Levin, 1995; Rudduck, Day & Wallace, 1997; Levin, 2004). In fact, you even write: "Innovations and their inherent conflicts often become ends in themselves, and students get thoroughly

lost in the shuffle. When adults do think of students, they think of them as the potential beneficiaries of change. They think of achievement results, skills, attitudes, and jobs. They rarely think of students as participants in a process of change and organizational life" (Fullan, 2007, p. 170). Do you think you have taken student voice into consideration throughout your scholarly work?

Response

> I would say not enough. As you know, with the 4th edition there's a new meaning of change. There's a chapter where I go back each time and I elevate it but I'd be more focusing on principals and teachers than I have been on students. So, now when I start to look at schools that are being more effective, I'm beginning to see assessment for learning. My preferred solution is that students be more part of leaning. I prefer that they find their voice itself in their taking charge of their own learning in the context of, supported by a teacher, and interaction so peer and self evaluations of student which is one of the assessments for learning techniques. It is to put students more and more in charge of their own learning within a guided context. Some people look at students in terms of student councils. My bias I suppose is closure to pedagogy. So if it's in the classroom I want students to be part of figuring out what

they have to do to be better learners. If we take peer interaction, one of the programs we have in the region now is called PLANT which is Peer Literacy and Numeracy Tutors. These are older kids working with younger kids on both literacy and numeracy. Those are perfect in involvement of student voice in my point of view because it's students working with students, facilitated by teachers with the individual students. It is about the two Ts. Students are learning not only by being tutors, but also by being teachers at the same time. So, I think without question, I gravitated towards teachers more than students. And this is where the theory of change and the theory of education can intersect. Because the theory of education will say, if students are much more central to their own learning they will be better off in the short run and in the long run. So, perhaps I agree that I may have missed it because it's a theory of education rather than a theory of change. I don't know whether that makes sense or not but it more arose from the theory of pedagogy, constructivist and student voice rather than change. And now that I see that it's such a powerful pedagogical element, then I want to change process to cause more such as the peer learning level.

PROJECTS/REFORMS/CONSULTANCIES

25.   Of all the projects you have been involved in the past as a consultant

and/or evaluator, what are the three most successful? Explain.

Response

The ones that have been most influential for me have been, I think

definitely in terms of formative, are two. I don't know of three. I

can name two. The first big one was the Literacy and Numeracy

Strategy in England. They created out strategy largely based on my

work. I mean our work more generally. They commissioned us to

evaluate it. And I would say in our evaluation we said that this was

a successful project because they focused on capacity building and

built in aspirational goals that are linked between capacity and

results. But we were also critical in that in saying what we've

learned from this project as well, we've learned 2 things. One is

the good things that can be done to bring about large scale change.

It was successful in the sense that England went from 62% of its

11 year olds being proficient in literacy and numeracy to about

75% across 20,000 schools within four years. It was not quite

successful because they pushed too hard from the center and they

didn't take into account Seymour Sarason's culture of the school

side. They didn't get close enough at the hearts and minds of

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students, teachers and schools principals. I'm thinking it's a success in two ways. It was successful to a good point but also it gave us so much knowledge. The part that failed gave us so tremendous knowledge about how to do it the next time. So that's one thing. The second project is Ontario where I'm advisor to the Premier. We now have 5 full years of using my theory of action in Ontario and almost everyone will say that it's been a big success. Our teacher morale increased. Principal morale increased. The performance of literacy and numeracy has gone up at least 10 percentage points. It's a growing concern and we're going even deeper now in the second term. We're on our year 1 in the second term of 4 years. So we're going deeper into early childhood as well as into literacy and numeracy. So, both of these have been successful and the beauty of the Ontario one is we've had the chance to put into place what I call the blended approach: top-down and bottom-up simultaneously. And this is fully explained in the Change Wars chapter that I did so that if I was explaining why I'm successful that's why. It's very clear that there's been many statements as to why I think it was so successful. I just did a series of three of those workshops in England and I said a few things there that I didn't say as explicitly all the time before. But here's

what I would say is one of the big ways of explaining everything that I'm trying to get at. If there's one more that I would use as a criterion for any strategy it would be motivation. In other words, what I want to know for any strategy of policy is does it motivate people to put in the energy and get the results? And you'll know from my six secrets I don't mean, you do something today, people are motivated tomorrow. I mean that their motivation as a result of this strategy. Teachers will be working with other teachers. That second secret is peer interaction where you get teachers influencing each other.

So we were talking about the successful projects and why and I mentioned the England one as the first example. It was successful not only because key strategists were using our ideas. I think that it was a good thing because we actually had people ... academics, policy-makers kind of putting this out there. The case in Ontario is considered a huge success because you know we have the premier, the minister, the deputy minister, and all the policy advisors agreed to the strategy. It has a tremendous life of its own because it also connects to the field. So, Ontario was great. A third example of success if I go to the district level will be the York region school

district. I've written about this. It's a big multicultural district, 190 schools now. We've been working together with them for five years and they've had a tremendous change in the culture of the district. They must have 2,000 leaders now. If I think about protégés I wouldn't call them protégés in the narrow sense. But these 2,000 leader such as principals, vice principals, literacy coaches, people learning to become principals, and people at the district level have all embraced the theory so they're kind of true believers in action. This is why I think it's a success.

26.   Have you had to adapt your educational change model as you travel? Explain.

Response

I think what I've come to realize is that I don't have to adapt it. I'll use an analogy. One of my colleagues, along with other colleagues the leading one Andy Hargreaves, but also Ben Levin and Richard Elmore who have influence because they're smart and got great analysis of what's going on and they're all partly oriented towards practice, is Ken Leithwood. Ken wrote an article on the 7 conditions for effective leadership in which he said that the qualities of leadership do not vary in context to context but how

they play themselves out because the context is this or that. So, I must say that in my own work just in the last six months, I did a week in Chile working with educators at all levels, a week in Thailand, a week in Korea, a week in Hon Kong and lots of stuff in the US, in Latin America and Netherlands. Local politicians in all these places are reading my work and listening. They are saying that this makes sense to then and want to use them. The stuff on capacity building like looking at the whole system, having a tri-level reform, investing in leadership, linking this stuff to results, all those things are bubbling with interest. I can't describe them as successes because it's too recent and also we don't have the critical mass of leaders we had in the England case and those days we had in Ontario. But I could hear multiyear projects. Right now one project is with the state superintendent in Louisiana. Another project is with the state superintendent in Hawaii. Both of these state leaders are saying we like exactly what you're saying. I think this is the important way to go. It all depends on the difference of contexts. For example, in Louisiana there's such low capacity at the district and school level that you really almost have to start at the bottom whereas in Ontario you're starting above the bottom. So here is easier.

AS A RESEARCHER AND AS A PROFESSOR

27.   Do you consider yourself to be in the school effectiveness camp or in the school improvement camp? Why? Explain.

Response

> If it's a first choice question, definitely school improvement. My preoccupation is with improvement and where I think we've shifted is to use the evidence-based material for school effectiveness as a key part of our strategy for school improvement. So all the work on effectiveness like the impact on student learning, the benchmarking and international comparison have all contributed and represent a strength to school improvement people like myself who without that hard evidence and without that stronger push would not have gotten so far. The school improvement is still the driver. I'm actually about system improvement which is improving all kinds of schools simultaneously. School effectiveness has had a big emphasis on outcomes. The job of school improvement is to explicitly connect our strategies with the learning outcomes.

28.   As a professor, you have taught a number of courses: the sociology of change, modernization in comparative education, teacher development and school improvement, practical problems in educational innovation, planned educational change, the school and the community and applied sociological field research in education. If you were to teach the same courses to today's aspiring teachers, administrators etc., what changes would you make?

Response

I guess that the main changes are two-fold now we have a much more explicit theory of action. We also have more examples of what it looks like in practice. We have video templates and workshops. I just did in the last three weeks all kinds of video clips about strategies for teaching, what collaborative culture looks like when people work together. I think it's much richer, much more specific, and much more moving in the area of greater precision. We are more precise about what needs to be in order to get the results, and therefore if I was teaching courses again, they would have much more explicit theories and better examples although I haven't taught very many courses for a long time. I wouldn't consider myself a good academic professor at a University in the kind that Andy and Elmore and those people represent because I

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haven't done much about it. My teaching, if you like, has been more in the field recently in the form of workshops, school- and district-based teams and even from the state level. In other words, they're practitioners rather than doctoral students. I say it that way because a practitioner needs to learn things to help them solve problems in the short run; whereas a doctoral student has much more time to explore ideas. So in that sense I'm not a good example of exploring ideas widely enough because I'm so homed in on my own theory now. But I would take critiques of it. I would take extensions of it.

VALUES/ETHICS

29.   You have defined moral purpose in education as concerned with narrowing the achievement gap. Admirable as that moral purpose is, would you say that that is the only, or the primary moral purpose in Education?

Response

> I don't. I think moral purpose is the primary driving force. Moral purpose is the driving force. What I want to do is attach strategies to moral purpose because you know lots of people have moral purpose and mission statements envisioned but they don't have

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strategies that take it anywhere so I thought moral purpose with legs. It's got to have the means of realizing that. This is where I take Andy's concerns seriously. It is too narrow to call it narrowing the achievement gap. It's narrow in the life chances gap. It is about literacy and numeracy because I think those are such basic tools for everybody in the world to be successful but it's also about the well being of students. I'm much more open now to widening our measurement of what moral purpose is. And that measurement should include the well being of students and their future life chances. There should be a deeper and wider measure of that. So I guess that answers that. To moral purpose, an explicit strategy has to be added. We always have to be alert to having a wider definition of moral purpose than a narrow achievement one.

30. In his study of successive restructurings of a school district, Brouilette (1996) summarizes four different perspectives on schooling. These were: "Humanist: the purpose of public education is seen as preparing students for citizenship, so that they understand the values embodied in U.S. institutions, possess the cultural literacy necessary to communicate meaningfully with their fellow citizens, have had sufficient basic knowledge to understand current issues and cast their vote in an intelligent

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manner ... Social Efficiency: The purpose of public education is seen as preparing students to be self-supporting, useful members of society who can get along well with others, possess the skills to hold down a job, and are able to cope with the challenges of day-to-day existence in contemporary society ..., Developmentalist: The purpose of public education is seen as enabling individual students to fulfill their personal potential, so that they are prepared to be creative, self-motivated lifelong learners who are effective problem-solvers, able to communicate and collaborate with others, and to meet the varied challenges they will encounter in their adult lives ..., and Social Meliorist: The purpose of public education is seen as bringing about a more just society, through using the schools to help those children whose background puts them at risk to get the resources they need to succeed, and through teaching all students about diverse cultures and ethnic heritages, thus helping them to grow into open-minded, tolerant adults" (Brouilette, 1996, pp. 223-224). Which one of these perspectives on schooling closely aligns with your value system as a scholar of educational change and why?

Response

> I am definitely not humanistic. Probable, my view is that of a social efficiency and social Meliorist. Those two are closer but I'm not much for one having three or four slices of what the system is.

The easy answer is that it's got to be a blend of some of those. I think my work speaks for itself. I'm interested in improving the life chances of individuals and to have that play itself out in a society improvement context.

PRO OR CON POST-STANDARDIZATION

31.   Do you believe that achievement as determined by increase in state test scores should be the primary or exclusive measure of school change? Explain.

Response

Pro or con post-standardization? Test scores? Uh…this is one I've given a lot of thought lately. I've debated this actually. I think that state test scores as the measure have been a bad thing. If I was to put it that way, I would say that they have become too narrowly defined. They've become overpoweringly important so that the tail is wagging the dog. In other words testers wagging what education should be. So, in that sense I think it's a definite mistake. If you just look at the countries that are doing well say the 5 countries that do the best on the OECD studies – namely Finland, Singapore, Hong Kong and Canada especially in Mt. Vernon and Ontario, and Korea – none of those countries have an obsession with test scores.

So, I also think that England has put too much emphasis on state test scores and so our conclusion and our own strategy has been that just because other people have mistakenly overemphasized test scores this is no reason not to have them as part of the package. No reason not to have them. So my solution is to put them in perspective. I mean we need (and we do here in Toronto, Canada) to distinguish our test scores at the state level or province level on two respects. One is they're what I call aspirational, even though they're targets that don't have the kind of do or die status that England and the U.S. has in the No Child Left Behind. So they're just kind of a marker along the way and we've been able to position them that way so they're not taking over all areas. They are simply helpful markers. So that's one way we're different. The other way we're different is that we're striving for a non narrow measure so if you look at our actual assessment of literacy and numeracy it includes the higher order scales being assessed and how to write and express yourself, what's a good piece of writing, how to reason and problem solve. In these last ones I think we haven't fallen victim to the narrowness of assessment. This is even still within literacy and numeracy. A third piece now that I predict for the future is that we do have to spend more time on the well

being domain because it gets us into a kind of interesting question about moral purpose and society so I should talk about this briefly. There is a field of study that you can access. There's been about half a dozen really good books written on it in the last five years which is the study of happiness. The scientific study of happiness basically. And these I took it up and sum it up in Turnaround Leadership. That basically says that money is necessary up to a point, and then after you have your basics covered there's no relationship between having more money and being happy. So that what makes people happy, again from the scientific study, is meaningful work, having a sense of belonging, camaraderie with others, feeling connected, and developing a potential. I discuss some of this in The Six Secrets book. This is Thomas Homer Dickson's work. This is a good example so that we're really getting a better definition of well being and of happiness now in the world. UNESCO-OECD did this study (Andy refers to it) where they measured the well being of students in 18 countries and they had an index of 6 categories. One was do you feel safe? Another was do you feel like you are in school and you are learning something?

I really think those are vital measures and this issue is not that these things are not measurable. People may say that because 'well you only measure the things that are less important to me' this is not a measurement question. But I believe that you can measure well being. You can measure emotional intelligence. So it's not a measurement question. It's a question of whether the particular skills measured in current testing are too narrow. That is, the problem with standardization is that testing has become too narrow and too dominant and that we got to step back from it and be less obsessed with it. We need to expand the definition into well being. We need to think about happiness as well as literacy and numeracy proficiency and reposition it so that we really are talking about social change, but we don't end up just vague about it the way people used to be. We need to be uplifting. Measure how strategies accomplishment all those things that need to be put into place. So, it's about redefining what post standardization and moral purpose should be. That's the issue.

LEGACY

32.   What would you like your legacy to be in the field of educational change?

Response

The short answer to legacy or the answer to legacy I think is that the body of things that I'm writing are widely read and used. That's all I would say. I would say my legacy is, say, less in protégés and more in the larger impact through the writing. So I'm still quite amazed at for example the fact that I can go to a country I've never been to before like Chile, and they say "we've been using your work for 10 years". This is fantastic I know everything you've wrote. Wherever I go, I encounter that feeling even to the farthest corners of the world like Pakistan and India. I think that's the way I want my legacy to be, the presence of the ideas as I promulgated them through the writing and the writing. And the writing has been accessible. That is, I've written things that practitioners and policy makers can read and yet they're not superficial. They're deep ideas. They're both accessible and deep. And the fact that a lot of people are carrying on with those ideas and putting them into practice, and then starting to write about them is all the better.

33.   Would you like to add any final comments?

Response

In terms of my work, I am appreciative of you looking into it and what this is. When you finish your work I'm sure it would be valuable to me. I met with the superintendent in Maine. It doesn't matter what state it is. And she said you know the governor or commissioner is using your theory and they're misusing it and you know they've been posting things at us that are terrible and I think uh…it made me realize that I guess you write things and you think you're clear. My point is that anybody can pick them up and use them and think they're using them but they're using them for their own purpose. And I supposed another criticism of my work. It wouldn't stop me from doing it this way but I guess you could say that people empowered are more likely to use my ideas and therefore. You could say that they're using them for good ends because I'm standing for moral purpose. But they could also use them in a way that puts inappropriate pressure. People should not be responsible for how their ideas are used. I'm sure that if you go back over anybody that people have written things about or have used them and the people that wrote them in the first place would probably look at them and say, that's not what I meant. So I'm quite conscious of that. But on the other hand, the kind of processes we've set up, that there are enough checks and balances

about the misuse that is for anybody that might misuse it. We're empowering not just the formal leaders but the informal leaders to use these ideas and that they could use them to critique policies as well as to enable their implementation. So I think that's probably it.

Additional Question A

Can you pinpoint to me opposition or enemies? How do you deal and how do you persuade them that your work is applicable?

Response

Well I would say that, it's an interesting question because for a long time including now I have to say and it sounds a bit modest but I've hardly ever find somebody who critiques my work. Who's an enemy in that sense of a critical…if I go out of my way I can find a little bit of Andy Hargreaves, I can find Jeannie Oakes. People like Mark Holmes are outliers. They don't even count because there's hardly anybody like him. There would be people who ignore my work or don't know about it like George Bush who has a lousy strategy for change. But there's hardly anybody that critiques me. That's the way I would put it. But if I'd dig deeper and then look at the critiques they would be that I don't give

enough concern to the power of relations. This is the biggest critique. It's only legitimate. There's hardly anything there and then when I go to look at it, I can see the point. I want to build a little more into my theories. But in those people that are critiquing me, I don't find anybody other than the point of something that's underdeveloped. I don't find anybody who gives a solution. Now I've had that exchange in which Pedro Noguera, now in the Journal of Educational Change, based his critique on my speech at the AERA. He complained that I didn't take into account the class differences and ethnicity. He's closer to it than anybody. However, what I want to do is to go the step further. Ok, let us not only analyze that but what do we do about it? Sometimes there is a negative example of what I meant to say that sometimes people will critique something and if you push them and ask them, okay what's your solution, their theory of action is more or less "I'm right, do something about it". It's not like "here's how to go about doing something about it". Pedro has given more thought to how do you go about it or do something about it. So I think my biggest weakness is not delving or taking into account power. Probably it is also my lack of deep analysis about ethnic groups such as the African Americans. However, I'm not living in the United States.

It's probably because I'm living in Canada. In the United States they have two dominant minority groups, African American and Hispanics. And Canada except with the French, with is along a different story is so multicultural that no group stands out. Maybe if I had grown up in a different culture where there was a dominant minority, and they were suppressed on a large scale, I probably would be more sensitive to that but coming from Canada in my own experience it doesn't give me the passionate connection to what people in those groups are facing as say Obama would have known or Robert Kennedy in the sixties when he was concerned about doing something about people that were getting oppressed in society or Paulo Freire or anyone who comes from a developing country or countries in Africa that are just now like Sudan or Darfur and places that are really oppressed with tremendous lack of humanity. Steven Lewis, who's a Canadian, has written really well about this in his works but I don't have the emotional connection to those situations because I haven't been exposed to them. So in that sense people could see my writing as not passionate enough or put it in one final way I guess I'll say my passion is intellectual not in the sense of analyzing something only but solving a problem; intellectually solving a problem. That's

where my passion lies whereas somebody else's passion might come from more from their gut having lived in a certain circumstance and wanting to overcome it.

Additional Question B

NCLB, what do you see as the future of where are we going?

Response

When it first came out the good part about it was focusing on the problem. Raise the bar, close the gap. And once there was a definition everything has gone wrong by way of strategy. Two big things are its impossible goals. For example, by 2012 or 2014 every student will have that highly qualified teacher. We have goals that are so impossible and so we are unable to accomplish. There's no credibility to the overall enterprise. Secondly they haven't had any strategies that are strong enough anyway. So I think it's a big failure. I had the same problem in England. Now England is less problematic than US. Last week for example, they just reported 20% of our students are not receiving proficiency in literacy and numeracy and that figure is stagnant so there's been no improvement for the last 4 years. Therefore we need strategies to improve the underperformance. And the solutions of NCLB is to monitor those schools two or three times a year. Those strategies

are just dead wrong because they don't motivate people to solve the problem. They just put the pressure on. They intensify the pressure. It's also no accident that both England and US has lost ground in the international performance in the last 5 years in terms of the widening of the gap between high and low performance by OECD measures. Whereas other countries that I mention Finland and Hong Kong and Canada, Ontario have all strong performance on not having such large gaps between high and low performance whereas England and US are like this. So I think they just go about it in the wrong way. And certainly if I were doing No Child Left Behind, I would change the emphasis entirely. The good way to express it, and this way I express it in England. England has gone for pressure and support. We are going for support, support, pressure and pressure exactly in that order. I would recast NCLB. I would have the same aspirations but not to make the annual test so punitive or carry so much weight and basically invest in capacity building. And that's going to be our calling card. And we're going to link it to results so the increasing pressure once we go, but we invite you schools and districts to form partnerships with the state and federal level to invest in capacity building and get the results. I think NCLB could be recast that way and would require Obama or

somebody like him. We have a bit in Louisiana with the state superintendent who's really sincerely saying "yeah we should go and do that, but the US politics is such that the heavy handedness of accountability is way too dominant and the other big problem in the US which nobody does anything about is the pupil expenditure is so varied from the high and low percentage that it makes it structurally almost impossible to invest. What you get in suburbs you know would cost $18,000 per student and in another poor area would be $7,000 per student which is more than double. So as long as that structural inequity is in the States, I think it will continue. The NCLB problem of narrowness, lack of investment in capacity building, the wall of discrepancies, per pupil expenditures and finally, compared to us, way too many school districts. You know Ohio has 600. Michigan has 600. This is a massive number of school districts which means a bunch of school districts where local politics are not going to be helpful. US has two problems in that respect: structurally, way too many school districts.

Thank you very much Dr. Fullan!

Future Challenges of Educational Change

I have restated the findings of this descriptive and analytical assessment of Michael Fullan as a scholar in the field of educational change. Five historical contexts of educational reform locate Fullan's voice and contribution. Major and dominant themes highlight Fullan's systemic, sociological and global approach. An examination of the development and evolution of Fullan's theory of educational change underscores the life-long lasting legacy and influence of sociology; the unique manner in which change is defined in contrast to other models; the functionalist nature and character of Fullan's academic background and training; and the presence and influence of a wide diverse number of mentors that work across fields, disciplines and even countries. Finally, critical commentaries of Fullan's work demonstrate both a compelling account of the need for change and of the limits and risks associated with advocating for change by appealing to certain and particular values. In a nutshell, this study provides an insight view into the historical, sociological, educational, professional and political forces and factors that have shaped the intellectual underpinnings of Michael Fullan.

Having said this, let me conclude this study by stating what I believe are some of the most critical and unfinished issues in the field of educational change. It is with great humility and respect for the scholars in the field of educational change that I make these suggestions. I consider it my calling to challenge the

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field. My goal is to stimulate further debate and discussion into what I believe is an intense, rapidly growing and exciting field that pursues scholarship and research for the greatest good, In addition to being my calling, I also consider it one of my passions since change defines our era and remains, as many have affirmed, the only constant. In short, this is a humble, respectful and modest effort and passionate calling.

Educational change needs changes. It needs to rethink its sociological foundations. It needs a deeper understanding and view of contextual identities. It needs to be infused by the ethics of responsibility. Let me illustrate and expand on these five concluding challenges.

Sociological Foundations

Educational change needs to rethink its sociological foundations. Fullan's writings reveal the influence of a strong sociological background. They are based on the classic works of Durkheim, Parsons, and Loubser. In his interview, Fullan affirmed their influence in terms of being the basic foundational stuff. Loubser's theories were adequate to focus on examining worker's receptivity to change but limited in terms of guiding for action. In his interview, Fullan explained:

In the pursuit of action, Fullan was led to explore and examine the world

of the user. He wanted to understand how the user of innovations interpreted and

acted upon the impact of various changes. At that time, this was a radical

proposition. In what is considered the key initial writing that examined user

issues from the lens of the field of education, Fullan (1972) suggested that

Freire's (1970) Pedagogy of the Oppressed simplified and justified the dilemmas

and the needs that users faced as deliberate choice-makers in the

educational/innovative/life process. Fullan (1972) elaborated on theses dilemmas

and needs:

> My own value position should be made explicit here. I see
> education as helping people to define and achieve their own
> desired goals. There is a dilemma, of course, in that this view
> implies 'improving' others. There is also the danger that no matter
> how much the intention of the helper is value-content free, the
> value transfer can be considerable if the helper is skilled and
> educated and the helpee inarticulate and dependent. There is a
> continual need to recognize the helpee as a 'Subject' in the process
> as Freire (1970) uses the term. To not intervene at all would seem
> to leave individuals vulnerable to a powerful 'system' or to
> 'survival of the fittest (Fullan, 1972, p. 32).

> Although not directly dealing with innovations and somewhat
> abstract, Freire's (1970) Pedagogy of the Oppressed contains the
> most thorough philosophical and methodological justification for
> the absolute need of the active role of the user in the change
> process. If we substitute the word user for the oppressed, and
> educational innovator for revolutionary leader, his book contains
> several fundamental confirmations of our earlier analysis – that
> educational change cannot occur without an active, critical role for
> users. For example, revolutionary leaders (educational innovators)
> cannot achieve real change vis-à-vis the oppressed (users) through

packaging and propagandizing their beliefs and desirable changes (read packaged innovations) (p. 54) (Fullan, 1972, p. 32).

Naming the users as active participants and putting them at the center of educational innovations rather than treating them as passive entities and thus peripheral was a revolutionary and groundbreaking idea. The meaning that these users attached to the educational process became paramount. Equally critical was the process of educational change itself since it was argued that this was developed and generated not only by the users, but also by the various structures and factors that either promoted or inhibited it. It was about implementation. This was actually the main theme of his first book that animated and recreated the field.

On the one hand, the sociological idea was that there is no strong implementation without an understanding of the interrelation and interdependence of the parts that made the whole. Basically, it was about social cohesion and interdependence. Its main implicit theoretical proponent was Emile Durkheim. On the other hand, the educational idea was the absence of implementation due to the neglect of the phenomenology of change and its impact in the eyes of the entire system. It was about underscoring the improvement of schooling through implementation research. In short, it was about the 'implementation dip'. Its main theoretical proponents included Sarason, Goodlad, Dalin and Miles as well as the key studies on implementation that defined the field of educational change.

While the role of the users was deemed and critical, Fullan's later and most recent works do exhibit a strong Durkheim thought that cohesion still continues to be the predominant theoretical framework. This focus was and continues to be very conservative in that it addresses and underscores the management of change at various levels and dimensions from an 'expert' base. It deals with the technical issues of the change process rather than with the more conflictive dimensions of change. A new sociological foundation requires closer attention to the hidden forces that shape the educational change process. What I am advocating here is that the pursuit of cohesion and systemness should be problematized. I am not fully convinced that the change process could be sort of 'managed'. For example, Fullan (1991, 1993, 1999, 2001, 2001b, 2003, 2007) continues to claim and explain the educational change process through the use of complexity, chaos and evolutionary theories. It is about accepting unpredictabilities and uncertainties of change itself. It is about embracing the contradictory and paradoxical nature and character of systems. It is about the non-linear patterns of postmodern society and the reality that the link between cause and effect is not easily explained. Fullan (1993) explained that "as the scale of complexity accelerates in post-modern society, our ability to synthesize polar opposites where possible, and work with their co-existence where necessary, is absolutely critical to success" (Fullan, 1993, p. 41). While, these are indeed good ways to introduce the processes of educational change in complex and

postmodern societies, they present limitations that Fullan does not address. They

could be rather superficial for two reasons. One is that systems could be

traditional. They could be places characterized by historical continuities,

regularities and order. The other is that they could constantly vary by factors that

cannot easily be 'managed' but will better be deliberately identified by the use

sophisticated and greater critical interpretation. To illustrate, the absence and

presence of patterns of curricular content may not be the product of independent

and natural chaotic and complex forces, but the consequences of historical

continuities and the effect of local policy changes. Not delving deeper into these

regularities and the sources of much present chaos and complexity in systems

forecloses a much richer understanding of the forces of educational change. This

is why I insist that the sociological foundations of educational change should be

rethought and reframed. There is a demand for a wider use of post-functionalist

critical and historical perspectives in educational change research.

Contextual Identities

Educational change needs a deeper theoretical and practical understanding

of contextual identities. Fullan's (1982, 1991, 2001, 2007) writings demonstrate

a concern with the realities of stakeholders in the educational change process. In

fact, Fullan (1991, 1993) claims that structural changes are not enough because

they do not struggle against the cultures, beliefs, values and motivations that underlie organizational and human actions. We are strongly reminded to build connections and redefine leadership (Fullan, 1991, 1997, 1998, 2001; Fullan & Hargreaves, 1996, 1998). However, one is not told about the content of those cultures, beliefs, values and motivations. One clear example is the absence of students' voice and participation in the change process. With the exception of Fullan's (1991, 2003, 2007) brief reflections on the role of students in educational change, there is practically a near total absence of students' participation and voice. While some claim that this may not be surprising for a scholar whose advocacy is organizational development and system improvement, others will rightly claim that the absence of student's participation and voice is problematic since its sends mixed messages about whose views and interests are to be valued or embraced (Noguera, 2006; Oakes, 2006). In his interview, Fullan agrees to this deficiency but explains it in terms of his position – that of being building of theory of action rather than a theory of education.

My point here is that there is a lack of focus on students' identities. Fullan's literature does not highlight who these students are. It needs to have a closer look at the greater and increasing multicultural and linguistic diversity of students. This is the first and foremost contextual identity. I found it shocking that Fullan's literature on 'educational change' does not have a single word about immigrant or African-American students, language or gender issues yet it is about

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'educational change'. Likewise, Fullan's writings do not address the identities of communities and parents. When you read Michael Fullan's complete works there is no insight as to whom these families or communities are let alone how they add value to or may impede the change process. There is also no mention of teachers and administrators as being a widely diverse group with different and often conflictive and opposing experiences and viewpoints in terms of pedagogical and leadership practices and beliefs. There is a need for the field of educational change to examine the links between personal and professional identities. Educational change needs a deeper and expanded theory of contextual identities. I urge the field to move into a closer and richer examination of the voice, participation and identity of students, teachers, administrators, families and communities. Investigating contextual identities should not be about exploring merely who students, teachers, administrators, families and communities are, but also about what possibilities they represent and resources they bring and how can these thwart or promote the processes and outcomes of educational change efforts.

Ethical Responsibilities

Educational change needs to be infused by the ethics of responsibility. Educational change scholars need to be able to both support and question the status quo. There are two ways Michael Fullan responds to the status quo. One

way is by supporting educational efforts by expanding and extending its field

base. Fullan's works are action-oriented, systemic and inclusive, international

and global, process-driven and re-definitional in character. In terms of being

action-oriented, when interviewed Fullan affirmed: "My passion is intellectual not

in the sense of analyzing something only but solving a problem".[84]   This is what

the researcher has observed through this study. Fullan's writings are about

solving educational problems in the practical sense. Case studies and reports

during the 1970s and 1980s as well as the involvement in various evaluations of

districts' as well as national systems of education make very evident the action

dimension. Besides, even involvement in research and projects as a consultant[85]

is compelling evidence that scholarly work revolves around the practical

dimensions of change in organizations. One clear signal of the action-oriented

work is the various strategies that Fullan has advocated and continues to

document through his work. His work in England's NLNS as well as direct

involvement in the Ontario province reforms are evidence that action is at the core

of his theory of change. Fullan's scholarly work is also characterized by its

systemic and inclusive view of educational change. His major writings (Fullan,

1982, 1991, 2001, 2007) are systemic in the sense that they aim at evaluating

educational change through the various lens of all levels (classrooms, schools,

districts, states, nations, etc.)   It is inclusive because it is a worthy attempt at

[84]*see* Appendix 1F.
[85]*see* Appendixes 2A & 2B.

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including the realities and challenges that confront stakeholders (students,

teachers, principals, district administrators, consultants, teacher education

institutions etc.). In addition, its elaborate and concise explanation of the change

process (in its phases or stages) along with its subjective and objective pictures

presents an integrated view for the educational reformer and change agent.

Another strength of Fullan's literature on educational change is its international

and global focus. His writings attempt to derive a view of a theory of action as

some sort of element that can guide any system or country. For example, the

three stages of initiation, implementation and institutionalization are almost

universal. That is, any country or district that attempts to reform its educational

system will nevertheless face these challenges. His engagement in countries such

as England, Canada, United States, Europe, New Zealand, Asia and Australia to

name a few; his consultancy work with international organizations such as the

World bank, the Organization for Economic Cooperation and Development and

the Hong Kong and writings in various international journals provide ample

evidence to the international and global focus of his work on educational

change.[86] If there is one thing that characterizes this literature, it is strategy.

Fullan's literature is mostly about school improvement, rather than school

effectiveness.[87] It is not about identifying outcomes or factors. The development

and evolution of his writings focus on the processes of change that schools and

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[86]*see* Appendixes 2A, 2B, 2C, 2D & 2E.
[87]*see* Appendix 1F for his response.

systems go through. This is why Fullan provides guidelines and suggestions rather than

checklists. Rapid change, chaotic and complex systems demand no less. However,

guidelines may have seemed contradictory. When asked about this Fullan responded:

> There's no silver bullet located. There's no checklist that you automatically follow, but there is a theory of action that I most explicitly stated in the change wars now latterly. And the way I explain the distinction is that if you take a technique or a tool and instrument, that's what I would call a checklist or a to-do instrument. I think they are necessary so I want those to find their ways to and to help people to work. But the way I would put it is a tool or technique is only as good as the mindset using it. So if you don't really have your underlined theory of action, you can use the tools superficially or dangerously. And it's because I'm pushing for solutions that I'm going to push as far as I can to get people, guidelines, models, underlined theories, enticing solutions and push to the point several steps before the silver bullet or the checklist.[88]

One last significant reason that documents Fullan attempts at expanding

and extending literature on educational change is his ability and capacity to re-

define concepts. To, illustrate Fullan calls for a re-framing of the system. It calls

for a re-definition of the principalship. It calls for re-culture of schools. The most

recent attempts at enlarging a concept are his attempts at redefining the

professional development of educators and making explicit a theory for action for

system change. Fullan (2007) argues that professional development is severely

limited. It is a great obstacle to teacher learning. It actually causes teachers to

avoid learning because it decreases pressures for change, people's energy and a

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[88]*see* Appendix 1F.

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focus on school cultures. In addition, Fullan (2007) claims that professional development does not focus on deprivatizing teaching and improving their working conditions. Therefore, Fullan (2006; 2007) redefines and reframes professional development as teacher learning. In yet the latest attempt at redefining the change process, Fullan (2008) makes explicit a theory of action for whole system improvement in education. Fullan (2008) challenges education theories and practitioners to measure their theories of action against the criterion of systemness, movement and motivation.

On the other hand, when you read the entire works of Michael Fullan you realize that for the most part Michael Fullan is silent about the content of educational change efforts. For example, one of the most significant weaknesses of Fullan's literature is its superficial analysis of the role of power and privilege in the culture of schools. There is no critical analysis of the politics of education. There is no critical analysis of diversity, poverty or community. I find it shocking that Fullan's educational change literature do not address conflicting visions of what educational change is for. There is not a single word about systemic social inequalities. It seems as though the literature is neutral about conflictive and volatile issues that should be unpacked because they are part of the daily reality that students, teachers and principals face, particularly in urban schools. Fullan admits this lack and attributes it to his experience of the Canadian context which, in his mind is for more responsive to issues of diversity and economic equality.

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Another time when Michael Fullan remains silent is in regards to a theory of learning. In his interview, Fullan explains:

> I'm certainly influenced more by the constructivist that I want students to learn how to think and problem solve and work with others and be their own learners. But, my life is not devoted to getting the theory of learning I'm more following other people's work in that respect so that I'm more…I've always surrounded it by major interest which is the management of change surrounding theories of learning.[89]

With this response, Fullan responds to the questions of what is his theory of learning. His work makes the distinction between a theory of change or action and a theory of education. In fact, Fullan asserts that one could be an expert in literacy and a disaster in the change process. Both theories of change and theories of education are necessary. However, Fullan is not explicit enough about what is his theory of learning. This represents quite a challenge for a scholar whose ideas travel the world and whose works are influential at the highest levels of policy system.

A third area where Michael Fullan's literature on educational change is problematic is his stance on system transformation through standards-based education reform. More specifically, when you read the complete the works of Michael Fullan you realize that Michael Fullan is not wholly against or in favor of targets. Michael Fullan argues that targets should be aspirational (Fullan, 2008). However, this is not what we find earlier in Fullan's (2000, 2001) writings.

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[89]*see* Appendix 1F.

Fullan (2000) insists that "it takes about three years to achieve successful change in student performance in an elementary school ... and depending on size; it takes about six years to do so in a secondary school" (Fullan, 2000, p. 581). Even more troubling than this is Michael Fullan's latest involvement with the Ontario government in Canada in terms of targets and testing. Fullan's unquestioned support and commitment to the exportation of England and Wales educational policy model into Ontario, particularly its goal that 75 percent of students reaching standards by 2008 through the imposing of short-term goals and the alignment of tests in literacy and numeracy is worthy of further investigation. Sustainability is one of the great future issues of educational change. As large-scale reforms continue to increase throughout the worlds, the challenge of how to sustain educational reforms and practices over time in a way that is sensitive to both the local and larger pictures should continue to demand that researchers to find strategies that will not only accommodate balance and linkages, but also the commitment, energy and motivation that local actors, particularly teachers and principals across schools and systems, need in order to keep pushing for continuous improvement. What does standardization or an era of post-standardization imply for educational change scholars such as Fullan in terms of target setting? How can change strategies help schools and systems use data not only to drive instruction, but also empower and arms actors with the knowledge

and capacities they need in order to lead to system transformation? How can standards-based reforms as change strategies be redefined and reframed?

Michael Fullan's absence on the content of educational change process, particularly as it relates to the politics of education, a theory of learning and the source and impact of standardization cannot be ignored when an exhaustive and rigorous critical reading is conducted of his works. A deeper critical analysis of how the politics of education, learning and targets informed the management of change is crucial. Infusing an ethic of responsibility in light of the works of Michael Fullan implies that educational change scholars need to seriously questions the guiding assumptions under which much of their strategic advice, expertise and support provided especially as it relates to an era when governments across the worlds are pushing heavier regulatory and accountability schemes in the midst of a revolution of knowledge and the presence of ever increasing and pervasive power inequalities. Ethical responsibilities of scholars on educational change go beyond the mere insertion of moral purpose or the need to close the gap close the gap between low and high achievers and to make a difference in the lives of disadvantaged. While I recognize this as a noble attempt of naming the purposes of education, I will strongly suggest advice that government policy should be question not only for its effects and consequences, but also for its origins and sources. To not do so will compromise the intellectual integrity of the field.

Summary

I have restated the main components of this study. I have reviewed its findings in terms of the literature and the interview report. I have attempted to argue that in light of the scholarly work of Michael Fullan there is a critical need to rethink the sociological foundations of the field of educational change, underscore contextual identities and embrace ethical responsibilities. In a nutshell, it is essential to question what, the who and the how and the why of educational change processes and outcomes. In the quest for school improvement Michael Fullan is right in that it is about societal improvement also. This holistic and systemic approach to educational change is worthy of admiration and emulation. However, if the limits of theoretical foundations, the possibilities and constraints of contexts and the moral and ethical obligations are not underscored then progress towards this societal improvement is imperiled. The worthy cause of education and the demands of a rapidly changing world demand no less.

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APPENDICES

APPENDIX A: TIME-LINES OF FULLAN'S WRITINGS

TIME-LINES
Michael Fullan Works
1969 & 1970 – 1974

1969 & 1970	1971	1972	1973	1974
Industrial Technology and Worker Integration in the Organization. *American Sociological Review*. Also in W. Mann (Ed.), Canada: A Sociological Profile. Education and Adaptive Capacity. Unpublished paper. Problems and Issues Defining School Innovativeness. Paper presented at the annual conference of the Ontario Educational Research Council, Ontario, Canada. (with G. Eastabrook)		Education and Adaptive capacity. Sociology in Education Industrial Technology and Worker Integration in the Organization. In J. Hage and K. Azumi (eds.), Sociological Study of Organizations. Thornlea: A Case Study of An Innovative Secondary School. Profiles in Practical Education.	Fullan, M., & Eastabrook, G. (1973). School Change project. Unpublished Report, Ontario Institute for Studies in Education, Toronto, Ontario, Canada. The problems of school change and implications for organization futures. In T. Morrison & A. Burton (Eds.), Reforms and Alternatives in Canadian Education. A New Look at School Innovativeness. In T. Morrison & A. Burton (Eds.), Reforms and	

	Alternatives in Canadian Education (with G. Eastabrook and P. Hewson)
	The Process of Educational Change at School Level: Deriving Action Implications from Questionnaire Data.
	Fullan, M. (1972). Overview of the Innovative Processes and the User. Interchange, 2(2/3), 1-47.

TIME LINES
Michael Fullan Works
1975 – 1979

1975	1976	1977	1978	1979
	An overview and critique of OD in schools. Open University Course E283, Management of Education.	Research on Curriculum and Instruction Implementation, Review of Educational Research (with A. Pomfret) Action research in the school: Involving students and teachers in classroom change. In R. Carlton, L. Colley & N. Mackinnon (Eds.), Education, Change and Society.	OD in Schools: The State of the Art. Vol. I: Introduction and Executive Summary. OD in Schools: The State of the Art. Vol. II: Review of Research on OD. Final Report. OD in Schools: The State of the Art. Vol. IV: Case Studies. Final Report. The State of the Art of OD in Education: An empirical assessment. In W. Burke (Ed.), The Cutting Edge:	School-focused in-service education in Canada. Report prepared for the centre for educational research and innovation. (O.E.C.D.) Project on In-Service Educ. For Teachers Paris. The relationship between evaluation and implementation in curriculum. In Lewy, A. (Ed.) Evaluation Roles, Unpublished.

| | Current Theory and Practice in Organization development (with M. Miles) |
| | School and Community: Principals and Community Schools in Ontario. (with G. Eastabrook) |

TIME LINES
Michael Fullan Works
1980 – 1984

1980	1981	1982	1983	1984
The Nature and Impact of OD in school districts. In M. Milstein (Ed.), Schools, Change and Conflict (with M. Miles) Organizational development in schools. In P. Smith (Ed.), Small groups and personal change (with M. Miles) Organization Development in Schools: The State of the Art. Review of Educational Research (with M.B. Miles & G. Taylor) The relationship between	Research on the implementation of educational change. In R. Corwin (Ed.), Research in Sociology of Education and Socialization. Fullan, M. & Park, P. (1981). Curriculum implementation: A resource booklet. Toronto, Canada: Ontario Ministry of Education. Fullan, M. (1981). School district and school personnel in knowledge Utilization. In	The New Meaning of Educational Change (1st ed.). New York: Teachers College Press. Research into educational innovation. In H. Gray (Ed.), Research and Consultancy in the Management of Educational Institutions. School district and school personnel in knowledge Utilization. In R. Lehming and	Implementatio n und Evaluation von Curricula: USA and Canada. In U. Hameyer, K. Frye, haff (Hrsg)., Handbuch der Curriculum forchung The Meaning of Educational Change: A Synopsis. In Pedagogisch Tijdschrift Forum voor Opvoedkunde Evaluating Program Implementatio n: What can be learned from follow through? Curriculum Inquiry	The Principal as an Agent of Knowledge Utilization (KU) for school improvemen. In D. Hopkins & M. Wideen, Alternatives perspectives on school improvement . Organization Development in Faculties of Education. Group and Organization Studies. Fostering Long-Term Growth in School System Effectivenes. The

evaluation and implementation in curriculum. In A. Lewy, (Ed.), Evaluation roles Research on OD in schools: The State of the Art. Review of Educational Research The role of human agents internal to school district in knowledge utilization.	R. Lehming and M. Kane (Eds.), Improving schools: What we know. Beverly Hills, CA: Sage.	M. Kane (Eds.), Improving schools: What we know. Implementing Educational Change. Progress at last.	Canadian Administrator.

TIME LINES
Michael Fullan Works
1980 – 1984

1980	1981	1982	1983	1984
The Nature and Impact of OD in school districts. In M. Milstein (Ed.), Schools, Change and Conflict (with M. Miles) Organizational development in schools. In P. Smith (Ed.), Small groups and personal change (with M. Miles) Organization Development in Schools: The State of the Art. Review of Educational Research (with M.B. Miles & G. Taylor) The relationship between	Research on the implementation of educational change. In R. Corwin (Ed.), Research in Sociology of Education and Socialization. Fullan, M. & Park, P. (1981). Curriculum implementation: A resource booklet. Toronto, Canada: Ontario Ministry of Education. Fullan, M. (1981). School district and school personnel in knowledge Utilization. In	The New Meaning of Educational Change (1st ed.). New York: Teachers College Press. Research into educational innovation. In H. Gray (Ed.), Research and Consultancy in the Management of Educational Institutions. Implementing Educational Change. Progress at last. The use of	Implementation und Evaluation von Curricula: USA and Kanada. In U. Hameyer, K. Frye, haff (Hrsg)., Handbuch der Curriculum forchung The Meaning of Educational Change: A Synopsis. In Pedagogisch Tijdschrift Forum voor Opvoedkunde Evaluating Program Implementation: What can be learned from follow through? Curriculum Inquiry Fullan, M., Wideen, M., &	The Principal as an Agent of Knowledge Utilization (KU) for school improvement. In D. Hopkins & M. Wideen, Alternatives perspectives on school improvement. Organization Development in Faculties of Education. Group and Organization Studies. Group and organization studies, 9(3), 373-398. Fostering Long-Term Growth in

evaluation and implementation in curriculum. In A. Lewy, (Ed.), Evaluation roles Organization development in schools. In Guidelines for planning and evaluation program implementation (with K. Leithwood). Prepared for the British Columbia Ministry of Education.	R. Lehming and M. Kane (Eds.), Improving schools: What we know, (pp. 212-252). Beverly Hills, CA: Sage. The role of human agents internal to school district in knowledge utilization.	external resources for school innovation by local agencies. San Francisco, CA: Far West Laboratory.	Eastabrook, G. (1983). A study of teacher training institutions in Anglophone Canada, Vol. 1: Current perspectives on teacher training in Canada: An overview of faculty and student perceptions. Social Sciences and Humanities Research Council. Fullan, M., Wideen, M., Hopkins, D., & Eastabrook, G. The management of change in teacher education, Vol. II. A comparative analysis of faculty and students perceptions. Final report to Social Sciences	School System Effectiveness. The Canadian Administrator.

	& Humanities Research Council.

TIME LINES
Michael Fullan Works
1985 – 1989

1985	1986	1987	1988	1989
Change process and strategies at the local level, Elementary School Journal Integrating theory and practice. In D. Hopkins and K. Reid (Eds.) Rethinking Teacher Education. Curriculum implementation. In T. Husen & N. Postlethwaite (Eds.), International encyclopedia of education. Policy Implementation Issues about Multi-Cultural Education at the School Board Level. Multiculturalism. Innovation.	School Focused In-Service. In D. Hopkins (Ed.) In-service Training and Educational Development. Conservatism: The Impact of Policy on Practice. Special issue of The Ontario Journal of Educational Administration. Support Systems for implementing curriculum in school boards. (with S. Anderson & E. Newton) Reflections on re-thinking teacher	Supervisory officers in Ontario: Current practice and recommendations for the future. Toronto, Ontario, Canada: Ontario Ministry of Education. (with P. Park, T. Williams, P. Allison, L. Waller & N. Watson, N.) Fullan, M. G. and Connelly, F.M. (1987) Teacher Education in Ontario, Toronto, Ontario Ministry of Education. Implementing	Strategies for Implementing Microcomputers in Schools: The Ontario Case (with M.B. Miles & S.E. Anderson) What's worth fighting for out there? (with Andy Hargreaves) The evolution of research on planned educational change in North America. Paper presented at a seminar for the International School Improvement Project, Organization for Educational	Fullan, M. (1989). 'Implementing Educational Change: What We Know', World bank Seminar on Planning for the Implementation of Educational Change. Fullan, M.G. (1989). Implementation Factors. School Improvement Program Distinguished Lecturer Series, Portland, OR.

International Encyclopedia of Education. Curriculum Change. International Encyclopedia of Education. Curriculum Implementation. International Encyclopedia of Education. The management of change. In E. Hoyle & A. McMahon (Eds.), World Yearbook of Education: Management of schools.	education. In Newton, L. & MacDonald, J. Rethingking Teacher Education, Conference Proceedings, Toronto.	the Implementation Plan. In M. Wideen & I. Andrews (Eds.), Alternative Perspectives on Staff Development.	& Community Development, Leuven, Belgium. School principals and change processes in the secondary school. Canadian Journal of Education. (with E. E. Newton)

TIME LINES
Michael Fullan Works
1990 – 1994

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APPENDIX B: PRELIMINARY LETTER OF CONSENT

July, 2006

Preliminary Letter of Consent

Dear Dr. Fullan,

As you know I am very excited of studying your thought and work in the field of educational change. I am interested in exploring the evolution and impact of your work in the intellectual and practice fields of educational change and reform. At this time, I am preparing for the proposal presentation. After the proposal is approved, you will received a received a letter of consent. Basically, this letter indicates that you agreed to this purpose and objectives of the study undertaken.

This study seeks to engage with the educational change literature by conducting one 1-2 hour interview with you with surrounding e-mail correspondence as well as interviews with people in organizations you nominate whose work you have impacted. It will be really helpful if I can have a letter of agreement from you that will be subject to a formal letter of consent. If you prefer that I write this letter and have you signed it, please indicate so.

Fully aware that you are very busy individual, I truly and deeply appreciate your time and effort. Thank you for your attention and cooperation regarding this important matter.

Sincerely,

_____

David A. Escobar Arcay

Ph.D. candidate

Boston College Lynch School of Education

Providence, RI USA

April, 2008

FROM: David A. Escobar Arcay
               101 Paul Street 1ˢᵗ floor
               Providence, RI   02904

TO: Dr. Michael Fullan, Ph.D.
               OISE/University of Toronto
               252 Bloor Street West
               Toronto, Ontario
               M5S 1V6 Canada

RE: Dissertation Interview Consent

Dear Dr. Fullan,

As a follow up to your 2006 signed pre-consent letter in which you agreed to the purpose and objective of the study undertaken here, I am seeking your consent for a 1-3 hour interview in order to clarify some questions that have a reason for the researcher. This consent also allows me to cite your responses or comments in the form of specific sentences, words and/or phrases in the thesis. I will send you a transcript of the taped interview for your approval. This study is being conducted to fulfill partial requirements for the doctoral degree from the Boston College Educational Administration department. My doctoral committee consists of: Dr. Patrick McQuillan, Dr. Andrew Hargreaves and Dr. Robert J. Starratt (advisor and director).

This is a library research study grounded in the qualitative- interpretive (loosely hermeneutical) research tradition entitled *"An Analytical and Descriptive*

Assessment of Michael Fullan's Scholarship on Educational Change". This dissertation investigates, articulates and interrogates your intellectual and strategic contributions in the scholarly field of educational change. This is a study not of your life but of your scholarly work. The overall purpose here is to highlight the development and cogency of your ideas in the field of educational change.

The benefit gained from this study is that subsequent readers will be able to understand your past and present theories as well as the significance of your works within prevailing trends in the fields of educational change and reform practice. Furthermore, this study provides insight into a significant area of practice and research in educational administration by looking at the development of a field through the intellectual contributions of one of its most important authorities.

Your consent to be interviewed for this study is voluntary. You may withdraw at any time from this interview. I hereby give my unconditional consent to be interviewed for this study.

_____   _____
Signature   Signature of Principal Investigator

BOSTON COLLEGE
Lynch Graduate School of Education

<u>INTERVIEW PROTOCOL</u>
A Descriptive & Analytical Assessment of Michael Fullan's Scholarship on
Educational Change
(*Doctoral Dissertation*)
Department of Educational Administration
Dr. Robert Starratt (*Chairperson*)
Dr. Andrew Hargreaves & Dr. Patrick McQuillan (*Readers*)

David A. Escobar Arcay
101 Paul Street 1st floor Providence, RI 02904
401-270-1301 (*home phone*) 401-654-8245 (*cell phone*)
Spring 2008

INTERVIEW QUESTIONS

OVERVIEW

Questions are arbitrarily classified under major lettered headings and numbered in order to facilitate responses and for transcription purposes. Key words are highlighted. Whenever appropriate, questions are grounded in Fullan's as well as other scholars' works. Let me acknowledge at the outset that I am assuming that the interviewee knows the works I will quote. I am also aware that citing one or two quotes from books or articles run the risk or misplacing statements and findings out of context. However, as the researcher I am compelled to ask these questions and delve deeper into what I perceive to be unresolved issues and dilemmas of educational change.

SOCIOLOGICAL WORLDVIEW[90]

1.   When we look at the discipline of sociology, one finds its classical

     thinkers as being for the most part three, namely: Karl Marx, Max Weber

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[90] 'Worldview' is defined as: "From the German 'weltanschauung'. A shorthand term signifying the common body of beliefs shared by a group of speakers about the world and their relationship to it" (Edgar & Sedgwick, 1999). It is also "a commitment, a fundamental orientation of the heart, that can be expressed as a story or in a set of presuppositions (assumptions which may be true, partially true or entirely false) which we hold consistently about the basic condition of reality, and that provides the foundation on which we live and move and have our being" (Sire, 2004, p. 17). *See* Sire, J.W. (2004). Also *see Naming the elephant: Worldview as a concept*. Downers Grove, IL: InterVarsity Press; Naugle, D.K. (2002). *Worldview: The history of a concept.* Grand rapids, MI: William B. Eerdmans & Holmes, A.F. (1983) and *Contours of a worldview.* Grand Rapids, MI: William B. Eerdmans. In simple terms, I define worldview as the view of the world. It is like a paradigm or framework. For purposes of this interview protocol, I define 'worldview' as the particular interpretation and explanation that a scholar gives to a specific subject matter, discipline, idea, system, institution, societal shift or transition and conflict.

and Emile Durkheim. Earning your degrees in sociology at the University of Toronto in 1969 presumably made you read and study the works of each one of these thinkers. If you were to talk about roots or beginnings, which one of these thinkers (Marx, Weber & Durkheim) originally had the most influence on your career? What specific work(s)? Why and in what ways?

2. In your 1969 dissertation entitled *Workers' Receptivity to Industrial Change in Different Technological Settings*, you set out to explore "worker's relationship to the technological process (nonsocial) and to the various levels of the organizational system (social)" (Fullan, 1969, p. 2). This question was theoretically approached and based upon the work of sociologist Talcott Parsons's *General Theory of Action* (Parsons and Shils, 1951) which refers to the organizational situation and the orientation of an actor to that situation. Talcott Parsons is also known for the theory of structural functionalism which views society as a system of interrelated and cooperating parts. In what ways does your work on educational change over the last four decades reflect and digress from this theoretical view by Parsons?

EDUCATIONAL WORLDVIEW

3. Throughout your scholarly career in educational change, your work seems to be that of a systemic or systems thinker (Fullan, 2007). Your work on educational change addresses sociological debates, namely the individual and society; consensus and conflict, structure and culture, stability and change and the macro and the micro. Would you consider your calling as being an agent of reconciliation between opposites? Why? Explain.

4. Have you been influenced by the constructivist theory of John Dewey? Have you been influenced by the critical theory of Paulo Freire? Have you been influenced by the work of John I. Goodlad? In what ways? Explain.

5. In your writings, you make a distinction between theories of education and theories of change. Could you elaborate a little bit on how you understand the distinction between these two?

6. What is your theory of education? How do you define learning? What works or scholars exemplify your position on learning?

INNOVATIONAL AND CHANGE WORLDVIEW

7. Some of your works mention the contributions of what I call 'innovation scholars' such as Everett Rogers, Ronald G. Havelock and Per Dalin to the

emergence and study of educational change. What is the impact of their works on your work on educational change?

8. To what extent your understanding of educational change has been influenced by prominent American psychologist and founder of modern social psychology Kurt Lewin (1958)?

9. One can recognize that there are two categories of change theories (Zaltman and Duncan, 1977). Change can begin from within the organization/individual or begin from the social conditions or environment. Where does your change theory fit into this dichotomy? Does it begin from within or from without?

10. Renowned researcher and professor Karen Seashore Louis claims that knowledge utilization theory needs to be resurrected by stating "that we do not need to throw away our theories about school reform processes and Diffusion & Utilization, but to merge and enlarge them" (Louis, 1998, p. 1092). To what extent has your understanding of educational change been influenced by knowledge utilization theory?

PERSPECTIVES ON EDUCATIONAL CHANGE

11. House and McQuillan (1998) examined educational change from three perspectives: technological, political and cultural. "The *technological perspective* takes production as its root image or metaphor ... The *political perspective* takes negotiation as its underlying image ... The third perspective is the cultural, which rests on an image of community (House and McQuillan, 1998, p. 198). Which perspective is most dominant in your work? Explain.

12. Has your work been influenced by the Hall & Hord's (1979; 1987) Concerns-Based Adoption Model (intended adopter/user)? Explain.

13. The educational change model of Zaltman & Duncan (1977) focuses on resistance. What impact, if any, has this work had on your understanding of educational change?

14. Chin and Benne (1969) describe three basic strategies for change: empirical-rational, normative-reeducative and power coercive. Which perspective is most dominant in your work? Explain.

TRANSITIONS

15. What events, contexts, encounters, people, projects, ideas, theories help you transition from sociology into education?

MENTORS & PROTEGES

16. Whom do you consider to be your mentors? What works have exerted the most influence upon your academic and intellectual life?

17. Whom do you consider to be your heirs (protégés) in the field of educational change?

CRITICS/CONTRADICTIONS/CONTEXTS

18. In a publication entitled *The Sharp Edge of Educational Change: Teaching, Leading and the Realities of Reform* (2000), Nina Bascia and Andy Hargreaves write:

... context is not so complex that it can only be explained (or explained) away as an unpredictable, ineffable process of chaos. Drawing on theories of "new science" which describe the physical and natural worlds as chaotic systems that defy predictability and control (Gleick, 1987), organizational and educational theorists have sought to explain organizational and educational change as chaotic systems that cannot be managed by standard procedures and tight control (Fullan, 1993) ... While

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their acknowledgement that today's organizations are highly complex and not amenable to standardized regulation is to be welcomed, these theories of chaos are themselves functionalist. They compare human societies and organizations to physical and biological systems ... In relying on this naturalistic analogy, such theorists still explain change as a process without human will, devoid of politics ... the chaos we experience in our lives and organizations is not just "natural" or accidental − it is often willfully and politically manufactured by governments that want to intensify the productivity of teachers and other state employees, and introduce change at an excessive pace, and keep everyone off-balance (Hargreaves, 1997) (Bascia & Hargreaves, 2000, p. 16). I would like to hear your reaction to this observation since much of your force, particularly the *Change Forces* series, is grounded on evolutionary, chaos and complexity theories.

19.   Professor Emeritus Mark Holmes at the Ontario Institute for Studies in Education, University of Toronto wrote: "For Fullan, the moral purpose of teaching and learning subsides into striving to be an effective change agent. Fullan makes explicit his rejection of traditional values … Today, the teacher who works for or allows the status quo is the traitor; and, ...

societal improvement is really what education is all about" (Cited in Holmes, 1998, p. 249). How do you respond to Dr. Holmes?

20. Dr. Holmes raises several objections to the school change and improvement movement for which he mentions your work *The New Meaning of educational Change* as the classic, liberal study of educational change. These include: the absence of a worldview; top-down implementation; control by experts; lack of accountability and the leftist character of school change agents (Holmes, 1998, p. 246-254). How do you respond to Dr. Holmes?

21. Renowned educator and researcher Jeannie Oakes has consistently and insistently stated that the educational change literature is too technical, instrumental, managerial and apolitical (Oakes, 1998; Oakes, et al. 2006). "Most educational change literature focuses on normatively and politically neutral, technical school reforms and neglects to address the unique attributes of reforms that aim specifically to benefit students who hold less powerful positions in schools and communities. Behind this omission lies an implicit assumption that school systems are filled with well-meaning educators who simply need some centralized assistance or prompting to help their bottom-up efforts to achieve more equitable and efficacious

pedagogies ... Rarely, however, does the discussion move beyond a neutral analysis to examine the actual assumptions and beliefs which underlie the support, resistance, or apathy that creates and sustains inequitable practices and policies ... Instead, the literature mostly focuses on the need for schools to become 'learning organizations' where teachers and administrators become 'change agents' who are experts at dealing with change as a normal part of their work lives ..." (Oakes, 1998, p. 952). How do you respond to this claim?

22. In many of your publications you repeatedly insist that there is 'no silver bullet' or 'shortcuts' or 'never a checklist, always complexity' since it is a 'chaotic' and 'nonlinear world'; however, your books are full of guidelines, models, theories, solutions and even secrets as your last book suggests. Do you see any contradictions here?

23. In various writings you advocate for theories or frameworks for both businesses and schools (public and private). For example, in your last published book *The Six Secrets of Change (2008)* you write: "Theories that travel well are those that practically and insightfully guide your understanding of complex situations and point to actions likely to be effective under the circumstances. Good theories travel across sectors of

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public and private organizations, and they apply to geographically and culturally diverse situations" (Fullan, 2008, p. 1). In an earlier book entitled *Leading in a Culture of Change (2001)*, you suggest that schools should act as if they had minds and businesses as if they had souls. Some will say that schools and businesses are two entirely separate entities and that the change process will be different. How do you respond to this claim?

STUDENTS

24. Students' voice in educational projects is largely absent (Rudduck, 1991; Erickson &

Schultz, 1992; Levin, 1995; Rudduck, Day & Wallace, 1997; Levin, 2004). In fact, you even write: "Innovations and their inherent conflicts often become ends in themselves, and students get thoroughly lost in the shuffle. When adults do think of students, they think of them as the potential beneficiaries of change. They think of achievement results, skills, attitudes, and jobs. They rarely think of students as participants in a process of change and organizational life" (Fullan, 2007, p. 170). Do you think you have taken student voice into consideration throughout your scholarly work?

PROJECTS/REFORMS/CONSULTANCIES

25. Of all the projects you have been involved in the past as a consultant and/or evaluator, what are the three most successful? Explain.

26. Have you had to adapt your educational change model as you travel? Explain.

AS A RESEARCHER & AS A PROFESSOR

27. Do you consider yourself to be in the school effectiveness camp or in the school improvement camp? Why? Explain.

28. As a professor, you have taught a number of courses: the sociology of change, modernization in comparative education, teacher development and school improvement, practical problems in educational innovation, planned educational change, the school and the community and applied sociological field research in education. If you were to teach the same courses to today's aspiring teachers, administrators etc., what changes will you make?

VALUES/ETHICS

29.   You have defined moral purpose in education as concerned with

narrowing the achievement gap. Admirable as that moral purpose is,

would you say that that is the only, or the primary moral purpose in

Education?

30.   In his study of successive restructurings of a school district, Brouilette

(1996) summarizes four different perspectives on schooling. These were:

"Humanist: the purpose of public education is seen as preparing students

for citizenship, so that they understand the values embodied in U.S.

institutions, possess the cultural literacy necessary to communicate

meaningfully with their fellow citizens, have had sufficient basic

knowledge to understand current issues and cast their vote in an intelligent

manner ... Social Efficiency: The purpose of public education is seen as

preparing students to be self-supporting, useful members of society who

can get along well with others, possess the skills to hold down a job, and

are able to cope with the challenges of day-to-day existence in

contemporary society ..., Developmentalist: The purpose of public

education is seen as enabling individual students to fulfill their personal

potential, so that they are prepared to be creative, self-motivated lifelong

learners who are effective problem-solvers, able to communicate and

collaborate with others, and to meet the varied challenges they will

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encounter in their adult lives ..., and Social Meliorist: The purpose of public education is seen as bringing about a more just society, through using the schools to help those children whose background puts them at risk to get the resources they need to succeed, and through teaching all students about diverse cultures and ethnic heritages, thus helping them to grow into open-minded, tolerant adults" (Brouilette, 1996, 223-224). Which one of these perspectives on schooling closely aligns with your value system as a scholar of educational change and why?

PRO OR POST-STANDARDIZATION

31. Do you believe that achievement as determined by increase in state test scores should be the primary or exclusive measure of school change? Explain.

LEGACY

32. What would you like your legacy to be in the field of educational change?

33. Would you like to add any final comments?

Thank you very much Dr. Fullan!

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APPENDIX F: SCHOLARLY

ACTIVITIES/MEMBERSHIPS/ACTIVITIES - MICHAEL FULLAN

PROFESSIONAL EXPERIENCES ON EDUCATIONAL CHANGE

- Special Adviser on education to the Premier of Ontario, and to the Minister of Education

- Special Adviser to the Secretary of State, The Netherlands

- Founder and President, Michael Fullan Enterprises Inc.

- Management Consultant, various groups in US, Australia, New Zealand, Canada, Asia, South America, Europe and United Kingdom

- Dean, Ontario Institute for Studies in Education,University of Toronto

- Policy Implementation Advisor to the Minister of Education and Training (Ontario) on the Report of the Royal Commission on Learning (part-time)

- Dean, Faculty of Education, University of Toronto

- Assistant Director (Academic), Professor of Sociology, Ontario Institute for Studies in Education

- Chairperson and Professor (1980), Department of Sociology, Ontario Institute for Studies in Education

- Associate Professor, Sociology, Ontario Institute for Studies in Education

- Lecturer, Assistant Professor in Sociology, Ontario Institute for Studies in Education

RESEARCH & FIELD DEVELOPMENT ACTIVITIES (since 1990)

Date: 2001
Type: Transfer Grant
Title: School Improvement and Literacy
Source: Ministry of Education

Date: 1999-2001
Type: Grant: L. Earl and M. Fullan
Title: Manitoba School Improvement Project – Evaluation Plans
Source: Walter & Duncan Gordon Foundation

Date: 1998-2001
Type: Contract
Title: An Overview Evaluation of the National Literacy and Numeracy Strategies as Exampled of Educational Reform
Source: Department for Education and Employment, England

Date: 1998-2001
Type: Grant
Title: The Role of the District: Alternate "Drivers" for Professional Development.
Source: The Spencer Foundation

Date: 1998-1999
Type: Operating Contract
Title: Consultancy Study on Establishing an Assessment and Reporting Framework to Enhance the Professional Relevance of Teachers' Performance
Source: The Hong Kong Advisory Committee on Teacher Education and Qualifications

Date: 1998
Type: Grant
Title: Building Infrastructures for Professional Development: A Proposal For Assessing Early Progress
Source: The Rockefeller Foundation

Date: 1997
Type: Grant
Title: Rise and Stall of Teacher Education

Source: Ford Foundation

Date: 1996-1997
Type: Grant
Title: NEA National Center for Innovation: A Retrospective Look at the
                 Learning Laboratories
Source: National Education Association

Date: 1995-1996
Type: Grant
Title: School Change and Inquiry Program
Source: The MacArthur Foundation

Date: 1996
Type: Grant
Title: Holmes Group Evaluation, 1984-1994
Source: Ford Foundation

Date: 1990-1993
Type: Institution contract: Fullan and Anderson
Title: The Implementation Study of River Oaks
Source: Ontario Ministry of Education (through Halton Board of
Education)

Date: 1990-1993
Type: Institution research: Connelly (OISE), Clandinin (Calgary), and
Fullan
Title: Teacher Education: Links Between Professional and Personal
Knowledge
Source: Social Sciences and Humanities Research Council of Canada

Date: 1900-1992
Type: Institution research: Hargreaves, Fullan and Davis (OISE)
Title: School Culture and Educational Change in Ontario Secondary
                 Schools: With Special Reference to Destreaming
Source: Ontario Ministry of Education (Transfer Grant to OISE)

RECOGNITIONS FOR SCHOLARSHIP ON EDUCATIONAL CHANGE

- Ontario Principals Council, Award for Outstanding Educator , 2004

- Honorary Ph.D, Nipissing University, North Bay, Ontario, Canada

- Elected Member of National Academy of Education, United States

- Honorary Ph.D. (Education), University of Edinburgh, Scotland, July 1999

- Laureate Chapter Member, Kappa Delta Pi, 1998

- Whitworth Award for Educational Research, Canadian Education Association, 1997

- Contribution to Staff Development Award

- National Staff Development Council, 1995

- Ontario Association of Curriculum Development

- Colonel Watson Award, 1993

- Canadian Association of Teacher Educators Award of Excellence, 1990

EXECUTIVE AND EDITORIAL POSITIONS RELATED TO SCHOLARSHIP ON EDUCATIONAL CHANGE

- American Journal of Education

- Canadian Journal of Education

- Curriculum Inquiry

- The Alberta Journal of Education

- School Effectiveness and School Improvement

- Education Administration Quarterly

- Journal of Education Policy

- The Chinese University of Hong Journal of Primary Education

- American Educational Research Journal

- Teaching Education

PROFESSIONAL ADVISORY MEMBERSHIPS RELATED TO SCHOLARSHIP ON EDUCATIONAL CHANGE

- Member of Advisory Board, Journal of Educational Policy, Boston, MA

- Co-Chair, Curriculum Implementation Partnership Strategy Committee, Ontario Ministry of Education

- Faculty Board, University of Melbourne

- Advisory Committee, Soros Foundation, Budapest

- Advisory Board of Advanced Studies Program,

- Institute of Education, Kiel University

- Member of Advisory Board of the Hong Kong Institute of Educational Research of the Chinese University of Hong Kong

- Chair, Education Committee, The Walter and Duncan Gordon Charitable Foundation

- Member of the External Review Committee to Review Teacher Education in Nova Scotia

- Member of Board of Directors, The Learning Partnership

- Founding and Continuing Member of the Learning Consortium, Toronto

- Member of International Steering Group, School Improvement Project, Organization for Economic Cooperation and Development (OECD)

- Member of National Advisory Board, Research and Development Center for Teacher Education, University of Texas, Austin, TX

- Canadian Society for the Study of Education

- American Educational Research Association

SUPERVISORSHIPS DE DEGREES / COMMITTED SERVED

Master's   5

Ed.D.   8

Ph.D.   11

Total # of Ph.D. Committees served on: 82

UNIVERSITY GRADUATE COURSES TAUGHT

- <u>The Ontario Institute for Studies in Education (OISE)</u>

    - ✓ Practical Problems in Educational Innovation

    - ✓ Planned Educational Change: Intervention Theories and Methodologies

    - ✓ The School and the Community

    - ✓ Applied Sociological Field Research in Education

- <u>Joint Centre for Teacher Development</u> (FEUT/OISE)

    - ✓ Teacher Development and School Improvement

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APPENDIX G: FULLAN'S LESSONS ON CHANGE

Eight Basic Lessons of the New Paradigm of Change

Lesson One:	You Can't Mandate What Matters (The more complex the change the less you can force it.)
Lesson Two:	Change is a Journey not a Blueprint (Change is non-linear, loaded with uncertainty and excitement and sometimes perverse)
Lesson Three:	Problems are Our Friends (Problems are inevitable and you can't learn without them)
Lesson Four:	Vision and Strategic Planning Come Later (Premature visions and planning blind)
Lesson Five:	Individualism and Collectivism Must Have Equal Power (There are no one-sided solutions to isolation and groupthink)
Lesson Six:	Neither Centralization Nor Decentralization Works (Both top-down and bottom-up strategies are necessary)
Lesson Seven:	Connection with the Wider Environment is Critical for Success (The best organizations learn externally as well as internally)
Lesson Eight:	Every Person is a Change Agent (Change is too important to leave to the experts, personal mind set and mastery is the ultimate protection)

CHANGE FORCES: PROBING THE DEPTHS OF EDUCATIONAL REFORM (1993)

COMPLEX CHANGE LESSONS A

Lesson One:	You Can't Mandate What Matters
	(The more complex the change the less you can force it.)
Lesson Two:	Change is a Journey not a Blueprint
	(Change is non-linear, loaded with uncertainty and excitement and sometimes perverse)
Lesson Three:	Problems are Our Friends
	(Problems are inevitable and you can't learn without them)
Lesson Four:	Vision and Strategic Planning Come Later
	(Premature visions and planning blind)
Lesson Five:	Individualism and Collectivism Must Have Equal Power
	(There are no one-sided solutions to isolation and groupthink)
Lesson Six:	Neither Centralization Nor Decentralization Works
	(Both top-down and bottom-up strategies are necessary)
Lesson Seven:	Connection with the Wider Environment is Critical for Success
	(The best organizations learn externally as well as internally)
Lesson Eight:	Every Person is a Change Agent
	(Change is too important to leave to the experts, personal mind set and mastery is the ultimate protection)

WHAT'S WORTH FIGHTING FOR IN THE PRINCIPALSHIP (1997)

COMPLEX CHANGE LESSONS B

Lesson 1:	Moral Purpose Is Complex and Problematic
Lesson 2:	Theories of Change and Theories of Education Need Each Other
Lesson 3:	Conflict and Diversity Are Our Friends
Lesson 4:	Understand the Meaning of operating on the Edge of Chaos
Lesson 5:	Emotional Intelligence is Anxiety Provoking and Anxiety Containing
Lesson 6:	Collaborative Cultures Are Anxiety Provoking and Anxiety Containing
Lesson 7:	Attack Incoherence: Connectedness and Knowledge Creation Are Critical
Lesson 8:	There Is No Single Solution: Craft Your Own Theories and Actions by Being a Critical Consumer

CHANGE IN FORCES: THE SEQUEL (1999)

COMPLEX CHANGE LESSONS C

Lesson 1:	Give up the idea that the pace of change will slow down.
Lesson 2:	Coherence making is a never-ending proposition and is everyone's responsibility.
Lesson 3:	Changing context is the focus.
Lesson 4:	Premature clarity is a dangerous thing.
Lesson 5:	The public's thirst for transparency is irreversible.
Lesson 6:	You can't get large-scale reform through bottom-up strategies — but beware of the trap.
Lesson 7:	Mobilizing the social attractors — moral purpose, quality relationships, quality knowledge.
Lesson 8:	Charismatic leadership is negatively associated with sustainability.

CHANGE FORCES WITH A VENGEANCE (2003)

LESSONS FOR DISTRICT-WIDE REFORM

Lesson 1:	Leading with a compelling, driving conceptualization
Lesson 2:	Collective moral purpose
Lesson 3:	The right bus
Lesson 4:	Capacity building
Lesson 5:	Lateral capacity building
Lesson 6:	Ongoing learning
Lesson 7:	Productive conflict
Lesson 8:	A demanding culture
Lesson 9:	External partners
Lesson 10:	Growing financial investments

Fullan, Bertani, & Quinn, 2004

APPENDIX H: CHARTS OF FULLAN'S GUIDELINES

CHART 1 FOR INDIVIDUAL ACTION

1. Avoid "if only" statements, externalizing the blame and other forms of wishful thinking.
2. Start small, think big. Don't overplan or overmanage.
3. Focus on fundamentals: curriculum, instruction, assessment, professional culture.
4. Practice fearlessness and other forms of risk taking.
5. Embrace diversity and resistance while empowering others.
6. Build a vision in relation to both goals and change processes.
7. Decide what you are *not* going to do.
8. Build allies.
9. Know when to be cautious.
10. Give up the search for the "silver bullet."

WHAT'S WORTH FIGHTING FOR IN THE PRINCIPALSHIP (1997)

CHART 2 FOR TEACHERS

1. Make students your prime partners.

2. Respond to parents' needs and desires as if they were your own.

3. Become more assessment literate.

4. Refuse to mind your own business.

5. Develop and use your emotional intelligence.

6. Help to recreate your profession.

WHAT'S WORTH FIGHTING FOR OUT THERE (1998)

CHART 3 FOR PRINCIPALS

1. Steer clear of false certainty.
2. Base risk on security.
3. Respect those you want to silence.
4. Move towards the danger in forming new alliances.
5. Manage emotionally as well as rationally.
6. Fight for lost causes (be hopeful when it counts).

WHAT'S WORTH FIGHTING FOR OUT THERE (1998)

CHART 4 FOR GOVERNMENTS

1. Invest in the long term.
2. Go beyond left and right.
3. Use data for improvement, not embarrassment.
4. Put capacity-building before compliance.
5. Deal with the demographics.

<u>WHAT'S WORTH FIGHTING FOR OUT THERE (1998)</u>

CHART 5 FOR PARENTS

1. Press governments to create the kind of teachers you want.
2. Leave nostalgia behind you.
3. Ask what you can do for your school as well as what your school can do for you.
4. Put praise before blame.

WHAT'S WORTH FIGHTING FOR OUT THERE (1998)

CHART 6 FOR UNDERSTANDING THE CHANGE PROCESS

1. The goal is not to innovate the most.
2. It is not enough to have the best ideas.
3. Appreciate the implementation dip.
4. Redefine resistance.
5. Reculturing is the name of the game.
6. Never a checklist, always complexity.

LEADING IN A CULTURE OF CHANGE (2001)

CHART 7 FOR SYSTEM LEADERS COMMITTED TO SUSTAINABILITY

1. The reality test
2. Moral purpose
3. Get the basic right
4. Communicate the big picture
5. Provide opportunities for people to interact with the big picture
6. Intelligent accountability
7. Incentivize collaboration and lateral capacity building
8. The long level of leadership
9. Design every policy, whatever the purpose, to build capacity, too
10. Grow the financial investment in education

LEADERSHIP AND SUSTAINABILITY (2005)

CHART 8 THE SIX SECRETS OF CHANGE

1. Love your employees.
2. Connect peers with purpose.
3. Capacity building prevails.
4. Learning is the work.
5. Transparency rules.
6. Systems learn.

<u>THE SIX SECRETS OF CHANGE (2008)</u>

CHART 9 FOR KEEPING THE SECRETS

1. Seize the synergy.

2. Define your own traveling theory.

3. Share a secret, keep a secret.

4. The world is the only oyster you have.

5. Stay on the far side of complexity.

6. Happiness is not what some of us think.

THE SIX SECRETS OF CHANGE (2008)

CHART 10 GUIDELINES FOR PRINCIPALS

1. De-privatize teaching.

2. Model instructional leadership

3. Build capacity first

4. Grow other leaders

5. Divert the distractors

6. Be a system leader.

CHART 11 GUIDELINES FOR SYSTEMS

1. Elevate and invest in instructional leadership of the principal.

2. Combine direction and flexibility.

3. Mobilize the power of data.

4. Use peers to change district culture.

5. Address the managerial requirements.

6. Stay the course.

CHART 12 ELEMENTS OF SUSTAINABILITY

1. Public service with a moral purpose
2. Commitment to changing context at all levels
3. Lateral capacity building through networks
4. Intelligent accountability and vertical relationships (encompassing both capacity building and
accountability)
5. Deep learning
6. Dual commitment to short-term and long-term results
7. Cyclical energizing
8. The long lever of leadership

CHART 14 FOR SYSTEM LEADERS (LEADING INTO ACTION)

1. Elevate and invest in instructional leadership of the principal.

2. Combine direction and flexibility.

3. Mobilize the power of data.

4. Use peers to change district culture.

5. Address the managerial requirements.

6. Stay the course.

CHART 15 LISTS OF FULLAN'S EXTERNAL/SOCIETAL FORCES OF CHANGE

1. Schools cannot shut their gates and leave the outside world on the doorstep.

2. More diversity demands greater flexibility.

3. The technology juggernaut is breaking down the walls of schooling.

4. Schools are one of our last hopes for rescuing and reinventing community.

5. Teachers can do with more help; and so can parents and communities.

6. Education is essential for democracy.

7. Market competition, parental choice and individual self-management are redefining how schools relate to their wider environments.

8. Schools can no longer be different to what kinds of living and working await their students when   they move into the adult world.

9. The presumes of today's complex environments are relentless and contradictory.

10. Our existing structures are exhausted.

CHART 16 EIGHT FACTORS TO ACCOMPLISH LARGE SCALE REFORM

1. Upgrade the System Context

2. Becomes Preoccupied with Coherence-making in the Service of Instructional Improvement and Student Learning

3. Established Plenty of Cross-Over Structures

4. Downward Investment/Upward Identity

5. Invest in Quality Materials (instruction and training)

6. Integrate Pressure and Support (set target/build capacity)

7. Get Out of Implementing Someone Else's Reforms Agenda

8. Work with Systems

CHART 17 EIGHT FORCES FOR LEADERS OF CHANGE

1. Engaging people's moral purposes.

2. Building capacity.

3. Understanding he change process.

4. Developing cultures of learning.

5. Developing cultures of evaluation.

6. Focusing on leadership for change.

7. Fostering coherence-making.

8. Cultivating tri-level development.

APPENDIX I: DIAGRAMS & TABLES OF FULLAN'S CHANGE

PROCESS

IMPLEMENTATION DIP VS. J-CURVE

The Implementation Dip

– Fullan, 2003

The J Curve

plateau

cliff

valley

ascent

summit

PERFORMANCE — POSITIVE — NEUTRAL
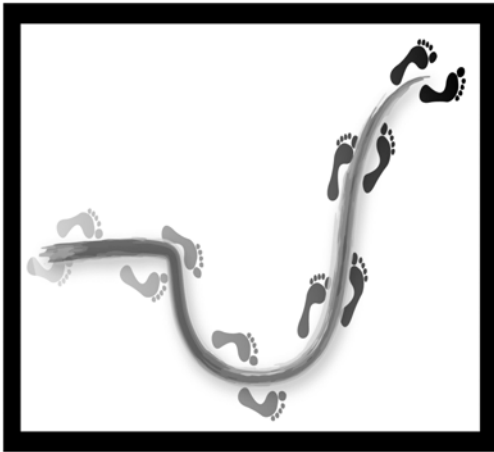
TIME
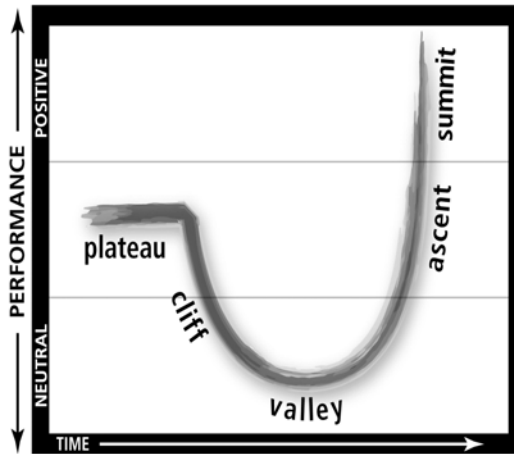
– Jellison, 2006

TYPES OF IMPLEMENTATION OUTCOMES OF ADOPTED CHANGES

		Actual Implementation of the change	
		YES	NO
Value and technical quality of the change	YES	I	II
	NO	III	IV

A SIMPLIFIED OVERVIEW OF THE CHANGE PROCESS #1
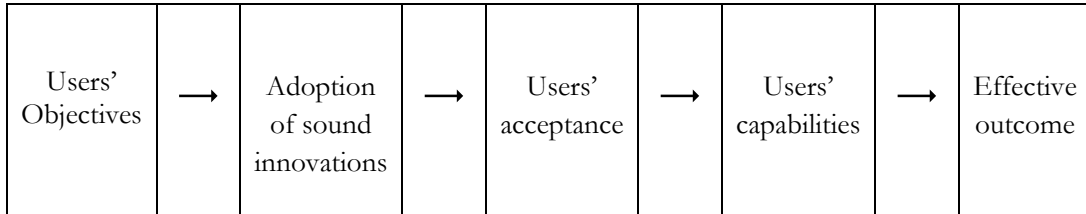
Users' Objectives	→	Adoption of sound innovations	→	Users' acceptance	→	Users' capabilities	→	Effective outcome

A SIMPLIFIED OVERVIEW OF THE CHANGE PROCESS #2

Initiation	⟺	Implementation	⟺	Continuation	⟺	Outcome

A SIMPLIFIED OVERVIEW OF THE CHANGE PROCESS #3

Initiation   Implementation

OUTCOMES:

- Student Learning
  - Organization Capacity

Institutionalization
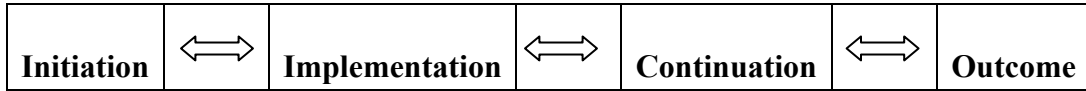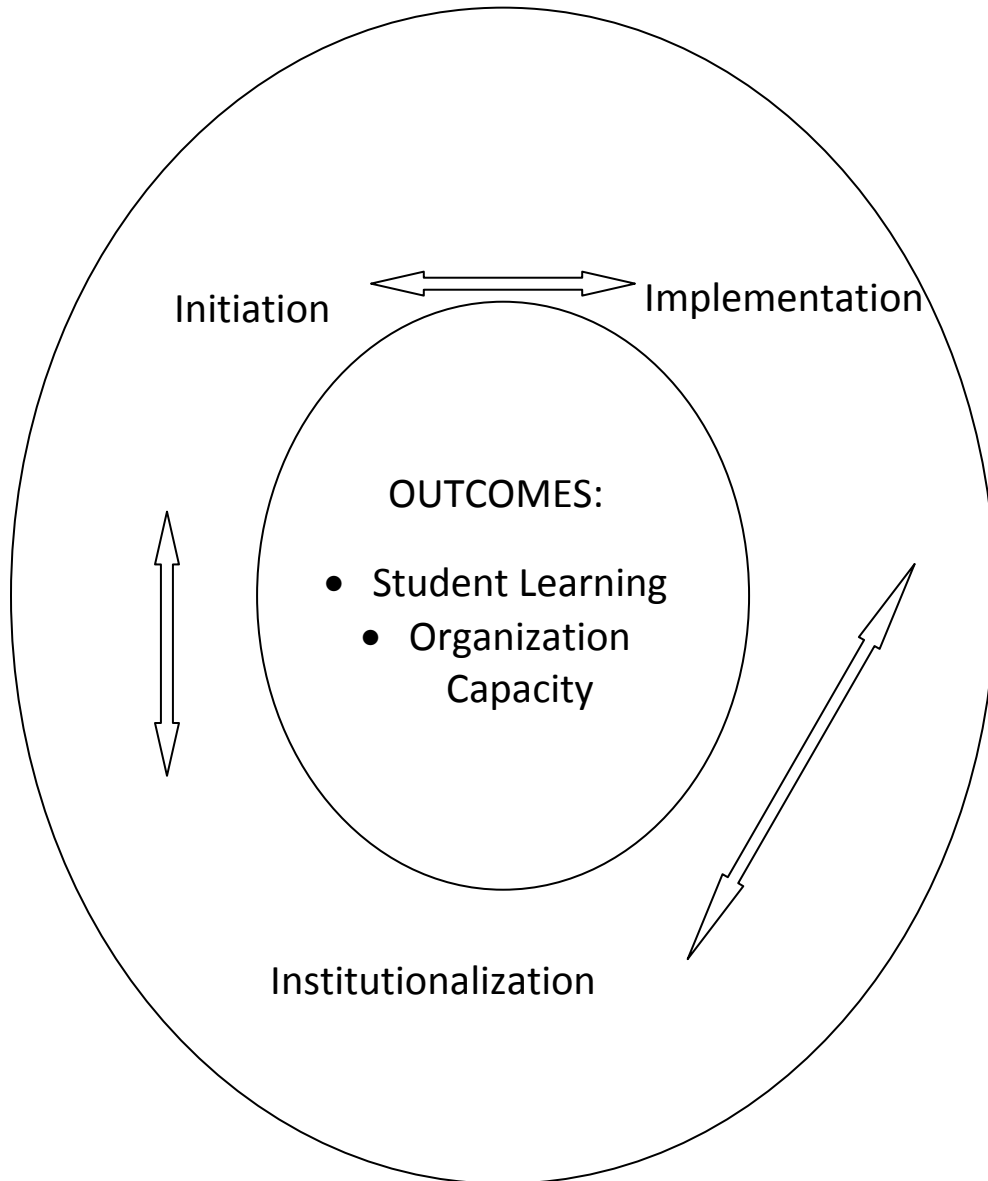
FACTORS ASSOCIATED WITH INITIATION

8. Problem-Solving and
Bureaucratic Orientations

1. Existence and Quality
of Innovations

7. New Policy
— Funds

(Federal /
State / Local)

**INITIATION
DECISIONS**

2. Access to

Innovation

6. Community Pressure /
Support / Apathy

3. Advocacy from Central
Administration

5. External

4. Teacher Advocacy

Change Agents
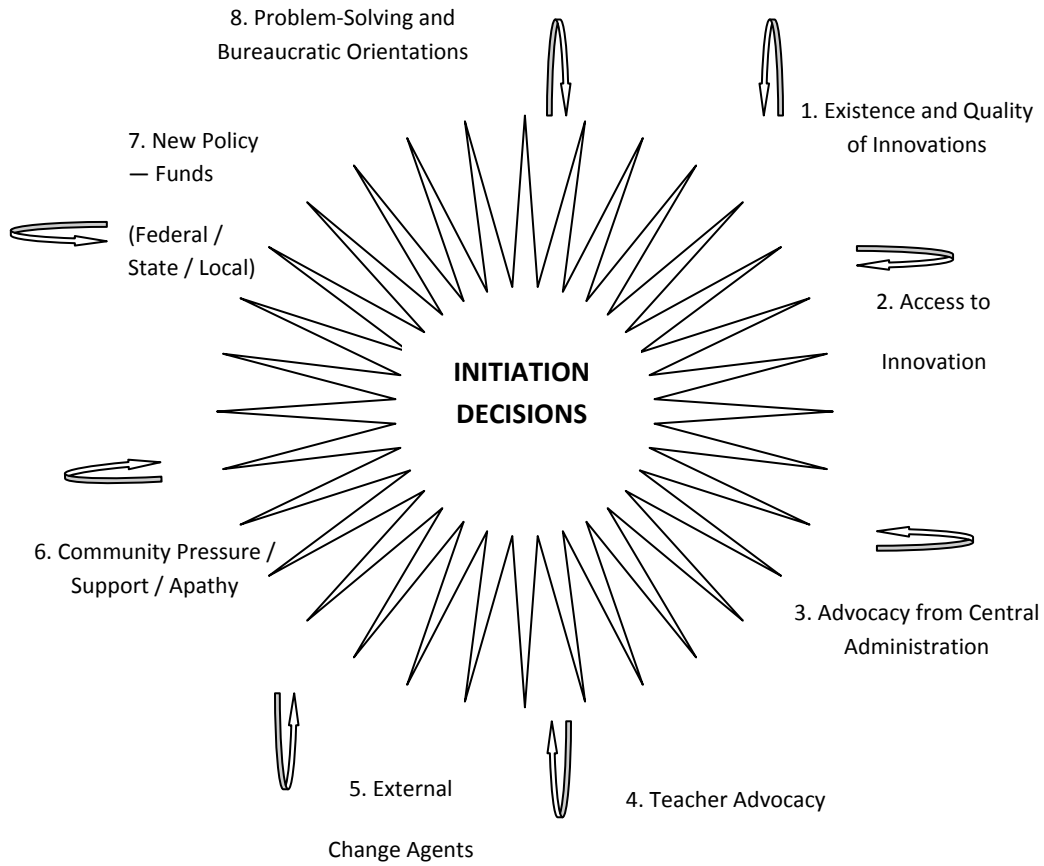
CONSIDERATIONS IN PLANNING FOR ADOPTION

RELEVANCE

  (Practicality = Need)

READINESS

  (Capacity = Need)

RESOURCES

  (Availability)
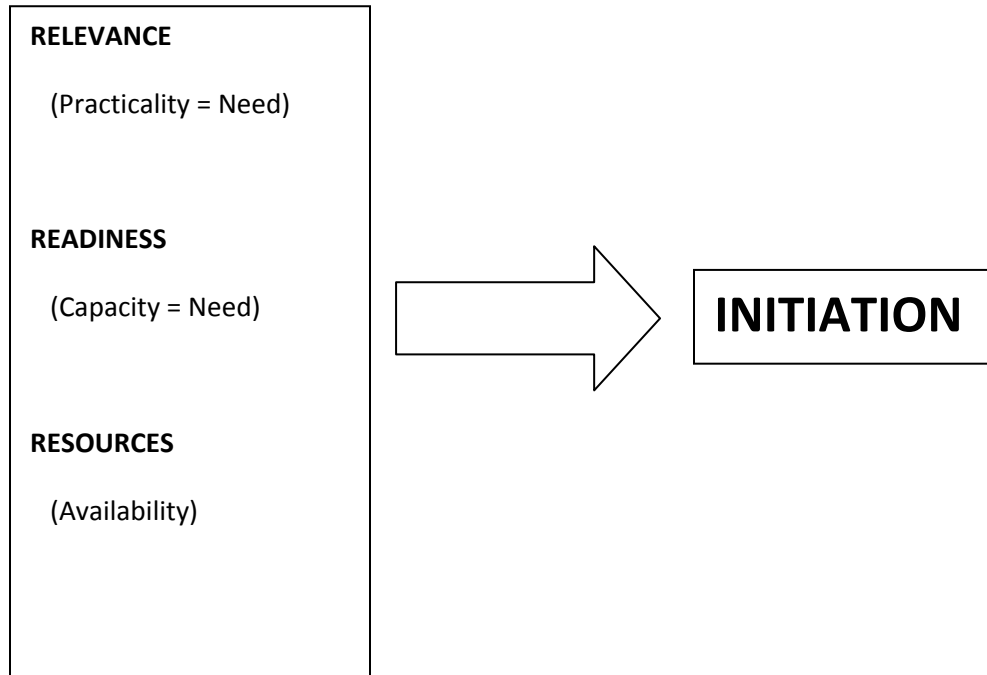
INITIATION

INTERACTIVE FACTORS AFFECTING IMPLEMENTATION

A. CHARACTERISTICS OF CHANGE

1. Need

2. Clarity

3. Complexity

4. Quality/Practicality

B. LOCAL CHARACTERISTICS

5. District

6. Community

7. Principal

8. Teacher

IMPLEMENTATION

C. EXTERNAL FACTORS

9. Government and other agencies

752
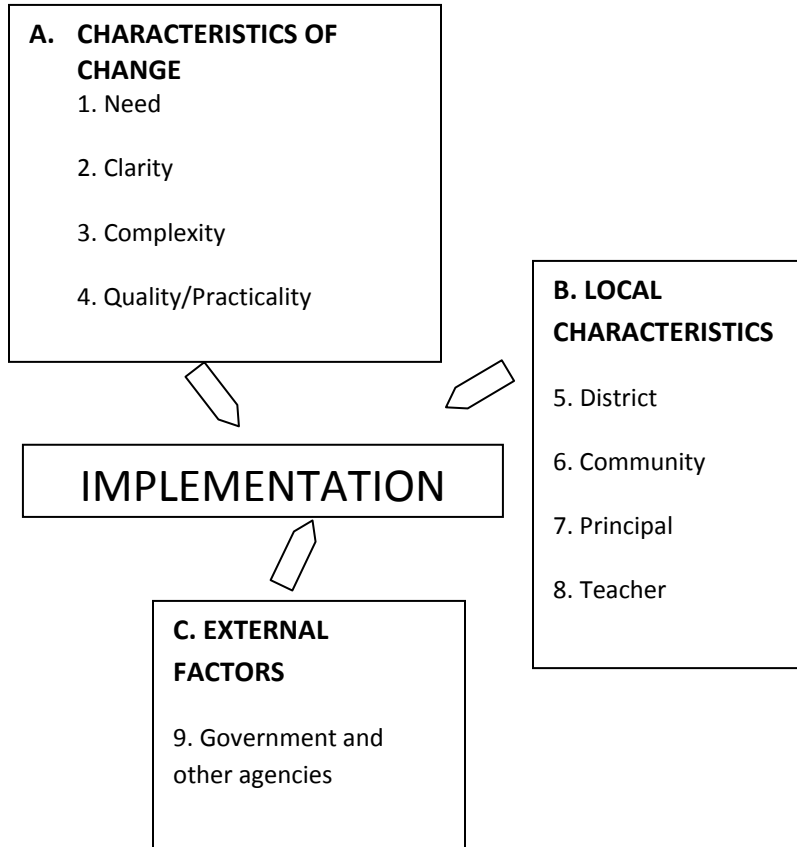
KEY THEMES IN IMPROVEMENT

Vision-Building

Evolutionary
Planning

Classroom &
School
Improvement

Staff

Development /
Resource

Monitoring /

Problem-Coping

Restructuring
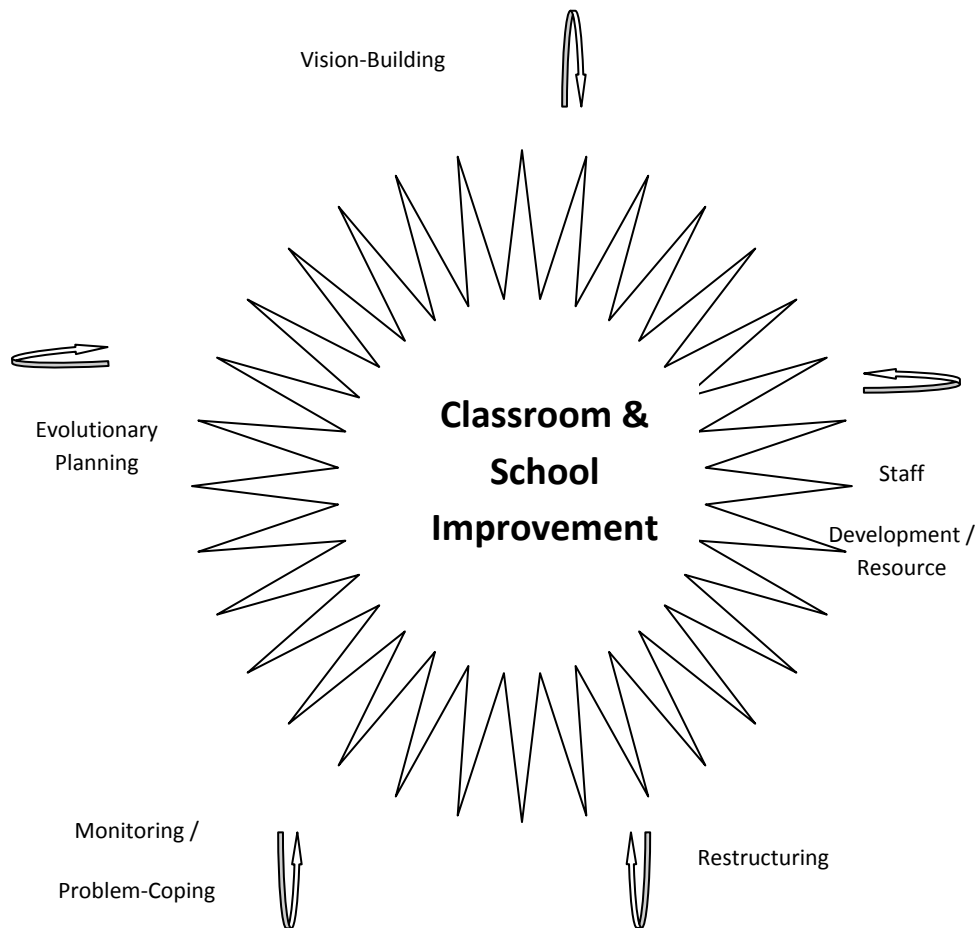
CHANGE SITUATIONS ACCORDING TO AUTHORITY POSITION

AND RELATION TO THE CHANGE EFFORT

Authority Position

		YES	NO
Relation to Change effort	Initiator or Promoter	I Planner (e.g., policy-maker)	II Planner (e.g., developer)
	Recipient or responder	III Coper (e.g., principal)	IV Coper (e.g., teacher)

TRI-LEVEL REFORM

MORAL PURPOSE TRIPLE P COMPONENTS

Personalization

Precision

Moral

Purpose

Professional Learning
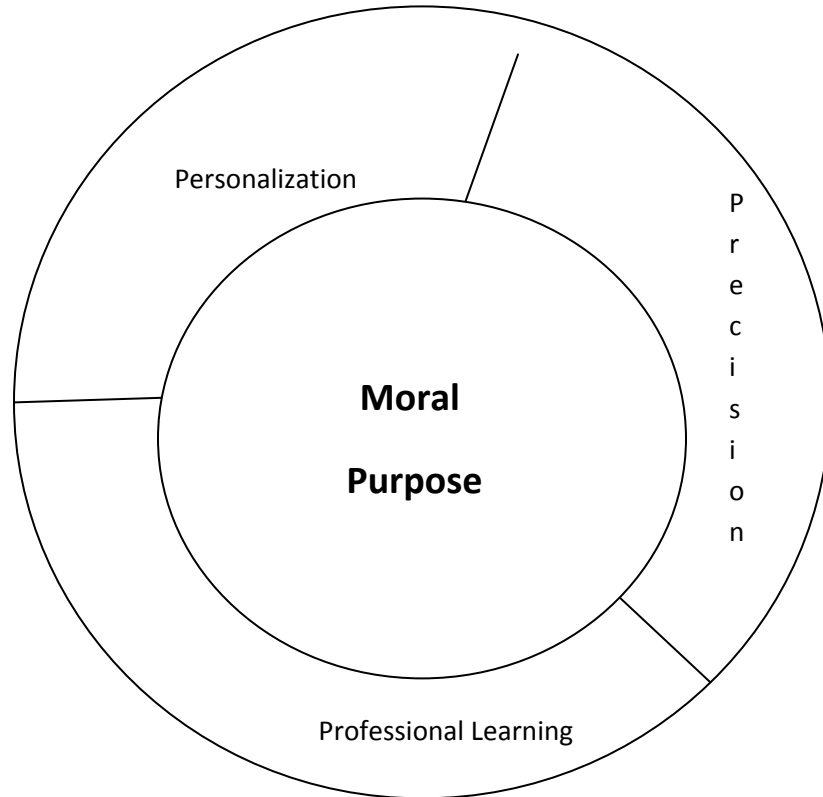
LEADERS MEMBERS RESULTS
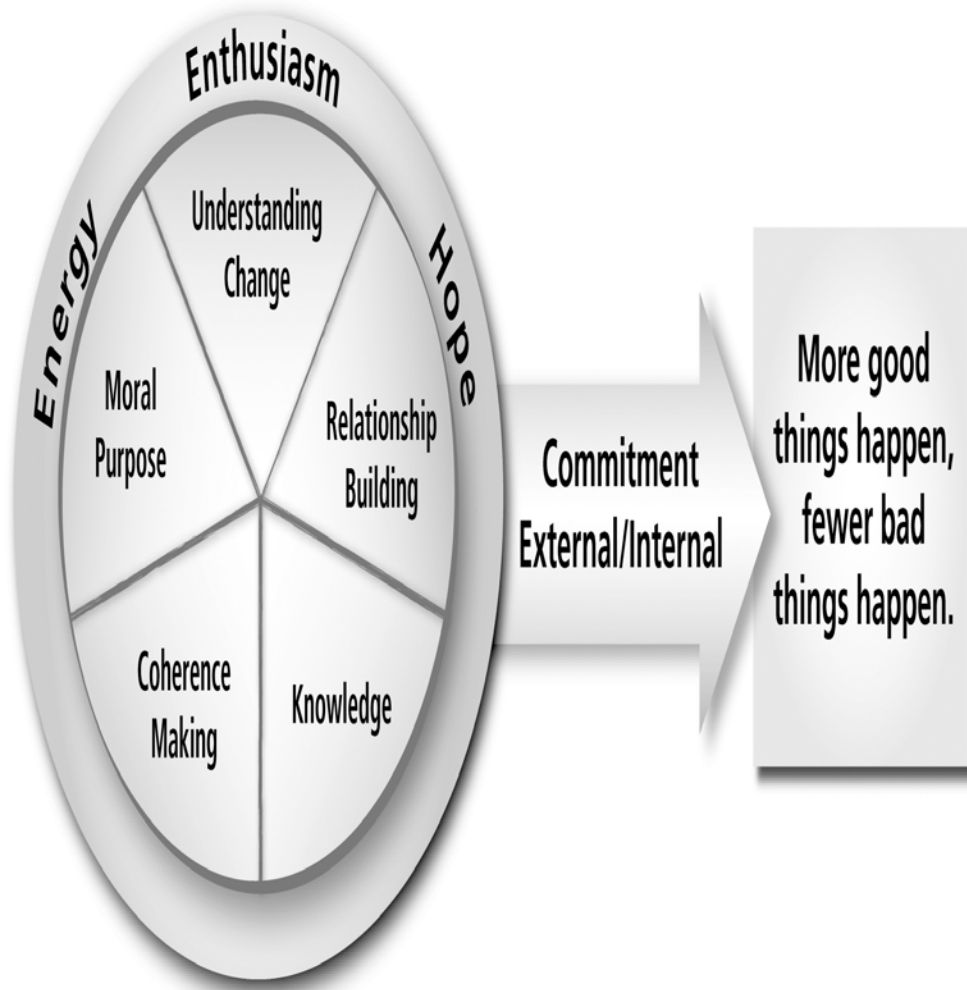
LEVELS OF MORAL IMPERATIVE

THE ROAD TO PRECISION

The Right Strategy Components	⟷	The Black Box of Causal Precision	⟷	Raising the Bar/ Closing the Gap
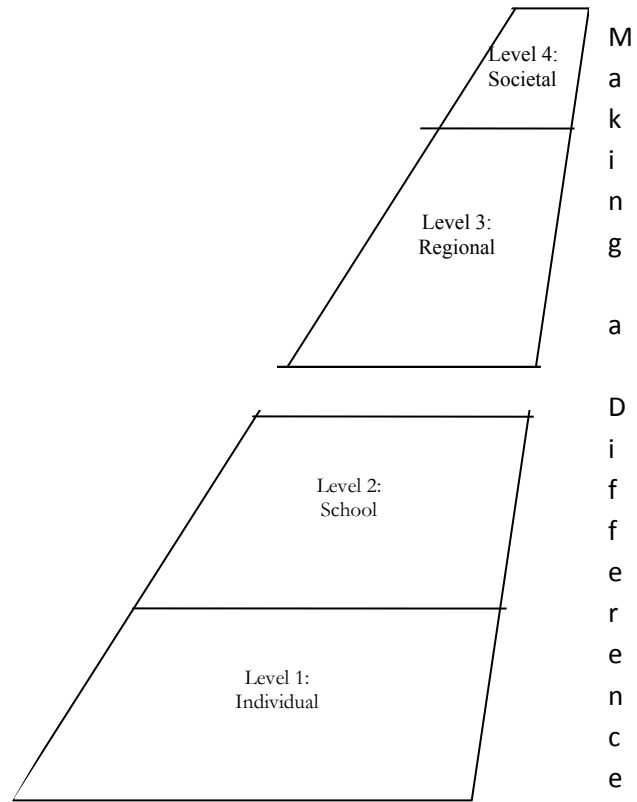
BREAKTHROUGH FRAMEWORK
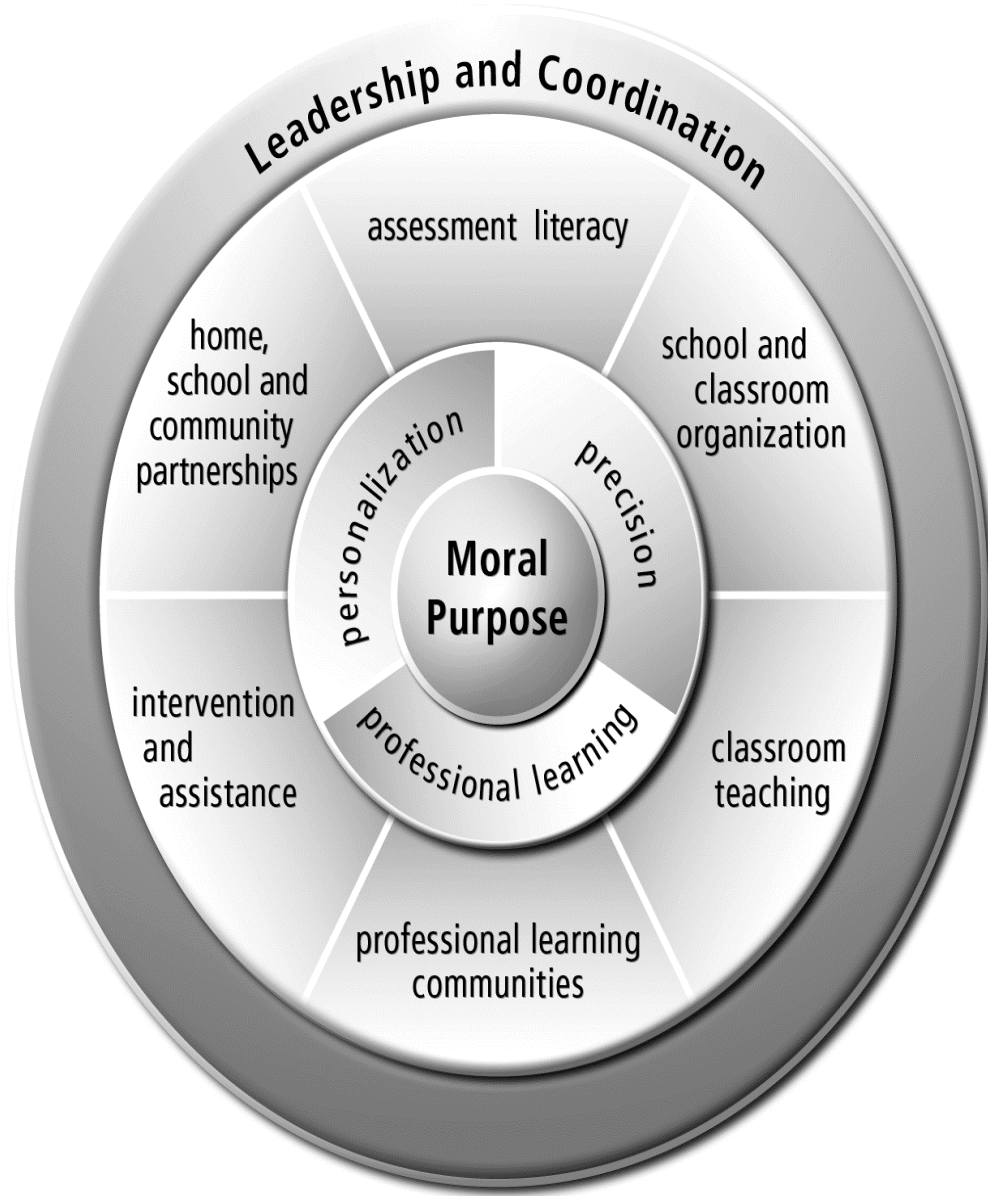
Critical Learning Instructional Paths (CLIP)
Mapping the instructional path
Measuring and monitoring learning
Using the data to drive/inform instruction
Classroom organization
Loops and detours in CLIP
Beyond early literacy
Locking in ongoing improvement
Fullan, Hill & Crévola, 2006

Critical Learning Instructional Paths (CLIPs) 12-Step Process

Step 1. Defining the terrain—big picture overview.

Step 2. Key stages—mapping the journey.

Step 3. Objectives—medium-term goals for instruction.

Step 4. Indicators—specific and comprehensive short-term outcomes.

Step 5. Pre-assessment—starting points for instruction.

Step 6. Assessments—short and aligned.

Step 7. Student learning profile—summaries of students' starting-, mid-, and end-points.

Step 8. Focus sheet—planning, assessing, and evaluating "on the run."

Step 9. Instructional strategies matrix—aligning curriculum intent, assessment information, and instructional strategies.

Step 10. Instructional strategies and grouping practices—a core of powerful strategies for use in whole- and small-group instruction.

Step 11. Ongoing monitoring—focus sheets, student learning profiles, indicators.

Step 12. Post-assessment—end-points of instruction.

GENETIC THEORY OF EDUCATION

Assessments of students

MORAL PURPOSE

KNOWLEDGE

Curriculum

Teacher Learning

Teacher passion, purpose and capacity

Student engagement and learning

Ever-increasing political and public commitment and investment

762
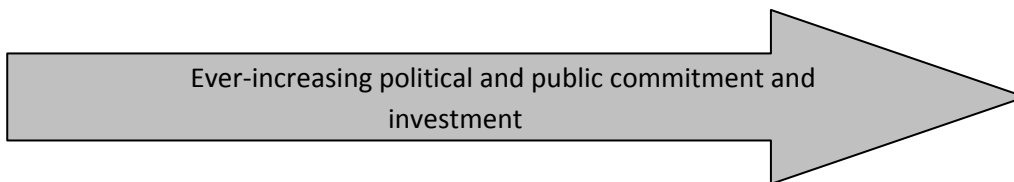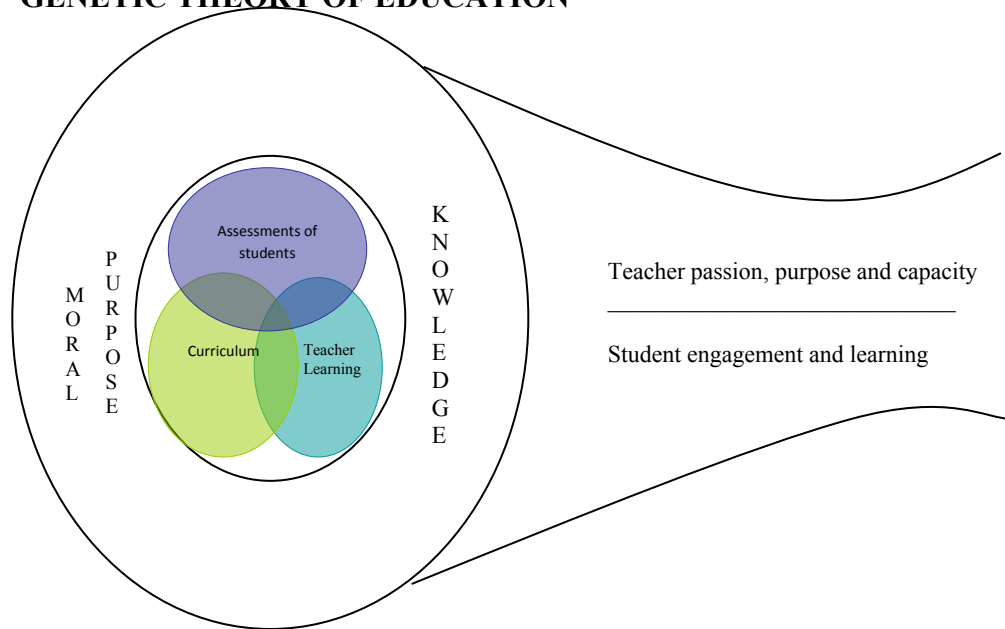
THREE POLICY SETS FOR EDUCATIONAL TRANSFORMATION
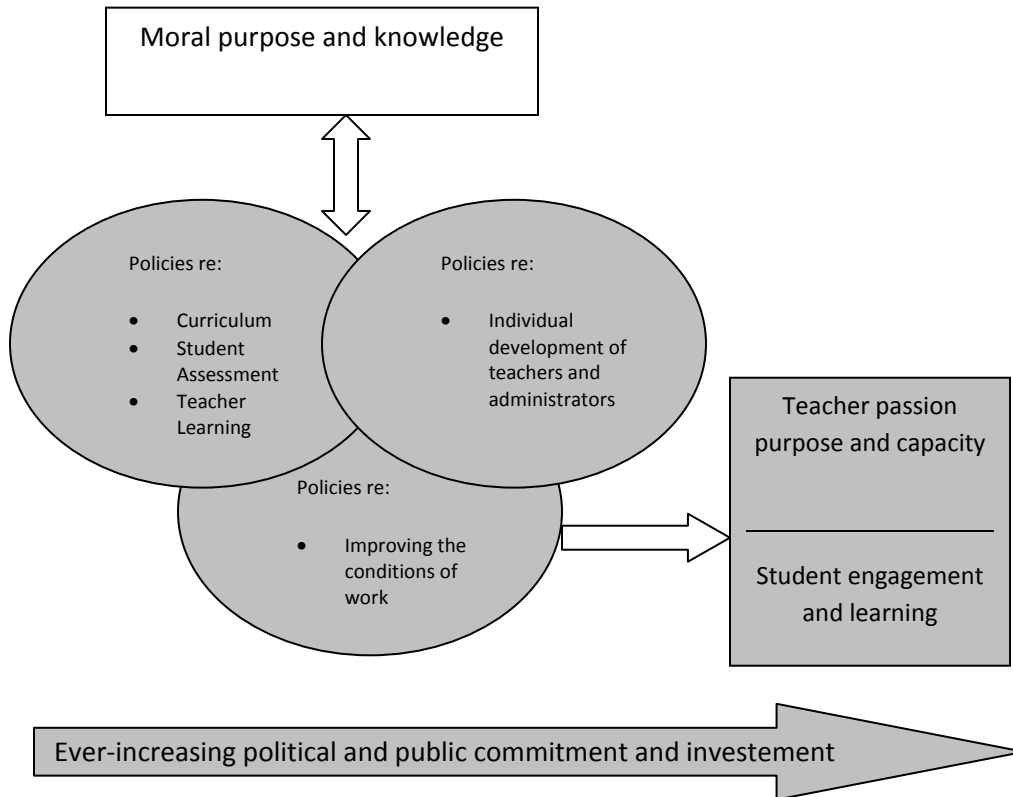
Moral purpose and knowledge

Policies re:

- Curriculum
- Student Assessment
- Teacher Learning

Policies re:

- Individual development of teachers and administrators

Policies re:

- Improving the conditions of work

Teacher passion purpose and capacity

Student engagement and learning

Ever-increasing political and public commitment and investement

EFFECTIVE DISTRICT-WIDE STRATEGIES TO RAISE STUDENT ACHIEVEMENT IN LITERACY AND NUMERACY: KEY COMPONENTS IN BROAD CATEGORIES

ONTARIO STRATEGY

1. Peace and stability

2. Secretariat

3. Class size

4. Negotiated targets

5. Building capacity

6. Enhanced and targeted resources

7. Positive pressure

8. Whole school/whole district/whole system

ENERGIZING ONTARIO REFORM

REACH EVERY STUDENT

Core Priorities

Supporting Conditions

Moving Forward

ADVANCED LITERACY & NUMERACY SKILLS

Advanced Literacy and Numeracy Skills	
Literacy in the 21st Century	Numeracy in the 21st Century
Literacy is defined as the ability to use language and images in rich and varied forms to read, write, listen, view, represent, and think critically about ideas. It involves the capacity to access, manage, and evaluate information; to think imaginatively and analytically; and to communicate thoughts and ideas effectively. Literacy includes critical thinking and reasoning to solve problems and make decisions related to issues of fairness, equity, and social justice. Literacy connects individuals and communities and is an essential tool for personal growth and active participation in a cohesive, democratic society.	The study of mathematics equips students with knowledge, skills, and habits of mind that are essential for successful and rewarding participation in society. Mathematic structures, operations, processes, and language provide students with a framework and tools for reasoning, justifying conclusions, and expressing quantitative and qualitative ideas clearly. Through mathematical activities that are practical and relevant to their lives, students develop mathematic understanding, problem-solving skills, and related technological skills they can apply in their daily lives and in the future workplace.

SUPPORTING CONDITIONS

Supporting Conditions

- Early Childhood Learning
- Arts Education
- Character Development
- Student Engagement
- Safe and Healthy Schools
- Parent Engagement
- Peace and Progress
- School Buildings
- Small Class Sizes
- Professional Learning
- Leadership

MORAL PURPOSE FRAMEWORK
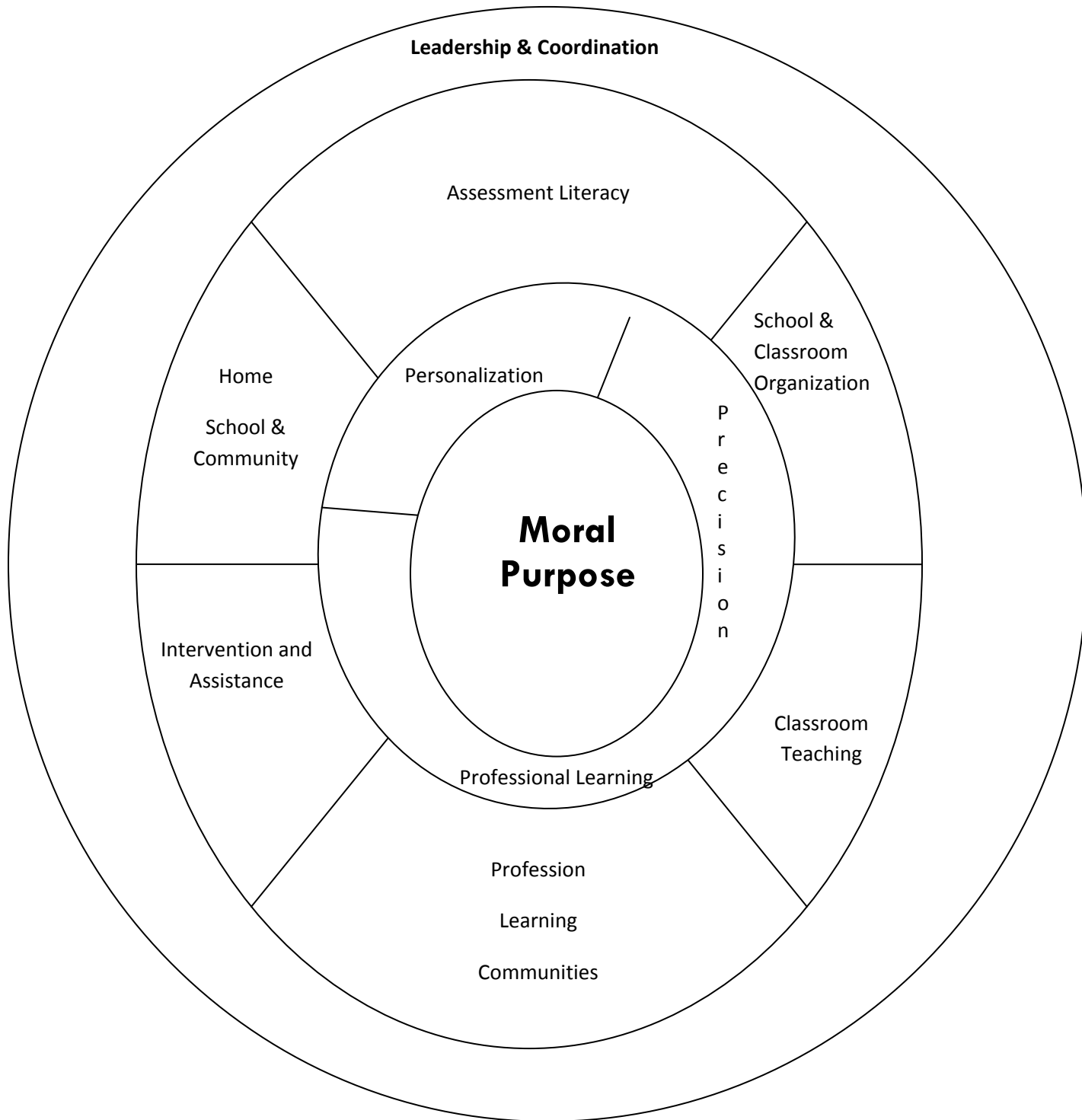
STUDENTS SUCCESS (LEARNING PLACES)

Figure 1

STUDENT SUCCESS

IMPROVING CLASSROOM TEACHING

6. Sharing Ideas About Improving Classroom Teaching
7. Focusing Student Interest and Attention
8. Engaging Student Thinking
9. Supporting Student Performance
10. Affirming Student Understanding

SHAPING SCHOOLWIDE CONTEXTS

1. Building on Strengths
2. Achieving Momentum Through Innovativeness
3. Linking Standardized Test Data to Teaching and Learning
4. Promoting Purpose and Community
5. Making Learning Support Accessible

SUSTAINING PASSION AND COMMITMENT

11. Supporting Professional Development
12. Epilogue—Reframing Success

LEARNING PLACES FIELD GUIDE

CHALLENGE OF KNOWLEDGE TOOLKIT

Focusing on
Leadership
for Change

Engaging
Moral Purpose

Developing
Cultures of
Evaluation

**Challenge
Knowledge
Tool Kit**

Capacity
Building

Developing
Cultures of
Learning

Understanding
The Change
Process
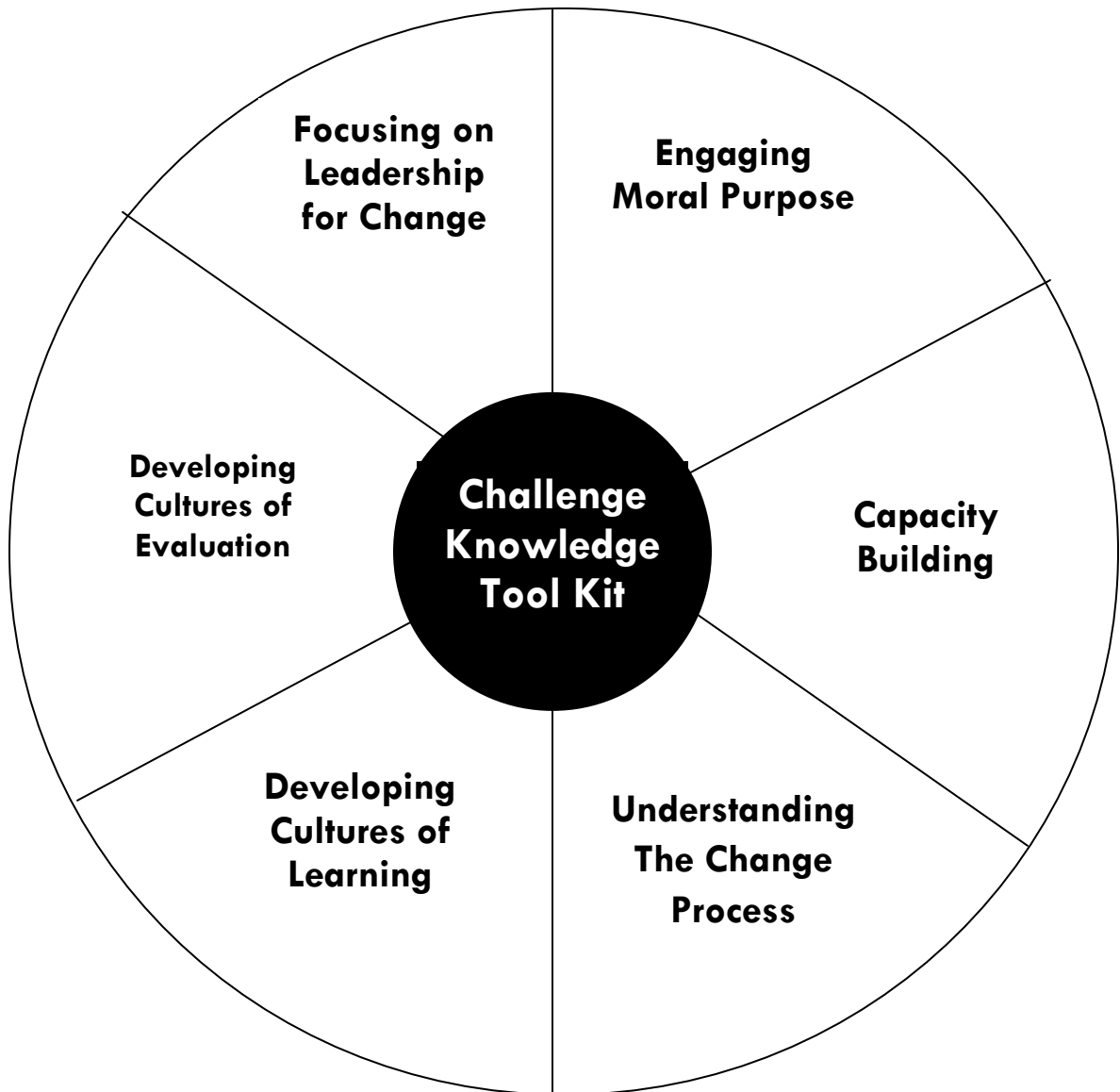
ASSESSMENT FOR LEARNING COMPONENTS

Assessment for Learning incorporates:

Accessing/gathering data on student learning

Disaggregating data from more detailed understanding

Developing action plans based on the previous two points to make improvements

Articulating and discussing performance with parents, external groups
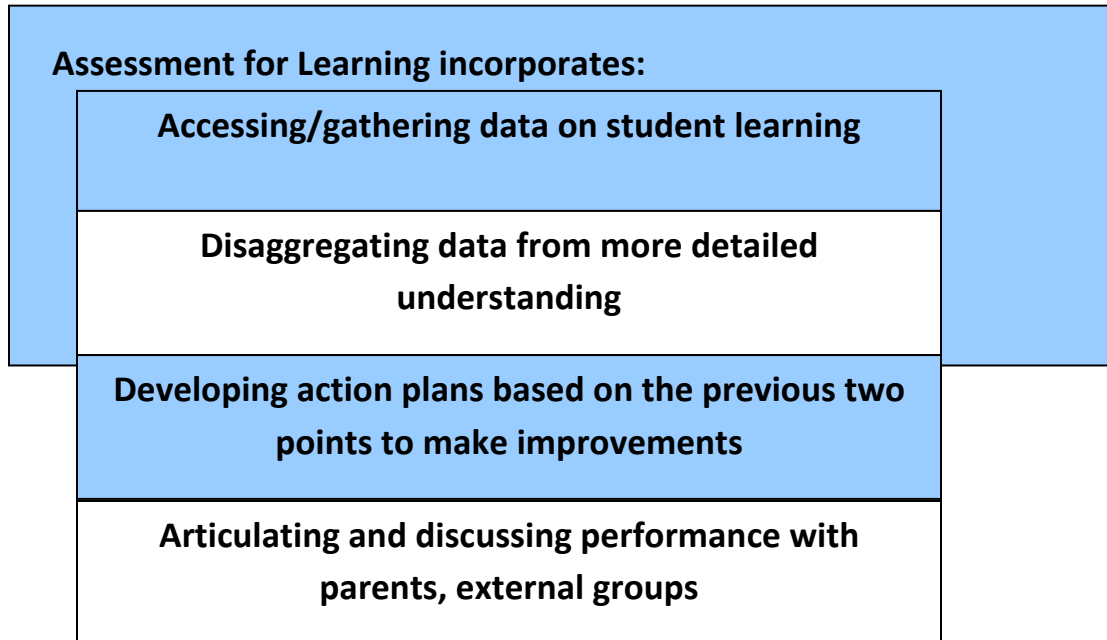
A COMPREHENSIVE FRAMEWORK FOR CLASSROOM AND

SCHOOL IMPROVEMENT

Student Engagement and Learning

Leadership and Mobilization

Teacher as Learner

Meaning   Time   Support   Efficacy

Training   Resources

Teacher as Inquirer

Collaboration

Technical Skills

Reflective Practices

Vision Improvement
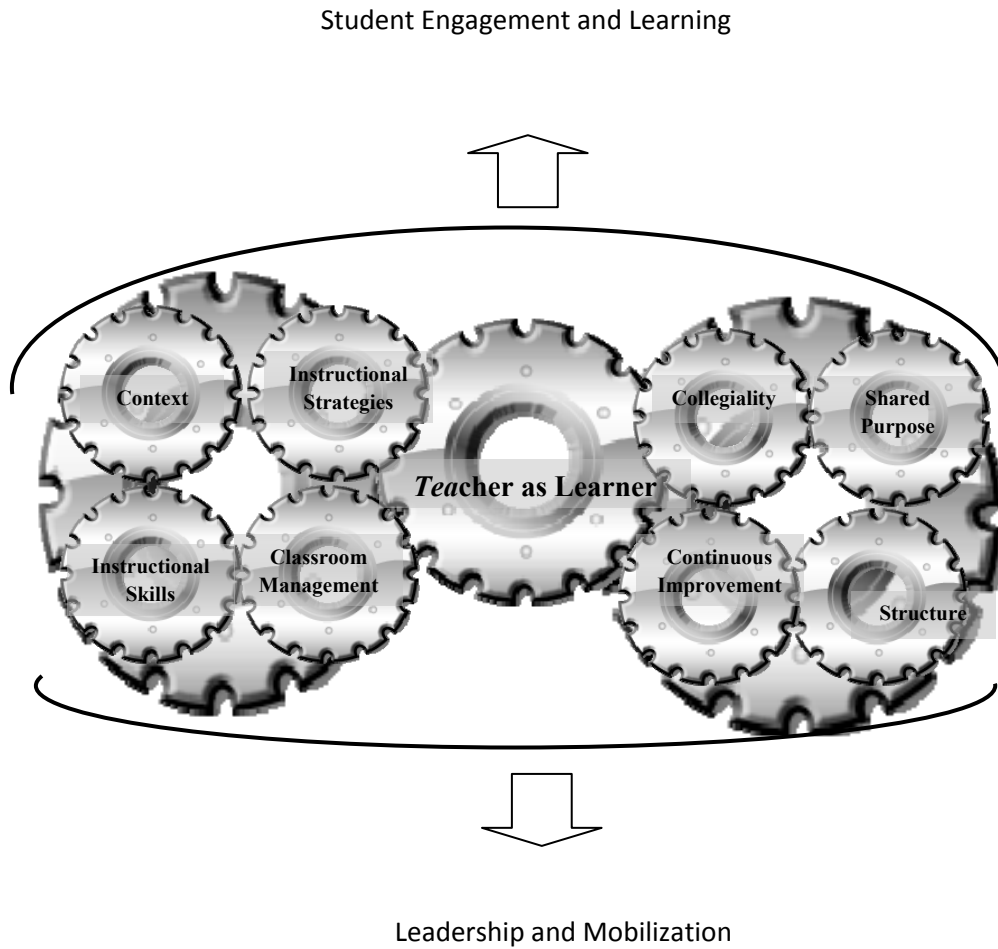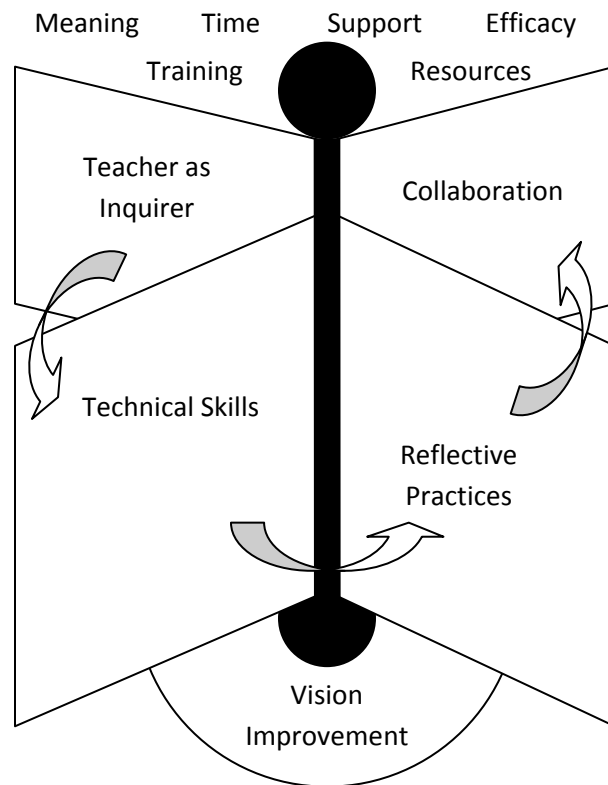
Life-Long Learning

From Fullan, Rolheiser-Bennett, and Bennett 1989

FRAMEWORK GUIDING THE EXTERNAL EVALUATION OF ENGLAND NLNS

Figure 1: The Framework Guiding the External Evaluation
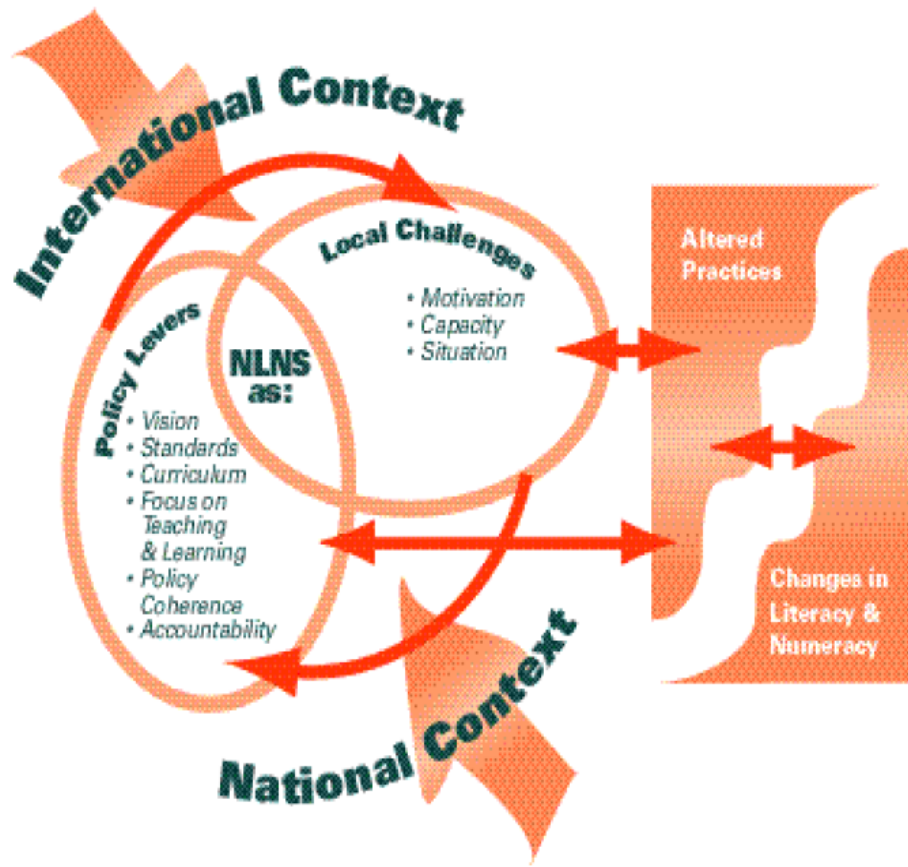
KNOWLEDGE-SHARING PARADIGM

Figure 1: Knowledge-Sharing Paradigm

APPENDIX K: FULLAN'S CONCEPTS & DEFINITIONS

EDUCATIONAL CHANGE
New materials
New behavior/practices
New beliefs/understanding

THE REAL REFORM AGENDA
"Raising the income bar while closing the gap between the richest and the poorest".
Fullan, M. (2006). *Turnaround leadership*. San Fancisco, CA: Jossey-Bass, p. 7.

THE THREE BASICS
1. Literacy
2. Numeracy
3. Emotional Intelligence

INDIVIDUAL-SOCIETAL
1. Economic
2. Health and well being
3. Democracy

SUSTAINABILITY

Fullan Definition

Sustainability is the capacity of the system to engage in the complexities of continuous improvement with values of deep human purpose.
Fullan, 2005

Hargreaves Definition

Sustainability does not simply mean whether something will last. It addresses how particular initiatives can be developed without compromising the development of others in the environment now and in the future.
Hargreaves & Fink, 2006

BREAKTHROUGH IDEAS

1. The big idea

2. International context

3. The three basics

4. The whole school

5. The whole district

6. The whole system

7. Leadership

TEN ELEMENTS OF SUCCESSFUL CHANGE

1. Define closing the gap as the overarching goal
2. Attend initially to the three basics
3. Be driven by tapping into people's dignity and sense of respect
4. Ensure that the best people are working on the problem
5. Recognize that all successful strategies are socially-based
6. Assume that lack of capacity is the initial problem and then work on it continually
7. Stay the course through continuity of good direction by leveraging leadership
8. Build internal accountability linked to external accountability
9. Establish conditions for the evolution of positive pressure
10. Use the previous nine strategies to build public confidence
Fullan, 2006

ESSENTIAL QUESTIONS AND BIG IDEAS

1. What does our current level of organizational competence tell us about promising areas for growth?
- Success is intentional.
-

2. How can we use change knowledge to cultivate and model innovativeness—the capacity to develop leadership behaviors in others?
- The process of acquiring new knowledge and capacity is embedded more in the actual doing of the task and less in formal training (Pfeffer & Sutton, 2002)
-

3. How can teachers use standardized test data to (1) provide students with relevant academic support, (2) monitor student progress, and (3) determine the extent to which students have the knowledge and skills expected of their age group?
- Individual student growth is the measure of choice when assessing learner performance.

4. What can we do to guarantee that not one student misses the message that we are all here to support and affirm their growth and development?
- Promoting a sense of purpose and community is everybody's job

5. What can we do to expand or refine our schoolwide academic support programs so as to reduce unnecessary barriers to learning success?
Making learning accessible throughout the school day is a major 'gap closer'.

6. How can we guarantee that teachers search out, experiment with, guarantee and share ideas and resources for improving classroom teaching?
- Professional rigor and passion for teaching is contagious

7. What can classroom teachers do, prior to formal instruction, to (1) communicate interest and enthusiasm for subject matter and (2) guarantee that students are prepared for learning success?
- Effective teachers uncover material before they cover it.

8. What can classroom teachers do to enliven the exchange of ideas and draw student attention to relevant, meaningful content?
- When subject matter is used to enliven thinking and create a larger context for knowing, experiencing, and understanding the world, more student get 'turned on' to school.

9. What can classroom teachers do to guide students to use information learned in the delivery phase of instruction to solve relevant problems, grapple with challenging questions, and demonstrate deeper levels of understanding?

- In mindful classrooms, the symbiotic relationship between acquiring knowledge and using knowledge to deepen understanding is affirmed daily.

10. What can classroom teachers do to affirm and validate student learning?

- Knowledge is generative; it makes room for new growth.

11. How can we orchestrate student and teacher development simultaneously?

- The professional development of teachers is a means rather than an end.

12. What makes life fun and work meaningful?

- It is the act of recreation. A learning place is where teachers, students, and parents re-create.

NEWISH CONCEPTS

Capacity building with a focus on results
Learning in context
Professional learning communities
Lateral capacity building
De-privatization and precision
System identity
Transparency

Fullan, 2007

REASONS WHY SCHOOLS NEED TO CONNECT WITH THE WIDER WORLD

1. School cannot shut their gates and leave the outside world on the doorstep.

2. More diversity demands greater flexibility.

3. The technology juggernaut is breaking down the walls of schooling.

4. Schools are one of our last hopes for rescuing and reinventing community.

5. Teachers can do with more help; and so can parents and communities.

6. Education is essential for democracy.

FIVE KEY EXTERNAL FORCES

1. Parents and communities

2. Government policy (using assessment as the example)

3. Technology

4. Businesses

5. The changing teaching profession (including teacher education and unions)

CHARACTERISTICS OF COLLABORATIVE CULTURES FOR COMPLEX TIMES

Fosters diversity while trust-building
Provokes anxiety and contains it
Engages in knowledge creation (tacit to explicit, explicit to explicit)
Combines connectedness with open-endedness
Fuses the spiritual, political and intellectual

CHARACTERISTICS OF INSIDE-OUT COLLABORATION FOR COMPLEX TIMES

Reciprocity — the two-way street
Balancing too much/too little structure
Deepening the intellectual
Deepening the political
Deepening the spiritual

IDEAS FOR MOVING AHEAD ON LARGE-SCALE REFORM

Use complexity theory for achieving new freedom

Transfer capabilities not products (invest in capacity building)

Invest in the long term

Combine (integrate) different theories, programs and people

SELF-IMPOSED BARRIERS

Perceived system limitations

If only dependency

Inability to take charge of one's own learning

Responsibility virus

SYSTEM-IMPOSED BARRIERS

Centralization/decentralization whipsaw
Role overload and role ambiguity
Limited investment in leadership development
Neglect of leadership succession
Absence of a system change strategy
Limited advanced definitions of the principal's role resulting in failure to realize the moral imperative of schooling.

STRATEGIC DIRECTIONS FOR TRANSFORMING LEADERSHIP IN SCHOOL SYSTEMS

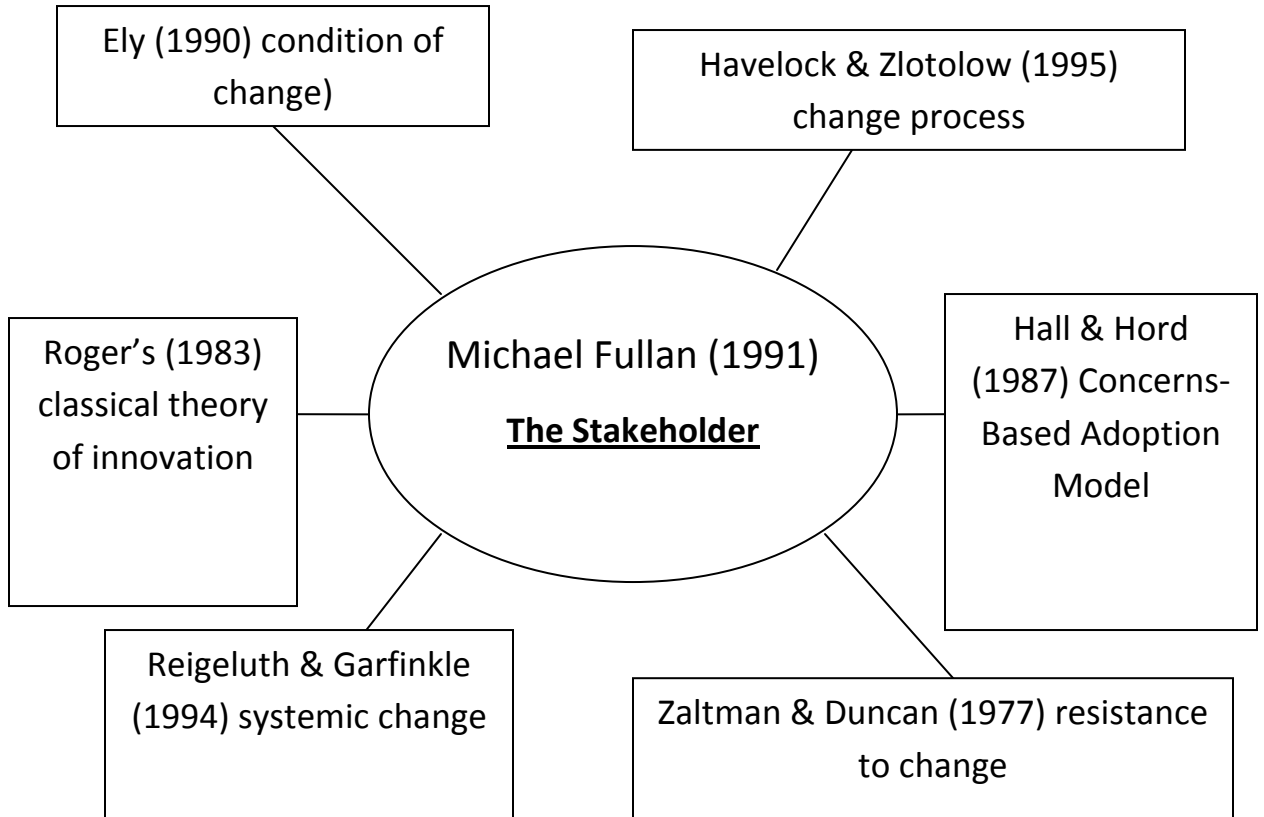| |
|---|
| Reconceptualize the role of school leadership. |
| Recognize and work with the continuum of development. |
| Get school size right. |
| Invest in leaders developing leaders |
| Improve the teaching profession. |
| Improve the capacity of the infrastructure. |

DEFINITIONS OF KEY WORDS IN FULLAN'S LITERATURE

Change capacity
The collective ability to make change happen based on new knowledge, new resources and new commitments or motivation.

Change knowledge
Knowledge about how change occurs and the key drivers that cause change.

Change processes
Understanding the dynamics of change as it unfolds in a situation, including insights into how to manage change.

Coherence-making
Change processes that help connect elements of reform so that groups gain shared clarity and shared commitment.

Culture
attitudes.
The way we do things around here; behaviors and

Cultures of evaluation
Behaviors and attitudes that value assessing what is done and acting on such assessments.

Cultures of learning
Behaviors and attitudes that value seeking new ideas, learning from existing practices and engaging in continuous improvement and doing so collectively or collaboratively.

Implementation dip
The inevitable bumpiness and difficulties encountered as people learn new behaviors and beliefs.

Innovation vs. innovativeness Innovation refers to the content of a particular new idea, program,
policy or thing; innovativeness is the process of engaging in making change happen in
practice.

Leadership
developing
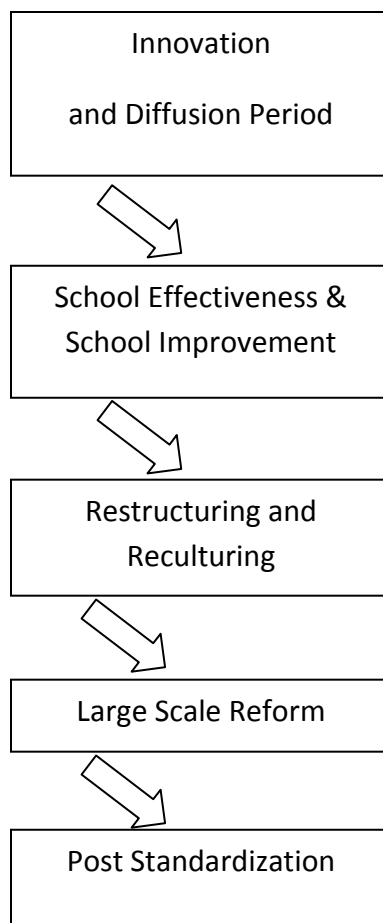Leaders focus on individuals. Leadership involves

	Leadership throughout the system. It involves the capacity to lead change, and to develop others so that there is a critical mass of people working together to establish new ways.
Moral purpose	The human desirability of a goal; in education moral purpose often involves raising the bar and closing the gap of student learning in the society as a whole.
Org. capacity-building new capabilities	Improvements in the infrastructure that represent in government and non-government agencies to provide support, monitoring and other capacity-building resources for the system.
Pressure and support high support	The combination of high challenge (pressure) and (capacity-building) required for whole systems to reform.
Strategizing vs strategy	Strategy is innovation or content; strategizing is innovativeness or process. Strategizing involves developing a strategy and then continually refining it through feedback between thought and action.
Technical vs adaptive challenge	Technical problems are ones in which current knowledge is sufficient to address the problem (still difficult); adaptive challenges are problems that are more complex and go beyond what we know. Adaptive work is more difficult, more anxiety-producing and takes more time.
Tri-level development	Movement forward involving all three levels of the system and their interrelationships: school and community; district/region; and state.

CHANGE PROCESS MODELS

Ely (1990) condition of change)

Havelock & Zlotolow (1995) change process

Roger's (1983) classical theory of innovation

Michael Fullan (1991)

The Stakeholder

Hall & Hord (1987) Concerns-Based Adoption Model

Reigeluth & Garfinkle (1994) systemic change

Zaltman & Duncan (1977) resistance to change

HISTORICAL CONTEXTS OF EDUCATION REFORM

Innovation and Diffusion Period

↓

School Effectiveness & School Improvement

↓

Restructuring and Reculturing

↓

Large Scale Reform

↓

Post Standardization

MENTORS & THINKERS[91]

Academic Mentors   Major Sociology Thinker

Talcott Parsons

Jon J. Loubser

Emile Durkheim

MICHAEL FULLAN

MENTORS

Seymour Sarason

Matthew B Miles

John Goodland

Per Dalin

Andrew Hargreaves

Karen Seashore Louis

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[91]Andrew Hargreaves & Seymour Sarason are both considered both a mentor and an influential thinker for purposes of this dissertation.

APPENDIX M: KEY DIAGRAMS, CHARTS & TABLES USED BY

FULLAN

INFLUENCES ON SCHOOL CAPACITY & STUDENT ACHIEVEMENT

Student Achievement

Instructional Quality Curriculum, Instruction, Assessment

School Capacity

Policies and Programs on Professional Development

KNOWLEDGE POOR-RICH, PRESCRIPTION-LUDGMENT MATRIX (Barber, 2002)

	Knowledge Poor	**Knowledge Rich**
Professional Judgment	1970s Uninformed Professional Judgment	2000s Informed Professional Judgment
External Prescription	1980s Uninformed Prescription	1990s Informed Prescription

APPENDIX N: KEY DIAGRAMS, CHARTS & CONCEPTS RELATED TO MICHAEL FULLAN'S LATEST WORK: THE SIX SECRETS OF CHANGE

The Six Secrets of Change
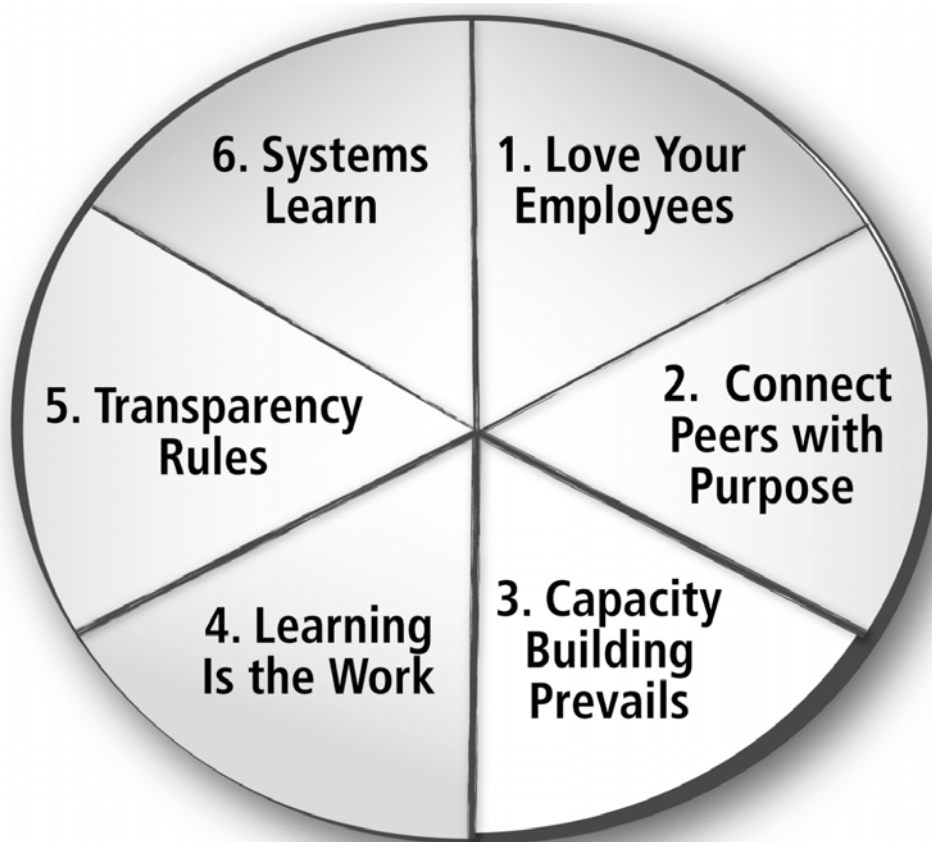
Learning to Lead Change

The Pathways Problem

Change Factor

vs.

Change Process

What is change?
- New materials
- New behaviors/practices
- New beliefs/understanding

The Implementation Dip
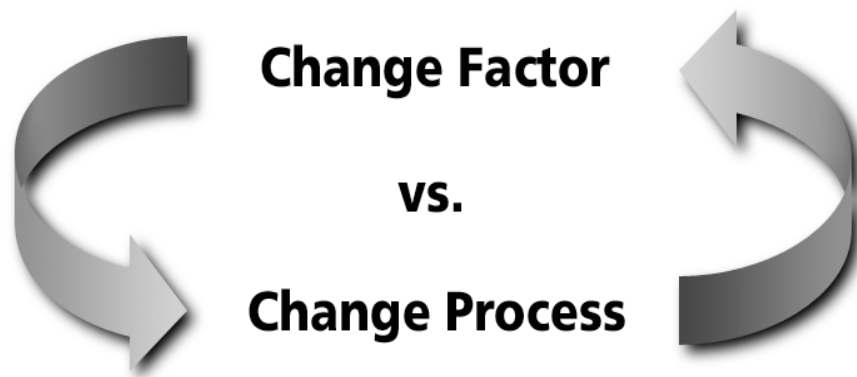
Change Insights

- The implementation dip is normal
- Behaviors change before beliefs
- The size and prettiness of the planning document is inversely related to the quantity of action and student learning (Reeves, 2002)
- Shared vision or ownership is more of an outcome of a quality process than it is a precondition
- Feelings are more influential than thoughts (Kotter, 2008)

Implementation
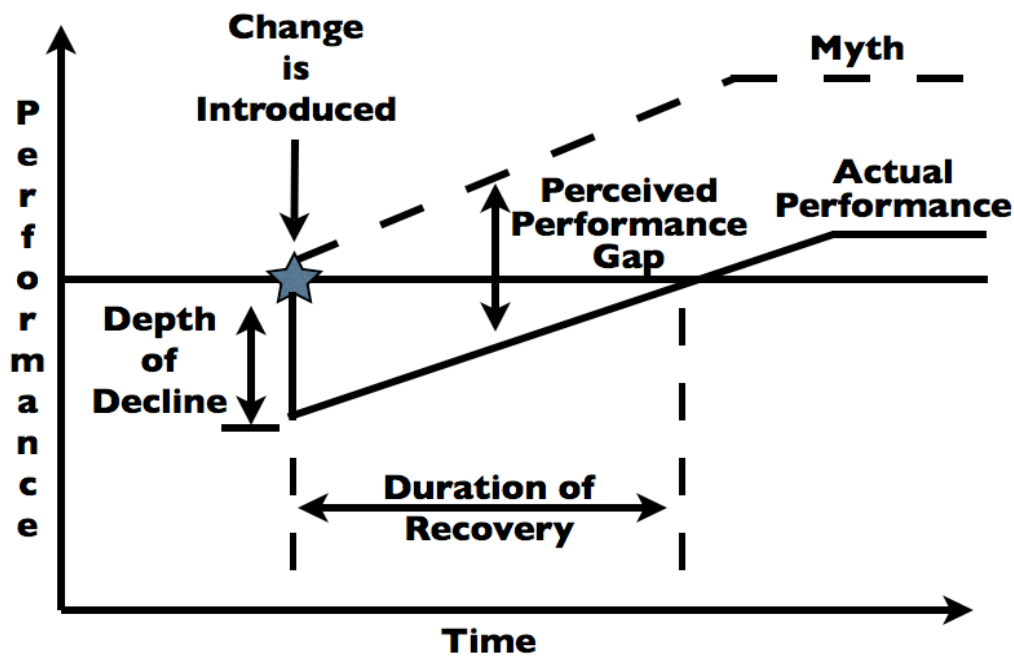
Change Savvy Change savvy leadership involves:

- Careful entry into the new setting
- Listening to and learning from those who have been there longer
- Engage in fact finding and joint problem solving
- Carefully (rather than rashly) diagnosing the situation
- Forthrightly addressing people's concerns

- Being enthusiastic, genuine and sincere about the change circumstances
- Obtaining buy-in for what needs fixing
- Developing a credible plan for making that fix

Herold & Fedor, 2008

What is Collaboration? A systematic process in which we work together, interdependently, to analyze and impact professional practice in order to improve our individual and collective results.

Dufour, Dufour, & Eaker, 2002

Managing Change
The performance of the top school systems in the world suggest three things that matter most:
1. Getting the right people to become teachers
2. Developing them into effective instructors
3. Ensuring that the system is able to deliver the best possible instruction for every child (intervene early to address gaps)

Barber & Mourshed, 2007

Managing Change
In viewing the video clip on managing change, use the P-M-I to identify:
- What is a Plus
- What is a Minus
- What is Interesting

P-M-I		
P	M	I

Secret One: Love your Employees
Explore the importance of building the school by focusing on both the teachers and staff, and students and the community. The key is enabling staff to learn continuously. Evidence will be provided from successful business companies as well as from education.

Theory X Assumptions
- The average human being has an inherent dislike of work and will avoid it if he or she can.

- Because of their dislike for work, most people must be controlled and threatened before they will work hard enough.
- The average human prefers to be directed, dislikes responsibility, is unambiguous, and desires security above everything else.

<div align="right">McGregor, 1960</div>

Theory Y Assumptions
- If a job is satisfying, then the result will be commitment to the organization.
- The average person learns under proper conditions not only to accept but to seek responsibility.
- Imagination, creativity, and ingenuity can be used to solve work problems by a large number of employees.

<div align="right">McGregor, 1960</div>

Dimensions of Relational Coordination		
Relationships	American	Southwest
Shared Goals	"Ninety percent of the ramp employees don't care what happens, even if the walls fall down, as long as they get their check."	"I've never seen so many people work so hard to do one thing. You see people checking their watches to get the on time departure … then it's over and you're back on time."
Shared Knowledge	Participants revealed little awareness of the overall process. They typically explained their own set of tasks without reference to the overall process of flight departures.	Participants exhibited relatively clear mental models of the overall process — an understanding of the links between their own jobs and the jobs of other functions. Rather than just knowing what to do, they knew why, based on shared knowledge of how the overall process worked.
Mutual Respect	"There are employees working here who think they're better than other employees. Gate and	"No one takes the job of another person for granted. The skycap is just as critical as the

	ticket agents think they're better than the ramp. The ramp think they're better than cabin cleaners — think it's a sissy, woman's job. Then the cabin cleaners look down on the building cleaners. The mechanics think the ramps are a bunch of luggage handlers.	pilot. You can always count on the next guy standing there. No one department is any more important than another."

Communications		
Frequent and timely communication	"Here you don't communicate. And sometimes you end up not knowing things … Everyone says we need effective communication. But it's a low priority in action … The hardest thing at the gates when flights are delayed is to get information."	"There is constant communication between customer service and the ramp. When planes have to be switched and bags must be moved, customer service will advise the ramp directly or through operations." If there's an aircraft swap "operations keeps everyone informed. … It happens smoothly."
Problem-solving communication	"If you ask anyone here, what's the last thing you think of when there's a problem, I bet your bottom dollar it's the customer. And these are guys who work hard every day. But they're thinking, how do I keep my ass out of the sling?"	"We figure out the cause of the delay. We do not necessarily chastise, though sometimes that comes into play. It is a matter of working together. Figuring out what we can learn. Not finger pointing."

Gittell, 2003

Motivational Work
- Meaningful, accomplishable work
- Enabling development

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- Sense of camaraderie
- Being well led

Characteristics of Firms of Endearment (FoEs)
What we call a humanistic company is run in such a way that its stakeholders —customers, employees, suppliers, business partners, society, and many investors — develop an emotional connection with it, an affectionate regard not unlike the way many people feel about their favourite sports teams. Humanistic companies — or firms of endearment (FoEs) — seek to maximize their value to society as a whole, not just to their shareholders. They are the ultimate value creators: They create emotional value, experiential value, social value, and of course, financial value. People who interact with such companies feel safe, secure, and pleased in their dealings. They enjoy working with or for the company, buying from it, investing in it, and having it as a neighbour.

Sisodia, Wolfe, & Sheth, 2007

FoEs Performance
- Over a ten-year horizon, FoEs outperformed the Good to Great companies: 1,026 percent return versus 331 percent (a 3-to-1 ratio).
- Over five years, FoEs returned 128 percent, compared to 77 percent by the Good to Great companies (a 1.7-to-1 ratio).

Sisodia, Wolfe, & Sheth, 2007

Reflection on Content: (Three-Person-Interview)
In groups of three discuss the following questions:
1. Who are your stakeholders?
2. What does your organization believe in and stand for?
3. What conditions do you need to create a Theory Y (FoE) environment?

Secret Two: Connect Peers with Purpose
Purposeful peer interaction within the school is crucial. Student learning and achievement increase substantially when teachers work in learning communities supported by school leaders who focus on improvement.

Jersey Video
Why is this a positive example of teaching connecting with peers?
Knowledge Sharing
Literacy Learning Fair

Learning Fair Outcomes
- Forces schools to explain themselves
- Time for celebrating the work of the year

- Learn new ideas from other schools
- Friendly competition to outdo each other
- Fosters district identity

Results of Connecting
- Knowledge flows as people pursue and continuously learn what works best
- Identity with an entity larger than oneself expands the self into powerful consequences.

Fullan, 2008a

We-We Commitment
What are your two best strategies for connecting peers?

Secret Three: Capacity Building Prevails
The most effective strategies involve helping teachers and principals develop the instructional and management of change skills necessary for school improvement. The role of assessment for learning is essential in order to link data on learning to instructional practices that achieve student results.

Capacity Building
Capacity building concerns competencies, resources, and motivation. Individuals and groups are high on capacity if they possess and continue to develop these three components in concert.

Fullan, 2008a

Judgmentalism
Judgmentalism is not just perceiving something as ineffective, but doing so in a pejorative and negative way.

Fullan, 2008a

Non-Judgmentalism
Focused on improvement in the face of ineffective performance rather than labeling or categorizing weaknesses.

Fullan, 2008a

Fear Prevents Acting on Knowledge
When people fear for their jobs or their reputation it is unlikely that they will take risks. Fear causes a focus on the short-term to neglect of the mid or longer term. Fear creates a focus on the individual rather than the group. Teamwork suffers.

Lincoln on Temperance
Assume to dictate to his judgment, or command his action, or mark him to be one to be shunned and despised, and he will retreat within himself, close all avenues to his head and his heart; and though your cause be naked truth itself, transformed

to the heaviest lance harder than steel can be made, and though you throw it with more than Herculean force and precision, you shall no more be able to pierce him than to penetrate the hard shell of a tortoise with a rye straw.

<div align="right">Quoted in Miller, 2002, pp. 148-149</div>

Lincoln on Slavery

We can succeed only in concert. It is not 'can any of us imagine better', but 'can we all do better.'

<div align="right">Quoted in Miller, 2002, pp. 224; italics in original</div>

Judgmentalism

Is it possible to perceive something as ineffective and not be judgmental about it? Letter off A, B

- Pick any of the four quadrants that represents a situation that you have Experienced
- Make a few notations within the quadrant
- Do a two-step interview with your partner A, B

Feeling	Feedback	
	Indirect	Direct
Belittled		
Not Belittled		

As a leader…

- Practice non-judgmentalism when you are giving feedback
- Practice non-defensiveness when you are receiving feedback

Capacity Building

People who thrive here have a certain humility. They know they can get better; they want to learn from the best. We look for people who light up when they are around other talented people.

<div align="right">Taylor & LaBarre, 2002</div>

Secret Four: Learning Is the Work

Professional development (PD) in workshops and courses is only an input to continuous learning and precision in teaching. Successful growth itself is accomplished when the culture of the school supports day-to-day learning of teachers engaged in improving what they do in the classroom and school.

Culture of Learning

If we were to identify the single greatest difference between Toyota and other organizations (including service, healthcare, and manufacturing), it would be the

depth of understanding among Toyota employees regarding their work.

<div align="right">Liker & Meier, 2007</div>

Toyota's Approach
The essence of Toyota's approach to improving performance consists of three components:
1. Identify critical knowledge
2. Transfer knowledge using job instruction
3. Verify learning and success

<div align="right">Liker & Meier, 2007</div>

Breakthrough

<div align="right">Fullan, Hill, & Crévola, 2006</div>

The Container Store
The Container Store provides 235 hours of training to first-year employees and 160 hours every year thereafter, all with a view to creating a culture where people learn from experience.

<div align="right">Sisodia, Wolfe, & Sheth, 2007</div>

Non-Judgmentalism …
Again
The objective is not to identify whom to blame for a problem, it is to find out where the system failed.

<div align="right">Liker & Meier, 2007</div>

Secret Five: Transparency Rules
Ongoing data and access to seeing effective practices is necessary for success. It takes up the dilemmas of 'de-privatizing practice' in which it becomes normal and desirable for teachers to observe and be observed in teaching facilitated by coaches and mentors.

Getting Started with Transparency
Data walls — elementary teachers
Data walls — high school teachers

<div align="right">Liker & Meier, 2007</div>

Medicine
To fix medicine we need to do two things: measure ourselves, and be open about what we are doing.

<div align="right">Gawande, 2007</div>

Classroom Improvement
Transparency + non-judgmentalism + good help = classroom improvement

Fullan, 2008a

Statistical Neighbors
As part of the overall strategy, Ontario created a new database, which is called "Statistical Neighbors." All four thousand schools are in the system. They are organized into four bands — students and schools from the most disadvantaged communities, two bands in the middle, and a fourth comprising students in the least disadvantaged communities. Schools can be examined using other categories as well — size of school, percentage of ESL students, geographical setting (rural or urban), and so on.

We are now in a position to use the data, and here is where the nuance of Secret Five comes into play. Simply publishing the results can possibly do some good, but more likely than not would have negative side effects. Instead we operate under a set of ground rules:

1. We do not condone league tables — displaying the results of every school from lowest to highest scores without regard to context. Instead we do the following:

a. Help schools compare themselves with themselves — that is, look at what progress they are making compared to previous years;

b. Help schools compare themselves with their statistical neighbors, comparing apples with apples;

c. Help schools examine their results relative to an external or absolute standard, such as how other schools in the province are faring and how close they are to achieving 100 percent success in literacy and numeracy.

2. We work with the seventy-two school districts and their four thousand schools to set annual "aspirational targets" based on their current starting point.

3. We focus on capacity building, helping districts identify and use effective instructional practices.

4. Although we take each year's results seriously, we are cautious about drawing conclusions about any particular school based on just one year's results. We refer to examine three-year trends to determine if schools or districts are "stuck" or "moving" (improving or declining).

5. For schools and districts that are continuing to under-perform, we intervene with a program called Ontario Focused Intervention Partnership (OFIP), which provides targeted help designed to improve performance.

There are currently about 850 of the 4,000 schools in this program. We are careful not to stigmatize schools in OFIP (in keeping with Secret Three), because doing so gets people sidetracked into issues of blame. Overall, we think that this approach to data-informed development is effective. There is quite a lot of

pressure built into the process, but that pressure is based on constructive transparency. When data are precise, presented in a non-judgmental way, considered by peers, and used for improvement as well as for external accountability, they serve to balance pressure and support. This approach seems to work. After five years of flatlined results before beginning the program (1999 – 2003), the province's literacy and numeracy scores have climbed by some ten percentage points, with OFIP schools improving more than the average.
In England, schools and LAs can also track their performance through a data system called RAISE in which they can trace their performance over time.

<div align="right">Fullan, 2008a</div>

Secret Six: Systems Learn
Continuous learning depends on developing many leaders in the school in order to enhance continuity. It also depends on schools being confident in the face of complexity, and open to new ideas.

Systems Learn
The fact that Toyota can succeed over decades … and that the company shows no "leadership effects" — or changes from succession — speaks to building a robust set of interrelated management practices and philosophies that provide advantage above and beyond the ideas or inspirations of single individuals.

<div align="right">Pfeffer & Sutton, 2006</div>

Certainty
Some people I've encountered seem more certain about everything than I am about anything.

<div align="right">Rubin, 2003</div>

Wisdom
Wisdom is using your knowledge while doubting what you know.

<div align="right">Pfeffer & Sutton, 2006</div>

Leaders … … Have to be more confident than the situation warrants. They have to develop leadership in others. Be specific about the few things that matter and keep repeating them.

Pfeffer & Sutton, 2006
Systems Learning Confidence but not certitude in the face of complexity. Get comfortable with being
uncomfortable.

<div align="right">Fullan, 2008a</div>

Leadership
Shackleton Video
What evidence did you see of Shackleton's leadership style?

Scott	Shackleton
▪ Ambitious	▪ Single-minded
▪ Naïve technically	▪ Excellent in crisis
▪ Hierarchical	▪ Technically sensible
▪ Arrogant	▪ Gregarious
▪ Wary of colleagues more able than himself	▪ Excellent public speaker
▪ Indifferent selector	▪ Broadly objective
▪ Poor trainer	▪ Good conceptual planner
▪ Bad safety record	▪ Effective selector and trainer
▪ Gifted writer	▪ Good safety record
	▪ Bored by administration
	▪ Politically astute

Morrel & Capparell, 2001

On Leadership …
Scott was dour, bullying and controlling; Shackleton was warm, humorous and egalitarian … Scott tried to orchestrate every movement of his men; Shackleton gave his men responsibility and some measure of independence. Scott was secretive and untrusting; Shackleton talked openly and frankly with the men about all aspects of the work. Scott put his team at risk to achieve his goals; Shackleton valued his men's lives above all else.

Scott's men died. All of Shackleton's men survived the wreck of their ship, endurance in the crushing Antarctic ice, stranded twelve thousand miles from civilization with no means of communication. Isolated for almost two years on an Antarctic ice flow, Shackleton and a few of his men endured an eight-hundred-mile trip across the frigid south Atlantic in little more than a rowboat to get help for his men. All twenty-seven men in the crew survived in good health.

Morrel & Capparell, 2001

Shackleton's Leadership Traits:

- Cultivate a sense of compassion and responsibility for others.
- Once you commit, stick through the tough learning period.
- Do your part to help create an upbeat environment at work — important for productivity.
- Broaden your cultural and social horizons, learning to see things from different perspectives.
- In a rapidly changing world, be willing to venture in new directions to seize new opportunities and learn new skills.
- Find a way to turn setbacks and failures to your own advantage.
- Be bold in vision and careful in planning.
- Learn from past mistakes.
- Never insist on reaching a goal at any cost; it must be achieved without undue hardship for your staff.

<div align="right">Morrel & Capparell, 2001</div>

What's Worth Fighting for in the Principalship: Guidelines for Principals
1. De-privatize teaching
2. Model instructional leadership
3. Build capacity first
4. Grow other leaders
5. Divert the distractors
6. Be a system leader

<div align="right">Fullan, 2008</div>

What's Worth Fighting for in the Principalship: Guidelines for Systems
1. Invest in the instructional leadership of principals
2. Combine direction and flexibility
3. Mobilize the power of data
4. Use peers to change district culture
5. Address the managerial requirements
6. Stay the course

<div align="right">Fullan, 2008</div>

Leadership Therapy

<div align="right">A. Rowley, 2007</div>

The Leadership Circumplex
The circumplex is based upon two related dimensions of leadership behavior — conviction and connection.

Conviction measures the following behaviors:
- The ability to provide a compelling vision;
- The capacity to manage or lead change;
- Reality sense — the ability to grasp what is happening in the industry and a commitment to understanding and servicing the needs of the customer;
- The capacity to display passion, conviction, belief and authenticity; and
- A commitment to continuous learning.

Connection measures the following:
- Self-awareness — an understanding of how your behavior affects others and how to change it according to the person/situation;
- Effective communication — you demonstrate a sense of power and competence through communication;
- Developing people — you put developing people as a priority and ensure that people have personal development plans; and
- The capacity to revitalize the business values

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RELATED TO MICHAEL FULLAN'S LATEST WORK: THE SIX

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