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**PLANNED CHANGE IN HIGHER EDUCATION:
A CASE STUDY OF
THE NASSP ALLIANCE FOR DEVELOPING SCHOOL LEADERS**

**A Dissertation
Presented to
the Faculty of the Department of Educational Leadership
and Policy Analysis
East Tennessee State University**

**In Partial Fulfillment
of the Requirements for the Degree
Doctor of Education**

**by
Penny Little Smith**

May 1994

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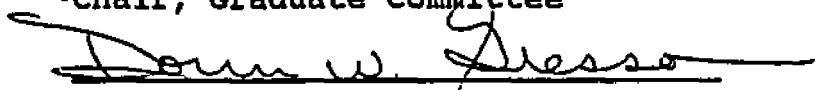
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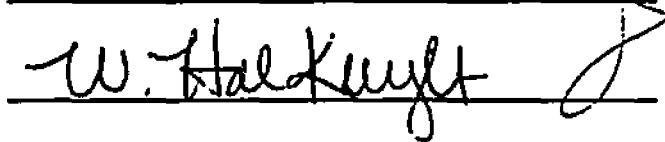
twenty-eighth day of March, 1994.

The committee read and examined her dissertation, supervised her defense of it in an oral examination, and decided to recommend that her study be submitted to the Graduate Council and the Associate Vice-President for Research and Dean, School of Graduate Studies, in partial fulfillment of the requirements for the degree of Doctor of Education in Educational Leadership and Policy Analysis.

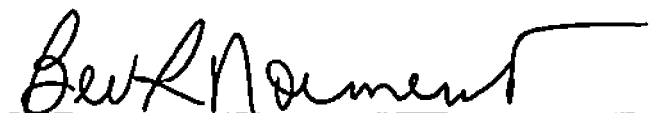

Chair, Graduate Committee







Signed on behalf of
the Graduate Council


Associate Vice-president for
Research and Dean, School of
Graduate Studies

ABSTRACT

PLANNED CHANGE IN HIGHER EDUCATION: A CASE STUDY OF THE NATIONAL ALLIANCE FOR DEVELOPING SCHOOL LEADERS

by

Penny Little Smith

The problem was that much effort was being put into an alliance for preparing school leaders with little evidence concerning how effective such groups were in promoting positive change. The purpose of this study was to provide a historical background for the National Alliance for Developing School Leaders that included the rationale for the endeavor, the identification of key actors and their roles, and perceived changes resulting from Alliance affiliation. The information gleaned from the study was intended to answer the formulated research questions.

Data were collected using semi-structured interviews and through examination of relevant documents. Data were coded and clustered to assist with the organization of a plethora of information. The information was then used to tell the story of the National Alliance for Developing School Leaders as told by those directly involved in the conception and development of the Alliance.

Evidence indicated that change had occurred as a result of the National Alliance for Developing School Leaders, however, the degree of change experienced varied across university sites. Conclusions drawn indicated that the Alliance provided faculty and students exposure to new materials and teaching techniques, opportunities for increased presentations and publications, higher visibility, professional development opportunities that included area school administrators, and increased professional dialogue regarding changes needed in administrator preparation programs. Evidence existed that more on-site visits and opportunities to dialogue about the successes of each program as well as the difficulties encountered by the universities attempting to change their preparation programs were desired by Alliance participants.

Participants reflected on their experiences resulting from involvement with the National Alliance for Developing School Leaders and then shared insights regarding essentials necessary for successful multiorganizational collaborative efforts.

INSTITUTIONAL REVIEW BOARD APPROVAL

This is to certify that the following study has been filed and approved by the Institutional Review Board of East Tennessee State University.

Title of Grant or Project Planned Change in Higher Education: A Case Study of the NASSP National Alliance for Developing School Leaders

Principal Investigator Penny Little Smith

Department Educational Leadership and Policy Analysis

Date Submitted June 8, 1992

Institutional Review Board, Chairman Anthony J. DeLuca

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DEDICATION

This effort is dedicated to my husband, Stephen Miller Smith, for his unwaivering faith in my abilities, pride in my accomplishments, and unconditional love. This dedication extends to my parents, the late Cecil E. Little, Jr. and Pauline Little Hoilman, for their continued emphasis on the value of education and constant support of my educational endeavors.

ACKNOWLEDGMENTS

My gratitude to the members of my committee extends far beyond the dissertation endeavor. Each member has unselfishly and unfailingly found time to assist whenever approached throughout my doctoral program. From them I have learned and together we have learned as partners in the learning process.

I am especially indebted to my chair, Charles Burkett, who has taught leadership on a daily basis to many through action as well as word - a true leader of leaders. His continued belief in my abilities and constant support have provided much inspiration throughout my program of study.

I am also indebted to Cecil Blankenship, Donn Gresso, and Hal Knight for their continued availability and encouragement. They have modeled the lessons of leadership, scholarship, diligence, and personal integrity.

My appreciation extends to the participants of my study who have tremendously busy schedules, but willingly and generously shared their time and insights. Without them this study would not have been possible.

In addition, I would like to thank Allen Dyer for understanding the stresses and time required for this study as well as the tidbits of wisdom regarding the dissertation process.

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Chapter 1

Introduction

As a result of the National Governor's Conference, President Bush announced a plan entitled America 2000 that is based on six goals established for American students that are to be accomplished by the year 2000. Results from Phi Delta Kappa's 23rd Annual Gallup Poll (1991) indicated that those goals have strong public support (Elan, Rose, & Gallup, 1991). Calls for educational reform appear in newspapers daily. Television specials dealing with needed change in education have received primetime placement. While the national spotlight has been focused on education, educators have struggled to determine the best methods for accomplishing national goals while struggling with shrinking budgets.

This increased attention has resulted in much discussion about educational change. Fullan (1982) suggested that in theory, the purpose of educational change was to help schools accomplish their goals more effectively by replacing some programs or practices with better ones. The author noted that groups and individuals attempt change for varied reasons including personal prestige, bureaucratic self-interest, political responsiveness, and concern for solving an unmet need. While reflecting on experience, Petronius Arbiter noted in 66AD that,

We trained hard - but it seemed that every time we were beginning to form up into teams, we would be reorganized. I was to learn that later in life we tend to meet any new situation by reorganizing, and a wonderful method it can be for creating the illusion of progress while producing confusion, inefficiency, and demoralization (Cohen, Fink, Gadon, & Willits, 1980, p.320).

Leaders in education have had to contend with demands for change, while endeavoring to make substantive moves rather than simply creating an illusion. Educators not only have been challenged to bring about educational reform but also have been expected to continue meeting the daily needs of students while endeavoring to plan, implement, and evaluate educational innovations.

Research on effective schools has pinpointed the school principal as an important catalyst for change. Fullan (1982) noted that while the principal is being buffeted by change, the principal as school leader is expected to lead those very changes. The author observed that many feel the greatest pressure felt by a principal is to bring about some major transformation of the school. The principal has been viewed by many as the gatekeeper of change.

While the role of the principal has shifted from building manager to change agent, few changes have occurred within administrator preparation programs to assist school

leaders in acquiring skills and competencies needed to lead an evolving organization. Callahan (cited by Gibboney, 1987) went so far as to characterize the education of administrators as "An American Tragedy" (p. 6). He noted that managerial skills which have been the focus of many preparation programs cannot deal with issues of educational substance. Achilles (1986) indicated that the complete administrator knows what to do, how to do it, and most importantly why an action is appropriate. The author noted that a complete preparation program should address all those elements. Those faced with the responsibility of preparing future school leaders have been admonished to change long-standing programs of fragmented coursework to a program of study that will prepare leaders to competently assume leadership roles upon graduation.

Statement of the Problem

Much effort has been put into an alliance for preparing school leaders with little evidence concerning how effective such groups were in promoting positive change.

Purpose of the Study

The purpose of the study was to provide a historical background for the National Alliance for Developing School Leaders that included the rationale for the endeavor, the identification of key actors and their roles, and perceived

changes resulting from Alliance affiliation. The study attempted to shed light and provide insight into why the Danforth Foundation, the National Association of Secondary School Principals, and four universities reportedly elected to commit \$1.6 million to the Alliance project during a period characterized by conservative funding of efforts to change principal preparation programs. The study was used to explore, describe, and analyze the processes and events that resulted in the development of the National Alliance for Development of School Leaders. An effort was made to mirror the perspectives of key actors in this endeavor to allow readers to learn from the insights and experiences of those actually involved in the process. Additionally, the finalized research questions were answered to assist in organizing the information.

Significance of the Study

Representatives of several universities expressed an interest in becoming involved in the NASSP Alliance Project. The four original members of the Alliance (Brigham Young University, East Tennessee State University, Florida State University, and Virginia Polytechnic Institute and State University) have begun to become leaders in second tier alliances. An ultimate goal for the National Alliance for Developing School Leaders was to impact 100 of the 505 programs that currently prepare future school leaders

(Hersey, 1991). The study determined why universities chose to seek affiliation, how the original four universities were selected, and why the Danforth Foundation and the National Association of Secondary School Principals elected to create the Alliance for Developing School Leaders. An understanding of such phenomena can contribute information about third-party intervention in bringing about change in principal preparation programs.

At the 1991 meeting of the universities involved in the Alliance for Developing School Leaders in Reston, Virginia, the need for a qualitative study arose. While discussing the need for such a study, a professor made the following remarks:

It seems to me that in just thinking about our own institution through the years and the various changes that we have put in place - false starts and the like, we have a history and we have a story to tell, so to speak... It seems kind of strange that in our kind of business where research and history are an important part of being able to communicate where we've been and where we're going that we don't do something more systematic about capturing things. My feeling was that in addition to the deliberate attempt to evaluate or assess various things, I don't see why it wouldn't be a

very helpful thing to do for the institution itself and in terms of sharing to tell the story. There's an awful lot to the stories that I think are of great importance when we start talking about these different programs in different environments. Every school is different and every environment is different. It's just a very interesting story when you hear what people are dealing with and how something that sounded like just the right thing to do turns out to be something that doesn't work because of political issues or conditions within divisions or districts or whatever - that take you off in a different direction or stop you all together and make you back up and begin again.

We were talking about this weeks ago. We were saying, 'Well, how did we get where we are?' Wouldn't it be nice if we had some documentation running through time sort of just keeping track of what's happening within the departments? I think it would give us a way of speaking to the university, to the college, and to our colleagues in other places.

Wallenfeldt (1983) indicated that understanding of problems and potentials related to more than definitions of knowledge. According to the author this understanding influenced the process through which knowledge is formed and

perceived. While acknowledging that the objective scientist might have difficulty accepting this belief, Wallenfeldt indicated that "knowledge in its ultimate and most significant form is based on individual experience, beliefs, and values" (p. 20).

By focusing on individual experiences, beliefs, and values, this study provided documentation for the history of the Alliance project from inception through adoption. Information was provided about the initial stages of development. This information can be used as a backdrop for future in-depth qualitative studies regarding future change efforts at each of the member universities. By analysis of a bounded phenomena (the National Alliance for Developing School Leaders), an effort was made "to come up with reasonable conclusions based on a preponderance of the data" (Taylor & Bogdan, 1984, p. 139).

Rationale for Selected Research Paradigm

Today's principals are no longer merely building managers but are expected to be instructional leaders, supervisors, motivators, community leaders, liaisons for school business partnerships, problem solvers, visionaries, and advocates for students, teachers, and parents. The literature search revealed that while the responsibilities of school leaders have expanded and the skills required have greatly increased, graduate programs for the preparation of

principals have not kept abreast of needed changes to prepare future leaders to meet increased demands.

The National Commission on Excellence in Educational Administration (NCEEAA) research revealed several deficits in the preparation programs of school principals. The Commission noted the lack of scope, sequence, modern content, and clinical experience in many preparation programs (Griffiths, Stout, & Forsyth, 1988). Such studies have caused the faculties of principal preparation programs to reevaluate current programs and consider needed change.

Creamer and Creamer (1988), in examining the most appropriate technique for studying change, indicated that colleges and universities are complex entities characterized by loose coupling and diverse cultures that are difficult to quantify. The authors noted that the superiority of qualitative methodology to other research methods in identifying values, assumptions, expectations, and behaviors make this approach particularly useful for research regarding higher education. Qualitative studies of multiple institutions assisted in gaining an in-depth understanding of multiple college and university contexts (Whitt & Kuh, 1991).

Through using the case study as a research strategy, the National Association of Secondary Schools' Alliance for Developing School Leaders was targeted to determine how such affiliations influenced the organizations involved. As a

research endeavor, the case study was felt to be particularly useful for contributing to knowledge of individual, organizational, social, and political phenomena (Yin, 1984). Merriam (1988) noted that "by concentrating on a single phenomenon or entity (the case), this approach aims to uncover the interaction of significant factors characteristic of the phenomenon" (p. 10).

Self-Disclosure

Due to the nature of qualitative inquiry, the investigator served as the data gathering instrument throughout the qualitative study. To allow readers to determine mindset and any possible bias, it was deemed critical to share background information that might have had an impact on the interpretation of data. While it could be argued that the activities that follow have provided the background information and contacts necessary to complete a thorough qualitative study, a decision was made to present to future readers pertinent information that would allow each reader to determine any possible investigator bias.

Penny L. Smith was a doctoral student at East Tennessee State University - one of the four universities involved in the National Alliance for Developing School Leaders. While a student, she attended the 1991 Alliance meeting and the NASSP Assessment Center Directors' Meeting in Reston, Virginia. Smith participated in three NASSP development

programs (Assessor Training, Leader 1 2 3, and Let's Talk) offered at ETSU and served as ETSU program coordinator for the Springfield Development Program. In addition, she produced a slide presentation about the Alliance for Developing School Leaders using information supplied by the four participating universities for the 1992 National Association of Secondary School Principals Conference in San Francisco (see Appendix).

Research Questions

Since the time that Socrates first exemplified the use of questioning and Aristotle first taught, questions have been thought essential to the pursuit of knowledge. "The kinds of questions we ask are as many as the kinds of things which we know," proposed Aristotle "and it is in the answers to these questions that our knowledge consists" (Dillon, 1983, p. 24). In case studies, research questions are influenced by and must be seen in the context in which they are formulated.

Locke, Spirduso, and Silverman (1987) noted that although all proposals must begin with a clear question or questions that can only be answered through examination and understanding a bound slice of the work, the exact and final form of method and analysis can rarely be specified in advance for qualitative studies. Consequently questions and procedures had to be established in tentative terms. These

questions were intended to change or evolve as pertinent data were gathered since the central goal of qualitative research was deemed to be understanding (Crowson, 1987), not generalizability or identification of cause.

Initial tentative research questions included:

1. What beliefs and motives resulted in the decision to join the Alliance?
2. How, why, and by whom was the Alliance for Developing School Leaders conceptualized?
3. Why did the universities seek affiliation, and how were adoption decisions made at each institution?
4. What changes have resulted from Alliance affiliation regarding program redesign, faculty responsibilities, shifts of emphasis, interpersonal relationships, and beliefs?
5. How has the Alliance project impacted the school leadership focus of NASSP and the Danforth Foundation?
6. What were the steps in the process used to determine what program changes would occur?
7. Who were the key players at Danforth, NASSP, and each university in planning the intended change?
8. What were the criteria for participation in the Alliance?
9. How did external support influence the decision to make major curricular change?
10. What have students and faculty gained from program changes?

11. What areas have been neglected as a result of implemented changes?
12. What positive and negative side effects have occurred as a result of the newly adopted changes?

Assumptions

It was assumed that change impacted numerous facets of the personal and professional lives of involved faculty members. The assumption was made that attitudes of faculty toward newly undertaken innovations varied. A further assumption was that different institutions would use differing approaches to planning, adopting, implementing, and evaluating program redesigns. An assumption was made that faculty members, Danforth personnel, and NASSP personnel would respond honestly and completely to the all inquiries. It was further assumed that all available documents, grants, videotapes, correspondence, and anecdotal data would be made available.

Limitations of the Study

A paucity of literature existed regarding how alliances impact change in education. On the other hand, this limitation could also be viewed as an opportunity to lessen the dearth of information about this topic. Qualitative case studies are limited by the integrity and sensitivity of the researcher (Riley, 1963) and are subject to "unusual

problems of ethics" (Guba & Lincoln, 1981, p. 378). The lack of generalizability is sometimes viewed as a limitation of case studies.

Definitions of Terms

Case Study

"A qualitative case study is an intensive holistic description and analysis of a bounded phenomena such as a program, an institution, a person, a process or a social unit" (Merriam, 1988, p. xvi).

Conceptual Framework

"A conceptual framework explains, either graphically or in narrative form, the main dimensions to be studied, the key factors, or variables, and the presumed relationships among them" (Miles and Huberman, 1984, p. 28).

Memoing

"Memoing is the theorizing write-up of ideas about codes and the relationships of those codes as such strike the analyst while coding. Memos can vary from a sentence to pages. The intent is not to report data, but to cluster data or show that data is an instance of a general concept" (Miles & Huberman, 1984, p. 69).

Peer Debriefing

Peer debriefing is a "technique for establishing credibility by exposing oneself to a disinterested peer in a manner paralleling an analytic session and for the purpose of exploring aspects of the inquiry that might remain only implicit in the inquirer's mind" (p. 308). The debriefer serves as a protagonist throughout the research process (Lincoln & Guba, 1985).

Thick Description

Qualitative data is rich with description and interspersed with numerous quotations from key players. The highly descriptive nature of the data is referred to as thick description. "Thick description is a written record of cultural interpretation" (Fetterman, 1989, p. 114).

Triangulation

Triangulation is a technique for establishing validity in qualitative studies by allowing the researcher to "test one source of information against another" (Fetterman, 1989, p. 89).

Organization of the Study

Chapter I includes the introduction, the statement of the problem, the purpose of the study, significance of the study, research questions, assumptions, limitations of the

study, definitions, and organization of the study.

Chapter II provides a review of literature and research.

Chapter III includes information regarding the initial research design and procedures planned to obtain research data.

Chapter IV provides information regarding the collection and analysis of data.

Chapter V reveals the Alliance story as told by key participants.

Chapter VI contains the summary, conclusions, and recommendations resulting from this study.

CHAPTER 2

Review of Related Literature

Introduction

A literature search was conducted to examine factors influencing change in higher education, particularly within departments of educational leadership. Traditional search techniques as well as extensive computer searches revealed very little information regarding third party impact and inter-institutional collaboration on principal preparation programs. The literature review was divided into four major sections: (1) the change process in higher education, (2) inter-university collaboration of departments of educational leadership, (3) change in the role and preparation of school principals, and (4) the impact of foundations on principal preparation programs. The literature review was followed by a section entitled "Logical Basis for Study Based on Literature Review."

Change Process in Higher Education

Belasco (1982) noted that organizations are very much like elephants in that organizations rarely forget what they have learned and are slow to break old habits. In reflecting on change, Hoffer (1963) posited that no one really likes the new. He stated that even in slight things the change is rarely encountered without some sense of foreboding.

From the time of the ancient Greeks until today, people have been intrigued and often threatened by the process of change. Burkett and Kimbrough (1990) stated that change occurs regardless of whether it is planned - it is inevitable. Change was not always planned, but planned change was preferred (Harris, 1975). Planned change was purposive according to Creamer and Creamer (1988), who noted that change was a constant issue in the existence of every vigorous organization, including institutions of higher education. However, the authors indicated that existing models of change had failed to adequately explain phenomena unique to higher education. They wrote that "making intentional changes in structured programs of service is neither simple nor guaranteed even when the leader's motives and ideas are laudable" (p. 181). Creamer and Creamer (citing Huse, 1980) noted that research has failed to provide a theoretical framework for predicting success of change efforts and had been applied to organizations other than institutions of higher education.

Planned change was noted as only a part of the change that occurred in higher education. Much of the change was viewed as unsystematic and evolutionary instead of the more revolutionary approach inherent in planned change efforts (Creamer & Creamer, 1988). Organizations were compared to any living organism that decay or deteriorate without constant maintenance and rebuilding (Cohen, Fink, Fadon, &

Willets, 1980). The authors suggested that it was difficult to manage change so as to produce desired results. Consequently, an individual or an organization had the option to be the passive victim of change or its initiator and planner. Those in higher education found those same options available. With the clear emphasis on educational reform, educators in institutions of higher education found that a decision had to be made to become proactively involved in the change process or passively face the consequences.

Hallinger and Murphy (1991) indicated that the field of educational administration is poised on the threshold of change. Kuh and McCarthy (1989) wrote that the next decade offers an unprecedented opportunity to redirect educational administration preparation programs. At least half of all current educational administration faculty were said to be eligible to leave the professorate within the next 10 years. These authors wrote that the revitalizing of preparation programs depends on the ability of universities to attract new faculty with fresh ideas regarding administrator preparation. Kuh and McCarthy (1989) noted "in the wake of a clarion call for reform in education, the need for leadership within the professorate has never been greater" (p. 108). The authors indicated the graying of administrators provides those responsible for preparing school leaders with a golden opportunity to impact American

education by equipping future school leaders with skills that will allow those individuals to competently and confidently stride to the forefront of educational change.

Interuniversity Collaboration

Lane and Moffett (1991) noted that school administrator preparation programs historically have involved individual institutions designating a sequence of courses that will presumably prepare individuals to effectively assume positions of educational leadership. The authors indicated that typically course content is developed by the faculty of individual universities without input from other institutions offering similar programs. This was said to be true both intrastate and interstate. Lack of collaboration occurred even when regulatory boards mandated specific courses for certification.

Since the importance of adequately prepared school leaders was evident, Lane and Moffett indicated that it is mandatory for all involved in the preparation of administrators to collaborate to avoid a "disconnected preparational environment" (p. 27). The authors noted that institutions do not have to be exactly alike to share in the development of improved administrator preparation programs. Lane and Moffett viewed the inherent differences as assets which can assist in the development of effective programs. The authors viewed collaboration or inter-university

networking as a way to link the best resources of multiple universities. The resulting product was a program with a mutually agreed on context, but "decentralized delivery" (p. 30).

The collaborative model proposed by Lane and Moffett would result in a wider base of coverage than could be provided by a single institution. This method of delivery would tap the assets of both large research institutions and regional institutions which primarily focus on preparing teachers/practitioners. The proposed collaboration would result in research institutions devoting much of their time to developing a knowledge base for improvement. Regional universities would emphasize a broader role for faculty who have a strong background in practice and are well-equipped to deliver training to practitioners.

Lane and Moffet pointed to the need for each institution to have a large degree of flexibility in developing a program to meet that university's needs. This was seen to be essential since some universities serve urban areas while others primarily serve rural areas which may require different skills.

The necessary basis for such collaborative efforts was felt to be a focus on school improvement and not the advancement of the individual institutions involved. Mutual trust and mutual need were pinpointed as the foundations necessary for such an endeavor with mutual satisfaction

resulting from the efforts of the multiple institutions involved.

For such collaborative efforts to succeed, Lane and Moffett indicated the following concepts must be accepted by the universities involved:

1. Each university has a different mission.
2. Each university willingly collaborates with each other.
3. Each university has different expectations for faculty.
4. Each university has a high degree of flexibility in the development of educational administration programs.
5. "Turf" issues must be discarded in favor of networking for the improvement of school.
6. Universities must be open to risk and innovation.
7. Universities must openly share material and human resources.

Lieberman (1985), too, saw certain concepts as essential for collaborative work. She believed some type of organizational structure was required for collaborative efforts. A small group of people actually were needed to work on the collaboration. It was essential for time to be allocated for collaboration needs. Lieberman indicated that ambiguity and flexibility more aptly described collaboration than certainty and rigidity.

People were said to participate in collaborate work for different reasons, but those reasons should include wanting to do things together. Lieberman warned that people

frequently underestimate the amount of energy needed to work with other people. Initially, collaboration was said to be propelled by activities rather than goals. She advised that conflict in collaborative efforts was inevitable, but noted that even those experiences have the potential for productive learning. Shared experiences were said to build trust, respect, risk-taking, and commitment over time.

Change in the Role and Preparation of School Principals

The role of school principals has changed considerably and increased in complexity. Principals were no longer expected to simply be building managers, but were expected to be visionaries and change agents. London (1988) noted that leaders, managers, and human resource professionals needed competence to manage change. The author stated that organizing, problem solving, decision making, negotiating, and leading will continue to be critical skills, but thought those skills should be applied in new and different ways. He proposed action learning through planned experiences and constant questioning as a way to prepare for success in dynamic organizational climates. Havelock and Havelock (1973) stated that regardless of job title, there were four primary ways to serve as change agent. The authors indicated that an individual could be a catalyst, a solution giver, a process helper, and/or a resource linker.

Various sectors of the American public have called for

changes in the educational system from preschool to postgraduate study. The National Commission on Excellence in Educational Administration was asked by the University Council for Educational Administration to specifically examine the quality of educational leadership in America. The research revealed several concerns regarding preparation programs for school administrators. The lack of licensure systems that promoted excellence and the lack of a national sense of cooperation in preparing school leaders were identified as problems (Griffiths, Stout, & Forsyth, 1988). Achilles (1988) indicated that school administration is currently facing vociferous demands for change. He wrote that the profession was engaging in the most comprehensive analysis and redesign of basic operating structure since the behavioral science revolution in the 1950s and 1960s. University programs were often subjected to severe criticism for current practices.

After analyzing the current literature on the preparation of school principals, Murphy and Hallinger (1989) concluded that "the content of most training programs in educational leadership and administration has remarkably little to do with either education or leadership" (p. 31). Cooper and Boyd (1987) indicated that America had developed "one best model" for educational administrator preparation, a model which is "state controlled, closed to non-teachers, mandatory for all those entering the profession, university-

based, credit driven, and certification bound." The second wave of the school reform has directed even more attention to issues of school administration and leadership. Professors of educational leadership have found the options to be the same - become actively involved and at the forefront of change in leadership studies or passively await mandated changes.

This need for change has occurred at a time when needs are increasing and budgets decreasing. Institutions of higher education have had to reflect creative leadership to obtain the resources needed to create and accommodate sustained, positive change. With higher education's financial "Golden Years" (Neal, 1988, p. 2) in the past, colleges and universities have begun to realize that not only is collaboration a good idea, but is a way to meet new demands through sharing ideas, energies, and resources.

One such collaborative endeavor has resulted from the efforts of the National Association of Secondary School Principals (NASSP) in association with the Danforth Foundation. The Alliance for Developing School Leaders was established as a vehicle for promoting change in principal preparation programs. Through the study of this project from inception, information will result that will shed light on third-party influence of change in higher education.

The Impact of Foundations on Change in Principal Preparation

In a recent Kappan Special Report, Meade (1991) attempted to present an overview of the impact of foundations on public schools. The author indicated that quantitative data did little to contribute to understanding the roles played by foundations in shaping public schools. Most foundation watchers were not felt to gain those kinds of understandings from statistical data. Meade went on to note that statistics were virtually meaningless without additional data. The author suggested that more fruitful information could be gained from asking questions such as:

- (1) Has the foundation limited itself to certain sites for some reason?
- (2) Is the recipient of the funds the real locus of the project?

Meade wrote that gathering statistical data did not engender understanding. The more likely product of such endeavors was crisply designed research. Thirty years of work with the Ford Foundation obviously impacted the author's frame of reference.

The author wrote that upon occasion, a focus on people has taken precedence over a focus on program. An example, was the 1970s effort of the Rockefeller Foundation to increase the number of minority superintendents and district-level administrators. Each individual was given special attention to meet identified needs. According to

Meade, the program was shaped to fit the individual and not vice versa.

Other foundations supported change in university preparation programs for superintendents and central office administrators. Meade indicated that during the 1950s and 1960s the Kellogg Foundation supported introducing the social sciences into programs for educational administrators. In the 1970s the Ford Foundation directed the focus of preparation programs to urban schools and attempted to recruit minorities and women to university-based preparation programs. Much earlier the Kettering Foundation funded institutes of active principals through I/D/E/A.

Many recent reports have pointed to the importance of the principal as a catalyst for change in creating effective schools. Interestingly, Meade indicated that even with this increased attention "foundation support targeted directly at principals has been - and continues to be - modest" (p. K8). One current exception was noted. The author indicated that the Danforth Foundation has "stood virtually alone as a major funder to improve college and university preparation programs for principals" (p. K8).

Olson and Feczko (1991) noted that the Danforth Foundation is an independent foundation which was incorporated in 1927 in Missouri. The foundation's stated purpose was to "enhance the humane dimensions of life"

(p. 533). Foundation activities traditionally have focused on improving the quality of teaching and learning. Additionally, the foundation has supported efforts of administrators and educators who are charged with formulating educational policy impacting elementary and secondary schools. For more than six decades the Danforth Foundation has been concerned with "helping individuals to further their education and to extend their ability to contribute to the quality of human life" (Danforth Foundation 1987-1988 Annual Report, p. 6). The foundation has sought to "improve relationships among faculty and students" and addresses "value-laden issues in education" (Danforth Foundation 1987-1988 Annual Report, p. 6).

The Danforth Foundation has supported multiple national programs aimed at impacting the quality of education. Those programs have included: (1) the Danforth Program for the Preparation of School Principals, (2) the Danforth Program for the Professors of School Administration, (3) the Danforth Program for School Board Members, (4) the Danforth Program for Policy Makers, (5) the Danforth School Administrators Fellowship Program, (6) the Danforth Program for Federal Judges and Educators, and (7) a grant series devoted to integrating international education into school curricula (Danforth Foundation Annual Report, 1987-1988).

Additionally, the foundation has supported and continues to support the Danforth/NASSP Alliance for

Developing School Leaders. The Danforth Foundation has worked in conjunction with the National Association of Secondary School Principals (NASSP) to impact the education of future school leaders through the Alliance. Danforth's partner in this effort, NASSP, was founded in 1916 and has membership exceeding 40,000. The association's members have traditionally included secondary school principals and assistant principals, other individuals engaged in secondary school administration or supervision, and college professors (Burek, 1992). NASSP has produced numerous professional publications and has developed multiple professional development programs for school practitioners.

Logical Basis for Study Based on Literature Review

The Danforth Foundation and the National Association of Secondary School Principals initiated a National Alliance for Developing School Leaders designed to impact change in principal preparation programs. Meade has strongly noted that an understanding of foundation influence results not from statistical manipulation, but through asking questions focused on intent and rationale. While much literature existed relating to alliances, the vast preponderance of that literature addressed such varied subjects as military alliances, physician-patient alliances, and alliances between chimpanzees. An exhaustive search for information regarding how alliances impacted change in education was

unfruitful. A few listings of cooperative efforts between universities some of which were called alliances were found.

Little evidence was found regarding the impact of alliances on the behavior and responsibilities of individuals involved. Evidence was not found regarding the use of alliances as vehicles for promoting change. Little evidence existed as to the impact of externally supported change on program design in Departments of Educational Leadership.

With the push for change in principal preparation programs and the fact that only one foundation (the Danforth Foundation) was found to be actively involved in supporting such change, the need for a study of the most current endeavor (the NASSP Alliance for Developing School Leaders) seemed evident. Following Meade's comments regarding the lack of information engendered by statistical manipulation and statistical reports, a case study technique was used to gain an understanding of external support on change in principal preparation programs.

Chapter 3

Methods and Procedures

Overview

A paucity of literature existed regarding the influence of alliance relationships or externally supported changes on institutions of higher education. This fact provided key justification for completion of this study. Rare is the opportunity to study an area which has received little attention through examination of a novel approach such as the National Alliance for Developing School Leaders during the early stages of development. Information gleaned provided a history of the Alliance project, the rationale for the project, the intent, and resultant changes. The study provided a basis for continued examination of the impact of Alliance affiliation and externally supported changes of departmental program redesign in higher education.

Selection of Research Methodology

The qualitative research process was used to provide data for analysis. Jick (1990) and Sieber (1973) indicated that qualitative research allowed the researcher to witness and experience phenomena utilizing multidimensional techniques.

Everhart (1988) noted that fieldwork, another name for

qualitative research, has gained considerable favor and respect in the study of educational phenomena. He continued to write that studies of leadership, management, and organization of schools were not exceptions to this trend in research. This approach was an attempt to understand education in situ. Fieldwork was characterized as process oriented. One of the strengths of the qualitative research paradigm resulted from the attempt to examine events and meanings as they unfolded. The qualitative investigator endeavored to understand the influences that determined the way events evolved.

Qualitative research was described by Fetterman (1989) as holistic. Researchers, according to Everhart (1988), believed that a phenomenon could not be isolated and studied as a linear relationship, but had to be studied in context. Events were characterized as multidimensional. Fieldwork allowed the researcher to see and experience events as those events happened. A strength of fieldwork resulted from the examination of unfolding events and the attempt to understand circumstances that influenced the evolution of those events. The author noted the strength and appeal of qualitative analysis resulted from the potential for recording highly accurate descriptions and analysis of "what is" (p. 704).

The author (citing Rist, 1977) related that the particular advantage of fieldwork, and perhaps a strong

criterion for choosing it over other forms of research was its emphasis on construct validity - the meaning of events or situations to those individuals who engage in them. In the area of policy research, and research on educational administration, Everhart (citing Giacquinta, 1973) indicated that fieldwork was unsurpassed for attaining this validity. Fieldwork has played a large role in the evolution of educational administration as a result of the emphasis on discovery within the natural context and the emphasis on validity according to Everhart. When reflecting on qualitative research, Miles (1979) noted the attractiveness of qualitative data and indicated the face validity appeared "unimpeachable" (p. 590). In qualitative research the researcher had the option of using self-disclosure and peer debriefing to avoid shadowing the research process with personal bias.

According to Whitt and Kuh (1991), qualitative methods were particularly useful in examining hard-to-measure features of higher education such as cultures, values, norms, and beliefs. "Qualitative studies permit in-depth understanding and broad comparisons of different college and university contexts" (p. 3) wrote Whitt and Kuh (citing Crowson 1987; Herriot & Firestone, 1983). Five characteristics of qualitative research which made that design superior for studying complex organizations and processes included: (1) search for understanding, (2)

proximity of researcher, (3) analysis by inductive reasoning, (4) familiarity with setting, and (5) an appreciation of the value laden nature of inquiry.

The following procedures were followed in conducting this qualitative study:

The change process resulting from affiliation with the National Alliance for Developing School Leaders was examined using semi-structured interviews, participant observation, and examination of artifacts/documents. Qualitative data which are a source of well-grounded, rich descriptions, and explanations of processes occurring in local contexts (Miles & Huberman, 1984) were gathered during on-site visits to the offices of the National Association of Secondary School Principals.

Prior to actual investigation, an initial conceptual framework was developed to assist in determining the main dimensions to be studied and the presumed relationships among them. Miles and Huberman (1984) noted that a conceptual framework acts as a researcher's map which can be continually updated as new information becomes available.

After initial contacts tentative interview guides were be developed. Miles and Huberman (1984) suggested this timeframe allowed the researcher to get a sense of the actors and the configurations of change. Interviews were then conducted with key actors (listed in the "Participants" section). The field materials collected were coded, sorted,

and analyzed after each data gathering venture. Data items were filed according to the coding scheme developed.

In the following sections information is shared regarding: (1) Setting, (2) Participants, (3) Data Collection, (4) Procedural Steps, (5) Report Preparation, and (6) Summary.

Setting

A trip was made to the NASSP headquarters in Reston, Virginia to conduct interviews with key actors and to procure documents pertinent to the study. Interviews with Donn Gresso, former Vice President of the Danforth Foundation, and Charles Burkett, chair of East Tennessee State University's Department of Educational Leadership, occurred in Johnson City, Tennessee. Interviews with Danforth's Peter Wilson were conducted by telephone. The researcher visited the Danforth Foundation in St. Louis as a part of this study. Interviews with department chairs and/or other representatives of Brigham Young University, Florida State University, and Virginia Polytechnic Institute and State University were conducted by telephone.

Additional information regarding the universities impacted by the alliance endeavor is presented in the appendix to provide a backdrop for this study. Information included was provided by the institutions being studied.

Participants

Qualitative researchers typically utilize purposive rather than random sampling. Sampling parameters may change as data is gathered which indicates an expansion or deletion is needed. The following participants were initially identified as key actors:

- Bruce J. Anderson, Danforth President
- Peter Wilson, Danforth Program Director
- Donn W. Gresso, former Vice President of the Danforth Foundation, currently Associate Professor at East Tennessee State University
- Paul Hersey, NASSP Director of Professional Assistance
- Kermit Buckner, NASSP Coordinator for East Tennessee State University
- Lenor Hersey, NASSP Coordinator for Brigham Young University
- Dick Flanary, NASSP Coordinator for Virginia Tech
- Ivan Muse, Chair of Department of Educational Leadership at Brigham Young University
- Charles Burkett, Chair of Department of Educational Leadership at East Tennessee State University
- Bob Stakenas, Educational Leadership at Florida State University
- David Parks, Virginia Tech

-Dr. Wayne Worner, Virginia Tech

The list of participants was modified during the data collection process.

Data Collection

Before initiating the semi-structured interviews, information about each institution was obtained and reviewed. Information reviewed included brochures, catalogs, and other institutional profile information.

Multiple methods were used to procure data since each method reveals a different aspect of empirical reality (Denzin, 1989). Triangulation was achieved through these multiple methods. Denzin strongly advocated the use of multiple methods in every investigation, since no single method can ever "completely reveal all the relevant features of empirical reality necessary for testing or developing a theory" (p. 26).

Webb (1966), too, wrote that the most fertile search for validity resulted from combined series of different measures. Denzin concurred with Webb's argument that in the present stage of social research, no longer are single-method investigations appropriate. The authors noted that the combination of multiple methods enables the researcher to produce valid propositions that consider rival causal factors.

The following techniques were designed to establish triangulation:

Artifact/Document Analysis

To discover information about institutions, goals, missions, key events, and key actors, artifacts and documents were examined. Data sources included:

- University publications
- NASSP publications
- Danforth publications
- Reports submitted to NASSP
- NASSP reports submitted to the Danforth Foundation
- Internal memos regarding Alliance efforts
- Planning records
- Videotapes/slide shows

Semi-Structured Interviews

Denzin (1989) noted that change is difficult to establish and concepts are sensitized only when open-ended questions are utilized. For this reason, a semi-structured interview composed of open-ended questions was used during on-site visits and during telephone interviews. Fetterman (1989) listed the interview as the most important data gathering technique. He indicated interviews provided explanation and put into a larger context what the researcher observed and experienced. Such interviews were most often used for comparing responses and developing common beliefs or themes. Interviews were mentioned as important techniques for helping to classify and organize

the participants' perception of reality. A semi-structured interview was planned for each willing key participant.

Peer Debriefing

Lincoln and Guba (1985) noted the value of peer debriefing during the research process. The peer debriefer probes the observer's biases, explores meaning, and challenges interpretations. Debriefing provides an opportunity for testing the logic of the conceptual process. In addition, the design can be challenged and allowed to emerge if necessary. Lastly, the debriefing allows for catharsis during what can be a stressful process.

The peer should be an equal who knows about the area of inquiry and understands the qualitative paradigm. The data collected during this process does not describe the people or organizations under analysis, but provides information about the researcher throughout the process.

Tentative Procedural Steps

In qualitative research, flexibility is key to the research plan. The tentative plan was always open to modification if information arose that indicated a different path would provide more lucrative information or if data steered the researcher toward an unanticipated direction.

The initially planned procedural steps were as follows:

1. The National Association for Secondary School Principals

and the Danforth Foundation would be contacted to solicit assistance in this endeavor.

2. Upon project approval, ground rules would be established as to time needed and availability of information.

3. Each of the four universities would be contacted to ask for assistance in completion of the study.

4. A peer would be asked to serve as peer debriefer. A member of the opposite sex would be selected to assist in avoiding conclusions that could be gender biased.

5. Dates would be established for the NASSP visit.

6. A conceptual framework was to be completed and modified as needed to identify major clusters of variables for study and any relationships between those clusters requiring examination.

7. From this framework, interview questions were developed. These were to be modified as needed during the investigation.

8. From research questions, key concepts, and important themes, a coding list would be developed. The coding list, too, could be adapted as the need arose. This could require the recoding of previously coded material, but allowed for modification of the design to fill identified gaps.

9. Prior to visitations, initial interview questions would be developed for the following categories of participants:

- a. Danforth and NASSP executives
- b. NASSP Alliance Coordinators

c. Educational Leadership Chairs/Faculty

The multiplicity of individuals were to be used to achieve participant triangulation thus increasing validity.

10. Interviews would be scheduled and conducted with current and former Danforth key players.

11. A minimum of two days would be spent at NASSP interviewing Paul Hersey and the Alliance coordinators to determine the origin of the University Alliance, how the four universities were selected for membership, the NASSP vision for the Alliance, and the constancy of goals and/or objectives.

12. A contact summary sheet would be completed after the NASSP visit. This one page sheet would target a series of focusing questions about that site visit. After reviewing notes the questions would be answered briefly.

13. Data collection and analysis were to be conducted concurrently to allow existing data to impact the collection and interpretation of additional data (Miles & Huberman, 1984).

14. A set of analytic files (Miles & Huberman, 1984) was to be kept in an accordion file for each institution. The materials included would come from excerpts from xeroxed field/interview notes. Each data bit was to be labeled with data, location, actor, and circumstance (if pertinent).

15. Through examination of coded data, summary sheets, and memos were used to develop propositions and connect

interrelated ideas which reflected the findings and conclusions of the study.

18. Throughout the process, scheduled periods of reflection were to be utilized. A stream of thought dairy was desired to maintain a record of mental activity and mindset throughout the fieldwork and data analysis.

Report Preparation

Information was to be compressed, categorized, and ordered so the user could draw conclusions. Excerpts of dialogue were to be used liberally to add to the "undeniability" of the account.

Chapter 4

Analysis of Data

Introduction

The primary purpose of Chapter 4 is to provide a brief overview of the finalized information gathering process and the analysis of data collected. The secondary purpose is to allow the reader to understand the researcher's role in sharing the collected data.

Interview Process

As planned, interviews were conducted with key actors in the Alliance effort. These persons were affiliated with the Danforth Foundation, the National Association of Secondary School Principals, Brigham Young University, East Tennessee State University, Florida State University, and Virginia Tech. When possible the interviews were conducted in person (P. Hersey, L. Hersey, Buckner, Flanary, Gresso, and Burkett). The remaining interviews were conducted by telephone (Muse, Stakenas, Wilson, and Worner). Only one intended interviewee did not participate. Attempts to contact this individual were unsuccessful due to nonavailability for accepting the researcher's telephone calls. Requests for return telephone calls did not produce a response.

All interviews were taped with the permission of the

interviewee. The researcher began each interview with an established interview guide, but with the intent to use that form simply as a guide to the interview, not as a strictly defined roadmap for communication. When conducting qualitative research one often unearths unanticipated information that leads to an unexpected line of questioning. The questioning often leads to fruitful data that would not be discovered if the researcher remained strictly confined to a preestablished interview guide. The responses of participants often reflect areas of concern or insight not originally anticipated that deserve further exploration.

Transcription and Coding

Tapes were transcribed with the assistance of an independent wordprocessing business. Prior to submitting tapes for transcription, the researcher listened to the tapes to determine whether any lapses or technical difficulties had occurred.

The transcripts were then coded to organize data for analysis and logical presentation. The coding categories resulted from the research questions stated earlier. In some cases the information shared fit more than one category causing the researcher to combine some of the originally determined categories. Additionally, rich information emerged that did not strictly respond to the originally defined research questions but added much to the

understanding of the evolutionary process that occurred during the formation of the National Alliance for Developing School Leaders causing the need for additional codes. Rather than use analytic files kept in accordian folders, a computer was used to assist with clustering and organizing data.

Artifacts

Additionally, artifacts relating to the Alliance were examined. These artifacts included correspondence, materials from annual meetings, and a study conducted by Linda Ward on the influence of the Alliance on the course of study at Florida State University. Information from these sources that either supplemented the information obtained by the researcher or filled informational gaps was selected for inclusion.

Cognitive Mapping

The intent was to ask participants to draw the relationships that existed between each of the four universities, NASSP, and Danforth using differing symbols and lines to indicate those relationships. During the time data was being collected, an initial decision was made by Danforth to limit future funding. Chairs of the departments involved were preparing to visit the Danforth Foundation in St. Louis to appeal that decision. As a result of this

occurrence, participants were quite unsure as to what if any relationship would continue to exist between the organizations involved. Because of these unanticipated circumstances, a decision was made not to follow through with the original plan for mapping since the resulting diagrams would be guesswork at best.

Peer Debriefing

A peer debriefer was used to help identify gaps in information, leaps in logic, and information that might not be clear to those unfamiliar with the Alliance effort. Additionally, the debriefer served as a supportive listener who asked probing questions that resulted in additional reflection by the researcher.

Organization of Information

Qualitative research frequently results in a plethora of information and how to deliver that information to future readers becomes a paramount question. In this study the researcher determined that it was critical to tell the story of the development of the National Alliance for Developing School Leaders as closely as possible from the perspective of those most intimately involved. Presenting the information in the rich form shared by the interviewees became a critical concern. A decision was made to refrain from the temptation to explain or add information or

quotations from scholarly presentations during the presentation of information. This decision was made in an effort to keep the attention of the reader and the spotlight on what was deemed most important - perspectives shared by those involved.

Throughout the process an effort was made to stay focused on the fact that the product produced should stand on its own merit not supported by the marks of the researcher. An effort was made to follow the lead of artisans, tailors, and others who understand the need to make seams as unobtrusive as possible. An attempt was made to weave a story that reflected as few of the researcher's stitches as possible.

A qualitative researcher has a responsibility to 'take only photographs and leave no footprints'. Following this philosophy an attempt was made to capture the essence of the process as related by the participants without leaving the imprint of the researcher - to simply tell the story.

Chapter 5

The Story

Germination of an Idea

As respondents were asked who they considered responsible for the conceptualization of the Alliance two names were mentioned again and again - Donn Gresso and Paul Hersey. For that reason Gresso and Hersey were asked to reflect on the origination of the Alliance concept.

When asked about how the idea for the Alliance began, Gresso indicated that if he had to identify where the seed for the Alliance had been first planted, he would pinpoint a meeting at the Danforth Foundation in St. Louis of the facilitator's for Danforth's 2nd Principal Preparation Cycle. Paul Hersey had been invited to talk with the facilitators about NASSP's developmental programs. At the end of Hersey's presentation, Gresso remembered Ivan Muse of BYU asking whether the kinds of experiences developed by NASSP for current and aspiring principals might not be of value in the university principal preparation programs. This question started the musing about whether it would be possible to use NASSP materials in a manner other than that originally intended - specifically in university preparation programs. According to Gresso it took approximately one year to share the idea with the key players at Danforth and NASSP, to allow for discussion as to the best way to

maintain the integrity of NASSP materials which were being used as a part of administrator certification in some states, and to gain final approval for the use of the materials under specific conditions by the universities that would be selected as Alliance members. Only after setting this kind of foundation could a formalized effort begin to develop the National Alliance for Developing School Leaders.

Grosso responded with a smile as he conveyed his remembrances of mapping out the initial concept on a napkin. He related,

Paul Hersey and I knew that we were going to be in Provo, Utah at the same time for two different meetings and arranged to have dinner at a local hotel. While we were having dinner he asked how I felt the Danforth program was going. I stated that I was really pleased - that it was greater than had ever been envisioned at the foundation. I also shared that I felt we still had a great deal of work to do in the area of professional growth of professors. Who prepares the professors and once they are prepared how do they continue to grow?

We talked about what NASSP was doing and the fact that they were having success with their material with practicing principals. It made sense that perhaps people in preparation might benefit as well. So, on a napkin, we started drawing linkages that might occur and then began talking about some institutions that we

thought had the leadership within the institution and departments to carry through with such an idea if chosen to participate. From the initial linkages drawn on a napkin began the development of the concept of the National Alliance for Developing School Leaders.

When Hersey was asked about the conceptualization of the National Alliance for Developing School Leaders, he reflected a moment and continued the story,

It's an adventure that we got into about three and a half years ago when we started to think about whether we could help higher institutions redefine and in fact, modify their preparation programs for school leaders at the masters level, specialist level, and PhD level - at all levels. We had been doing a good bit of training and development of administrators throughout the country, both in universities and outside universities, so we thought we understood some of the university structure. We got a call from the Danforth Foundation asking whether we would be interested in coming to St. Louis to talk with 25 different higher education institutions about the whole training and development aspect of our work.

They were interested in whether we could actually retrain and train faculty members at the university level so that they would teach in a different way. The Foundation felt that much of their

money had been spent in the Professors Program and some of the other programs they had sponsored in bringing resource people and resources to the university, but they actually didn't see a lot of change in what the university was offering or in the process they were using to teach young people in their graduate level programs. They were asking us whether we thought we could be the equal to the task. Frankly, we didn't know. I went to St. Louis and did a presentation to the group and found some were very interested in becoming a part of this. That's when Donn Gresso was with the foundation. Donn and I made trips around the country to go to the institutions that showed a lot of interest. We interviewed the faculty, the dean, and all people who were actively involved in their educational administration program to see whether or not they were the kind of institution that would hold this program in high enough regard that they would actually make the changes required to be made.

A little naive we were because we thought it was strictly going to be a retraining of faculty program, but when we got into it we found there was a lot more to the restructuring of the education administration programs than we anticipated. We had to look at the curriculum. We had to look at the rewards that were being used for faculty. We had to look at faculty

training. We had to look at the articulation of courses, experiences that were not course oriented like simulations, exercises, internships, and things like that. How did all that mesh? We went back to the drawing board and chose four institutions (Brigham Young, East Tennessee State University, Florida State University, and Virginia Tech). In each case we spent hours and hours, actually days, with the faculty going over a series of questions that needed to be answered and we got those questions out of what we call the "Red Book" which had been put together by the Professors of Secondary School Administration regarding what would be needed for change in school administration. We took the ten or fifteen questions in that book, amplified them, and came up with about 25 or 30 questions that we thought every institution, whether educational or otherwise, needed to consider if they were really going to restructure what they were doing.

Again, the focus was still going to be on training and retraining of faculty, but we realized there was a lot more to this program. I guess you could say, we had not realized in the beginning how broad and elaborate this program would become. We saw it in a narrow focus, when in fact it had a very large focus.

The next person to be involved in the project was Lenor Hersey of NASSP. Lenor remembers Paul Hersey sharing the

idea that he and Donn Gresso had begun to formulate and agreeing that real potential existed for a project such as the Alliance. They had apprehensions about what would happen to NASSP materials and how they would be used in school districts and state departments if universities were given free license to them. Discussions with Donn continued and Donn and Paul created a skeleton of an outline of what they envisioned. This was then given to Lenor to fill in the gaps and put together a budget for the formal proposal. She noted,

I think we saw this as an opportunity to make a significant contribution and to test our programs, concept, and ideas in a different environment than we have been using. We felt that the university preparation programs were key along with our contribution as a national association, and school districts - all the partners in education - to bringing about the necessary change that is needed for preparing future principals. We felt that we, as the practitioners, working in conjunction with the universities could make a strong team putting together theory and practice. We wanted to see if working with the universities that were shifting their programs to a more participatory model experiential program was feasible and practical for them.

We didn't think that ours was the only way and we

wanted to get the university people's input into what we were doing. We don't feel that we have all the answers and by combining the resources of the experiences of the people in the universities and ours that we could perhaps come up with something that was really going to be significant in terms of what we use for models of preparation for the next ten, twenty, or fifty years. Hopefully, we will begin to change. If we get plugged into enough different places eventually all of this is going to come together.

I think the freedom that each university had to develop its own plan was critical to their wanting to participate. The strength of this is the fact that we bring together different resources and different ideas and allow the professors to analyze and take from the experience what is really good, learn the lessons that there are to learn, and move on to their next task. I couldn't imagine it not being that way. I wouldn't have wanted us to be involved if everybody had to march to the same drummer.

When Kermit Buckner was asked what he thought NASSP had hoped to see as a direct result of the Alliance project he stated,

I think our hope was that we would be able to influence universities to take some of the concepts that we had found so well received with principals who had gone to

our development programs - the ideas of skill development, of working in a safe environment, and actually applying a theory as opposed as to just talking about it and taking a test on the theory. I think that we hoped that we would see universities see that there was some value in taking that approach and actually implement to a degree some of our programs, modify some of our programs to the university setting, and implement them - so that you could actually go into a classroom and see a NASSP influence. Not so much that NASSP was doing great things - lots of folks were doing these kinds of things, but to see a change in this kind of instruction that was going on. That change per se would be that people would actually be working on developing some specific skills as opposed to being in the theoretical abstract most of the time.

I think the reason NASSP wanted to establish the Alliance is very simple, principals are our business and principals come from universities. That's where principals are trained and if you can have an impact at the beginning and continue that impact throughout the course of someone's career, then you've got them from the beginning - from the cradle to the grave. In our case it would be from certification to retirement. This is not totally new to us. We have a strong relationship with universities and professors

through our assessment process.

Dick Flanary talked of a quiet revolution as the inspiration for the National Alliance. When he was asked about the origin of the Alliance concept he responded,

I think I have a bit of a different view maybe than some others might have about where and how the Alliance seeds were planted. I think if you go back to 1975, when Paul and NASSP began the assessment process, it began very slowly and in a very controlled fashion. Paul has exercised a great deal of supervision, care, and control over how centers came about, where they were located, who would be trained, and all those kinds of things. As that network began to expand and we trained principals to be assessors. The focus of that training rested on those skill dimensions. We heard consistently from principals out there that were in the training that this was some of the most effective staff development that they had experienced. It was not envisioned when this process was developed in terms of training assessors that there was any staff development quality at all. That was kind of a serendipitous find that evolved from the process. Practicing principals began to say 'You know this is useful. These skills are important.' I think their contacts and many of those folks who were trained as assessors, found their ways into universities and we

began to train more and more university professors. I think that going back to 1975, that there has been a very quiet revolution that NASSP has influenced. No one has documented it. I can't document it. I can't give you those hard data to support that, however, there has been a quiet revolution that has forced universities to begin to talk about skill preparation and skill dimensions. As those discussions and those networks have expanded, I think that's where the Alliance seed was planted back many years ago. Given it did not come into fruition until Donn Gresso and Paul began to talk about the whole concept of using our development programs. During the whole evolutionary process of our Assessment Center, we didn't envision that there would be a lot of development coming along. After a certain point in time, however, people began to say 'Assessment is fine but where do we go and what do we do if we have weaknesses or improvement needs in this area. There is no place for us to go. We don't have trust in the universities. We have learned on the job not in our preparation program.'

The focus here has been to begin to develop these programs that would bring these people along. Another factor was that the Assessment Center was designed primarily for pre-service people, people who aspire to

the principalship. NASSP is an organization of principals and practicing assistant principals and the membership began to say, 'You are exerting all this time and commitment toward people who aren't even in the profession. What are you doing for us?' Hence the development programs came along. All of a sudden that network began to expand and as we trained more and more people in those development programs they begin to say 'Here's something that works' and the word spread. These experiences can be provided by people other than the universities. While the universities still hold the privilege of licensing principals for the most part, they become the primary agency for conducting all that. I think the whole mind set and the whole Alliance concept resulted from a quiet revolution that has been going on for some time.

In a January 8, 1990 FAX transmittal to Paul Hersey, Gresso summarized the purpose of the Alliance as follows:

To improve and restructure the content and adult development processes used in the preparation programs for school leaders being developed at the participating universities. These pilot efforts would also serve as national demonstration projects.

The project will influence the skill levels of university faculty, interns, practicing superintendents, and principals from geographical areas

of participation.

University Selection

With the opportunity to select only four universities for inclusion in the Alliance, Paul Hersey was asked how the four universities were selected. He replied,

It was a joint decision. I think the heavy burden fell on us, the Association, to determine which of the universities had the highest motivation to really bring this off. The Danforth Foundation also had a good bit of input because they had been dealing with about 25 of these institutions for three or four years at least and had a good feel for the ones that had followed through and were highly motivated. It was a joint decision really.

The four universities chosen shared a high motivation for change and some risk tolerance. There was a very great interest on the part of people in power positions to have this happen - that's the dean and others beyond the dean. A genuine enthusiasm for staff retraining and training as well existed at the universities selected.

Lenor Hersey found some commonalities existed between the universities selected for participation. Hersey concluded,

We looked at their programs, we looked at the commitment of the total faculty and decided that these

four schools provided the diversity desired. They were people who seemed to be open to change, looking at things differently, seemed to be working toward some innovation and we decided that those were the four. There were others and if we had the resources we would have liked to have brought them on board.

In a letter dated August 16, 1990 Gresso wrote to
Timothy Dyer, NASSP Executive Director,

As you are aware Paul Hersey and I have been working on the Alliance for many months since I first met you in Reston. We started by identifying institutions that have brought notice to their educational administration programs. As former program director and vice president of the Danforth Foundation I worked to identify twenty-two university programs to receive Danforth funding in support of their own initiatives. Additionally, Dr. Bruce Anderson, president of the Danforth Foundation identified eighteen universities for the Danforth Professors Program funding to enhance school leader preparation. These forty institutions represented every geographical area of our country. Paul and I looked for universities from this list of forty that also have had superior success with NASSP and its programs. Those institutions having recognition for their efforts to make a difference in preparing school leaders were contacted by letter

and/or phone to determine their interest. In short, the six institutions that survived the paper screening are Brigham Young, Virginia Tech, East Tennessee State, Florida State, Georgia State, and Indiana University. We have selected the first four listed. Georgia State and Indiana will be included in the next cycle when additional funds are available.

I am very pleased with the process we used to determine the best prospects. We have commitment from the university administration, Dean, faculty, and surrounding school district superintendents. We have geographical representation from the west (BYU), east (Virginia Tech), midwest (East Tennessee), and south (Florida State).

Criteria for Participation

When asked the requirements for joining the Alliance, Hersey indicated that originally the plan had been for each member of the Alliance to contribute money for site costs, evaluations, and other expenses, however, the money crunch facing most universities made this expectation unrealistic. As to other criteria Hersey continued,

Originally, we required that they answer the questions that we put before them, but also, that they build a five year plan for change so a strategic plan was built for each of the institutions that is still in existence. The plans have been modified extensively,

but it is still a five year plan for change and for adopting new approaches.

We also developed an agreement that was signed by all of the Alliance institutions indicating that NASSP materials would be used with graduate students in their graduate programs, and not out in the field on a consulting basis. That was clearly understood and actually put into the agreement. I think that the agreement has not been breached and I don't see any reason why it should be. I feel that the integrity of our products has been pretty well maintained. I think that is because the people that are in the program have high integrity.

Flanary noted,

The kinds of requirements that were put on these universities in terms of becoming a part of this organization, were rather strict in terms of the commitments that had to be made from the president, the vice president, and universities. Someone hears there's money available and you get lots of takers, but the rubber meets the road in terms of being willing to make the commitment to do these things. Lots of them were not willing or were not able to deliver in terms of showing some commitment that they were able to fully participate.

Integrity of NASSP Materials

Some states such as Missouri have made attending assessment centers a mandatory part of the certification process. NASSP understandably held the materials used in the assessments under tight security. Concern existed about allowing the universities involved access to materials that until the development of the Alliance had been tightly controlled by NASSP.

Regarding these concerns Buckner admitted, We were very uptight at first about people finding out about the assessment process, finding out our secrets - the behaviors we look for are the secrets. We found that not to be as much of an issue as we thought. There exists some research that backs up the idea that people who come into assessment with some knowledge of what's being looked for actually hurt themselves, rather than help themselves. We look for something like 127 things and five are about all you are going to be able to remember. If you knew all 127 you would totally be confused and probably go to pieces with stress, extra stress, you put on yourself. Even if you know just five and focused on displaying those five behaviors, that's going to have a detrimental impact on the way you normally behave and probably, no matter how bad you are, the way you normally behave would be superior in terms of the assessment results to the way

you were when your were trying to adjust your behavior to make sure you did those things.

University Affiliation

Many common threads became evident as representatives from the four universities shared why they had desired to become a part of the Alliance effort and what they had hoped to gain from that affiliation. Ivan Muse related that his department at BYU wanted to join the Alliance,

to have an opportunity to network and interact with three other top universities and NASSP, to gain exposure and status necessary to impress the university administration that their department changes were relevant and on target with new ideas in school leadership, to improve faculty competence, to gain new ideas, and to share BYU program improvements.

Muse was contacted by Paul Hersey from NASSP asking whether the department at BYU might be interested. The idea was brought before the total faculty and 100% of the faculty wanted to participate.

In reflecting on why FSU wanted to be involved in the Alliance, Bob Stakenas indicated that his department had participated in the Danforth Professors program for two years and were getting excited about the idea of faculty development and curriculum. A visit by Donn Gresso and Paul Hersey further cemented the desire to be involved. According to Stakenas "it just seemed like a very natural

progression for us to continue our self-study" and also has provided a tremendous opportunity for faculty development.

He continued,

After being in Danforth's Cycle III, we felt committed to reforming our curriculum and, of course, our instruction.

We had been looking at current developments in leadership training in Florida, because Florida had just redone its certification procedures and standards. As we participated in Danforth Cycle III, our awareness was heightened in terms of how the whole field was looking at itself. We heard presentations by Scott Thompson from the National Policy Board. We had Terri Astuto from Virginia visit with us during one of the meetings of our local Cycle III activities. It was very clear to us that the field was in a state of ferment. It seemed very important to reform administrator training. When we saw the potential for this in the Alliance, we thought that this would be the way to go because we would have a chance to be exposed to new approaches to administrator training.

Joe (Beckham) understands that you have to have ownership for getting involved in major projects. I can remember his convening a core group of us including Bill Snyder, Judi Irvin, Hollie Thomas, and myself. Joe said, 'Well, what do you think? If we are invited

would you do it?' My response was that I thought we needed to put together a proposal whether we won or not. We had to do this to test whether we were ready to run with the big boys. It was a question of seeing whether or not we could be competitive as a department. Based on the input he received from his core group, the decision was made to go ahead.

According to Wayne Worner the decision to join the Alliance was not a decision quickly made or a simple decision to make. A discussion with Worner regarding how many of the staff were participants in the Alliance effort opened the door to the dilemmas faced by the Virginia Tech faculty as they attempted to decide whether joining the Alliance was the right move for their university at that point in time. Worner reflected,

Well, first of all I have a very difficult time sorting what we did initially with Danforth and now what we do as an Alliance member. Let me tell you also that we had a long discussion with Paul Hersey early on about whether we were going to participate in the Alliance Project. Having been identified as a potential member and after we read the initial proposal, I told Paul that I wasn't sure that what this project (National Alliance) was about was sufficiently valuable for us to make a commitment to it. Moreover, because in our initial preparation program our arrangements (in terms

of collaboration with participating school systems) were that no decisions would be made about any of our programs that were not made in consultation with the entire planning group. My dean didn't quite understand that, and I am not sure that Paul did either, but essentially what we said was that unless the entire group of people agreed that participation in the Alliance would be an important and reasonable next step from where we had been we would not have been a part of the Alliance. We used that same process when we agreed to take Danforth's money initially. We were already into a development of a program. We seriously considered whether or not the interest of Danforth and the original preparation program was convergent with our interests. We went through essentially the same set of discussions when the question came: Do you want to become a part of the Alliance team? That's the same context for the question of involvement and participation. I can't isolate the Alliance from anything that we are doing. Our commitment is to improve the quality of leadership programs, both initial training and advanced degree programs. We use our involvement with Danforth. We use the National Alliance. We use the Appalachian Lab connection. We use the State Department funding source. All of those, four or five, or six resources merged together

to achieve the objectives of program improvement. In response to your original question we had all of our faculty involved in one way or another with activities that we put under the Alliance umbrella. Not only the 15 people on our faculty, we have engaged about seven other people from other departments in training activities. We have at least 25 of our colleagues from public systems who have also been involved in training sessions. So, it's a massive kind of activity.

When asked after all the deliberation as to whether joining the Alliance would be the appropriate decision for his department, what it was that convinced the people at Virginia Tech to become an Alliance member, Worner responded,

First of all Paul came in as he did in the other institutions and made a presentation, talked about where we were and what we were doing and was very encouraging of our participation. I think, in part, it was because we had totally revised our curriculum before we ever heard of the National Alliance. First of all we don't have any courses. What we have is a seamless curriculum, but we have no courses that have existed in previous preparation programs. All of that was in place before we ever met about the National Alliance. So the question was what is this going to do for us and Paul made his pitch and we visited back and

forth.

Essentially what we were hearing was the interest of Danforth (through the National Alliance) to change the behavior of faculty members, the way they work with students, each other, and the way programs are carried out. We had already changed the way the faculty members operated because of the influence of our Assessment Center. We had seven people on our faculty who were already trained as assessors before the National Alliance. We had a local Assessment Center. All of our programs were field-based. We didn't have any existing courses, so what the Alliance had to offer was additional training activities for those members of our faculty who had not been trained in the original NASSP material, plus, the materials that were emerging. At the time we had a couple of people who had already been through *Leader 1-2-3* and a couple through *Springfield*. In terms of comparing us with the other three institutions, we probably were much further down the pike and had been much more exposed to what the Alliance was going to provide (NASSP protocols). Because we believed that our preparation activities need to be owned by and participated in by folks in the public school system, we saw the opportunity to involve them in training activities as being very useful to us - especially

since they wouldn't have to put up the four, five or six hundred dollars that would be required if our own Assessment Center offered the training.

It did create a little problem for us because all of a sudden we found ourselves (as an Alliance member) in competition with ourselves as an Assessment Center. Our Assessment Center by now had become a development center and academy which provides a whole range of programs and services, not just NASSP. The person who is our Assessment Center Director is also on our faculty. She made the observation that what we were doing was competing with her unfairly because we didn't charge anything for our training.

As a matter of fact when, on the back side of that initial meeting with Paul, he was suggesting that we were going to have to put up \$13,000 to \$15,000 a year of local money and given the fiscal condition in our state, I told him I did not think we were going to be part of the program. It was only after he was able to redesign the budget so that some real dollars would flow to us, that we really believed that it was worth our while. Another concern was the potential that the Alliance would take us in directions that were not consistent with where we wanted to go. And that possibility was another issue that we had to come to grips with. We eventually talked with the faculty and

our faculty looked at Dave (Parks) and me and said, 'What do you think we ought to do?' and we said, 'We think we ought to go under the new conditions.' We were able to negotiate those conditions. We also met with about 35 people from our collaborating school systems and laid it out exactly for them and asked for their input before we made that recommendation. Their position was that the revised proposal was acceptable.

When queried about his expression of initial concern regarding the possibility of the Alliance moving the department in a direction not planned for, Worner continued,

Well, first of all, I am supportive of the things that NASSP has done. As I said, I have been trained as an assessor, I've watched the assessment process, I have always believed that having that information was useful and important for people making personnel decisions. I stopped short, however, of saying that we ought to require a person to go through the Assessment Center as a precondition for certification of licensure. I think assessment is very important. I think having additional information is very important. So I am supportive, but not missionary. Given the kind of structure that I was aware of that had been laid on both the Assessment Center protocols and the assessor training, there's not very much room for debate

(flexibility) when you get into those processes. I guess my concern was that if we got into any of these other materials and the condition for using them was that you had to use them in precisely the way that they had been presented in the three days, to take three days to do it, to do it using a delivery system prescribed by NASSP - that was a little bit too much prescription. I had grown up as a public school administrator where we did learning packages and learning contracts. I had been through that 'by the number sort of thing'. I guess I wanted assurances that we were going to have the opportunity to pick and choose those materials and integrate them in ways that we thought would be both useful and appropriate to what we were already developing.

When asked whether the materials had proven useful thus far, Worner concluded,

Yes. First of all we would not have agreed to come aboard unless we had those assurances. I think what we are finding is the same thing we found with the Assessment Center. We find our behaviors changing and we find ourselves utilizing bits and pieces of the various activities, but we are not (in any case, at least so far), taking the entire package and implementing it without revision.

You don't go through a training session and then

at the end of the session say, 'Yeah, we ought to do that and then use this the fourth month of the second year'. I think there is a kind of a leavening effect if you will, for example, we've just gone through *Let's Talk* which is the oral communication workshop. In my judgement three days is entirely too much time to invest if you have people in your program that have worked on and developed good skills in terms of feedback, whether that be through *Coaching and Mentoring* or be through any of the other sessions. You don't need to reteach all of those things. So we do oral communication. We have always done some oral communication skill development in our program, but we now have some new examples and some new approaches. My guess is that it's going to take probably a period of two years before we find the ways that we want to integrate *Let's Talk* into our program. And in some ways I think Danforth is unrealistic in asking specifics about how you use the results of the training that you got last week. I think it's going to take some time. I think good programs continue to make those changes as time evolves. It's very formative and in our case because we do it with different groups of school divisions at every location, we essentially have to renegotiate, not only the curriculum, but the extent to which the university and then the local school

systems will take responsibilities for conducting the program.

When Charles Burkett, former chair of ETSU's Department of Educational Leadership and Policy Analysis, was asked why he had wanted his department to be a part of the Alliance he rocked back in his chair and stated,

There were several reasons. One was that I knew about Paul Hersey and his work. He had some of the only validated programs for administrator assessment in the country so I was interested in that. Secondly, being associated with certain institutions like Virginia Tech, Florida State, and Brigham Young and sharing with them is no small thing. Thirdly, it didn't hurt our reputation any being in the Alliance and being associated with those institutions. It really enhanced our reputation with our administration here on campus, too. Also, I saw the possibility of learning to use all of the developmental programs that we have done - *NASSP Assessment, Leader 1-2-3, Springfield, and Let's Talk*. Probably the most important thing was that it was something that we were doing together as a faculty and an opportunity for bringing in public school people and others to share in the experience. It pulled us together and enhanced the supportive culture that we fought so hard to achieve.

When asked how the decision was made to join the

Alliance Burkett responded,

We don't do anything without discussing it fully and arriving at a group consensus. Some faculty were excited about it and some were not so excited about it. As a matter of fact, one faculty member who is not here any longer, never did agree that we ought to do it, but once we decided to do it he chipped in and did his part. That's all right, if that's the way he felt. His concern was that someone else was making our agenda for us, rather than our making it. We had Paul Hersey come down and talk about the Alliance before we finally decided.

Key Players

Donn Gresso and Paul Hersey, Paul Hersey and Donn Gresso, Donn Gresso and Paul Hersey - these names were heard again and again as respondents answered the question regarding who were the key players initiating the Alliance project. Without exception all who were asked about the initiators of this project gave great credence to the importance of these two individuals in the conceptualization and creation of the National Alliance for Developing School Leaders.

Departmental leaders often included specific faculty members as being critical to the Alliance effort at their universities. At BYU the total department staff has been involved to a degree as has been the case at some of the

other universities. Muse cited in particular himself, Dennie Butterfield, Curtis VanAlfen, Del Wasden, Glen Ovard, and Rulon Garfield as being key players in the Alliance experience.

At Virginia Tech Wayne Worner and David Parks seemed to have spearheaded Alliance efforts while Bob Stakenas and Judith Irvin appeared to be carrying the torch at FSU. Charles Burkett noted that every member of the ETSU faculty had been involved throughout the Alliance effort.

Change for the Sake of.... Hardly

Prior to joining the Alliance the faculty of BYU examined the work of the school administrator and the needs of their interns. According to Muse they felt the Alliance would:

- provide simulations/activities that would place the interns in problem solving situations,
- provide an opportunity for the faculty to observe the interns in a judgement situation that would assist in determining strengths and weaknesses, and
- bring the faculty up-to-date on new material in teaching essential administrator skills and traits.

Other universities, too, closely examined the ramifications of Alliance participation prior to becoming members. Concern was expressed as to whether the Alliance would lead the departments in a direction different from where they were previously heading.

Resultant Changes at Participating Universities

Paul Hersey expounded,

When I reflect on the Alliance, what I am most proud of is the amount of progress we have made in a short period of time. We took a half a year to develop a strategic plan, but in terms of actual work on the job on the site work we have only had about a year and a half work and I think monumental changes have occurred. East Tennessee State University and Florida State University are examples of where they have absolutely turned upside down what they were doing and have created a whole new program for graduate study. It's a program of graduate study, it's not just courses. I am proud of that. I think secondarily I am really proud of the way the faculty has taken to the retraining. They are eager to learn how to teach more effectively. Instead of lecturing they are really interested in learning how use simulations, exercises, practicums, and internships and that was heartening.

Kermit Buckner who serves as NASSP facilitator for ETSU shared his thoughts on changes observed at ETSU.

I think the faculty at ETSU was strong and doing a lot of neat things prior to getting involved with the Alliance. I do think the Alliance has had an impact in terms of the way classes are taught. I know I have been in several classes as a speaker or guest and I

have seen some changes. In talking with students and professors, I assumed there were changes because they told me there were changes - that we've never done this before. I think they are really doing what our goal was - to bring some practical application to the classroom - actually let students try things. Students are working with portfolios and assessments. A lot of that, I think, is a result of being involved with the Alliance. I don't know whether or not this would have occurred if ETSU had not been involved with the Alliance because we don't have a control group. You cannot clone the faculty and university and move it twenty miles down the road to see what would have happened without an Alliance.

I see lots of things happening over the past two years which have been totally different than what has gone on in the past, very much so - changes in the teaching method, changes in the way students are evaluated, and changes in the particular cohorts in which the experimental programs have been run. I have been told that changes have been made in classes not originally designated as experimental classes because students in the traditional classes were upset because they were not getting to do some of things that the students in the experimental classes were doing. Virginia Tech's NASSP facilitator, Dick Flanary

pondered the changes that have occurred at Virginia Tech and noted, "I think the Alliance has given Virginia Tech more resources to carry on their efforts and has provided them a broader network."

When asked about changes or shifting emphases that had occurred at BYU, Ivan Muse responded,

We have a fairly unique program in place that has created considerable change already. I think we are more aware now of other programs and consider adding the best part of other training efforts to make our program better.

ETSU's Burkett was not at all hesitant in his response regarding changes resulting from Alliance affiliation. He stated emphatically,

The Alliance affiliation has had an impact on everyone in the department. All are using some of the developmental materials and ideas that we get from NASSP. We are more aware of options and are using more methods now. Some of the people who were prone to lecture, just lecture, are now doing a lot of other activities. I think everyone sees the Alliance affiliation as a positive affiliation. It's turned out probably better than anyone could have expected.

As a result of the Alliance affiliation, faculty responsibilities have changed a lot. All faculty were responsible for going through all developmental

programs presented and then doing the necessary follow-up with other participants primarily public school administrators. Other responsibilities have resulted from our Alliance efforts. For example, Dr. Russell West who has been involved extensively in the interviewing process, was sent to Nebraska for additional training through Selection Research, Inc. which is not a part of the NASSP program, but I do not think we would have sent him for the specialized training if it had not been for the Alliance.

Peter Wilson of the Danforth Foundation had the following comments regarding changes resulting from the Alliance effort:

Individual institutions have experienced change in that the Alliance has helped faculty to look at methods and content so there probably is more interactive instruction specifically using NASSP developmental programs. I do not think that this has been consistent across institutions. But, that is to be expected because the universities had four quite different trainers and are each very different organizations and cultures.

Curriculum Changes

When asked how and if the external funding had influenced curriculum changes Stakenas of FSU replied, We have not achieved deep impact with every faculty

member. But a handful of us are really taking seriously how to implement the Alliance training in our courses. It's just amazing. The more I work with it, the more potential I see. Joe [Beckham] has also encouraged us to focus on related courses and see if we can update the contents, maybe merge some courses into one. I see a reform agenda that has some nice momentum now. Of course when you start the reform process you wonder if it's going to continue. We had one retirement last year. We are going to have two retirements at the end of this year. Hopefully we will get a chance to get a replacement or two. I think we are poised for the reform and the momentum to keep it going.

On a more personal level, teaching has always been fun for me. I have always tried to do it a little differently each time in order to maintain my own interest. I really enjoy observing the role plays and getting to work more closely with the students to develop individual development plans and helping them make decisions on what they need to work on. Yes, I am enjoying using performance-based learning techniques to help students learn leadership skills.

The excitement for me is not just what I do in my classes. There is excitement in working with faculty who are willing to take an in-depth look at the

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curriculum. We have revised our masters, specialist, EdD, and PhD curriculum guides. Curriculum revision always leads to a stimulating discussion. Nothing is more stimulating than talking about what you ought to be doing educationally.

The fact that we in Florida are committed to 19 principal's competencies really set the stage for buying into NASSP's developmental approach. The question was "How can we become competency-based and pull it off?" Most of the professors are accustomed to lecturing. Frankly, I am not that good at lecturing. I can do pretty good lecturettes for a few minutes. If I had to do it hour after hour everyone would become bored including myself. I am always looking for alternative ways to help students learn. In performance-based learning the idea is to make it clear that students are responsible for learning. I'll provide the input that students need, but they have to get off the dime and get moving to achieve the learning. What I am really saying here is that the Alliance materials help create a set of learning experiences that fit nicely within my own teaching style.

When asked whether the changes at FSU resulted from the Florida competencies or the Alliance, Stakenas answered, I think they come from both. Let me give you one

example. Before we got involved in the Alliance, we had an off-campus specialists program, the Educational Leadership Consortium. Bill Snyder and an adjunct faculty member named Ronnie Green were active in initiating that program. To start it off they developed an assessment course very much consistent with the NASSP Center's assessment concept, but not nearly as sophisticated. The whole idea was that at the beginning the students should be assessed to make sure that they still wanted to go on to earn a degree in educational administration. They needed to learn more about themselves and what their strengths and weaknesses were. Judi Irvin was assigned the task of teaching that course after we ran out of funds to keep Ronnie Green as an adjunct professor. Getting involved in the Alliance was terrific for Judi because that gave her a set of concepts and a set of resources that helped to upgrade the assessment course.

For example, after Assessor Training Judi said that we needed to have the students do an in-basket. She called Paul and said, 'Paul, do you have an alternative in-basket that you could let me use with students in the assessment course?' Sure enough Paul came up with one. As another example, I wanted to get materials to help students practice delegation skills, and again Paul came up with some. The important thing

has been seeing new ways to do things, but not having the time to invent the materials needed. Paul usually had something sitting back at Reston that he was willing to let us use so long as we don't make dozens of copies and let them float around in our region. We have retrieved all NASSP materials used with students.

The external support was critical. It's very hard for someone inside to show others how to do something new. It's like you are not a prophet in your own country. When people like Paul Hersey, Lenor Hersey, Neal Nickerson, or Kermit Buckner come and conduct a well-organized and effective learning experience, they have impact. It's not someone in the department having to convince everyone else. Experiences shared in common are important. After assessor training, when you say problem analysis, the chances are pretty good that everyone has at least a general idea of what that means.

Without having the funds to bring in the NASSP training events, I don't see how we could have made much headway at all. You might have a little progress made by one faculty member, but it is not likely that one faculty member will have much influence on anyone else. I guess I am coming to the conclusion that everyone in the department has to be exposed to the same events so they've got a common base of experience

for talking about things.

Ivan Muse in contemplating how the external funding had impacted BYU's curriculum indicated,

To this point we are still in the process of looking at the NASSP programs. We haven't investigated or experienced all the programs at this point. As we look at each program that we take and by program I am referring to the NASSP workshops such as *Coaching* and *Springfield* we have determined how we want to use those in our program. At this point we are thinking about using many of them with our students.

We have been helped considerably by the NASSP staff. Our efforts have been noticed by the Utah Principals Academy. They have called us on a number of occasions asking if they should purchase a particular NASSP program.

Impact on Students and Faculty

When asked how students had responded to the Alliance project, Paul Hersey noted,

The student response has been varied. Where students have been intricately involved in the work, as has been the case at ETSU, there is a lot of enthusiasm. Students see professors differently. They see them as people who learn with them.

In institutions where the students have not been as directly involved the response varies. After

examining the evaluation that Neal Schmidt has done at Michigan State, it is pretty clear that a Hawthorne effect is occurring. The students like the new approach. They like to learn with their professors and like the use of simulations and role plays.

Burkett agreed that being a part of the Alliance has strongly influenced faculty-student relationships at ETSU. He shared,

There's been more interaction in the classroom - less lecturing. In our developmental experiences, you would see that we call each other by first name and treat one another as equals.

The Alliance has resulted in more interaction between faculty and public school administrators. It has done a lot for us in our relationships and respect from the public school people.

Feedback from participants in the developmental programs was positive. We also gained a commitment from them that they would help if we needed help when we were using the NASSP materials or doing any of the developmental activities. I think they were flattered to be asked in most cases and I don't think they were disappointed in anything they got, so that helped us a lot. They shared their positive comments with their superintendents so we got a lot of mileage out of the experience that way.

One of the desires expressed by Alliance members regarded having the opportunity to visit other Alliance institutions to talk with faculty and students to learn how other institutions were using NASSP materials and see firsthand the changes that were being attempted. When Alliance members visited ETSU, they were given the opportunity to listen to presentations by faculty and students and to ask questions of both regarding their experiences. The sentiments expressed by two ETSU students encapsulated what has happened within their graduate studies program in a manner that defies quantification. At this meeting of the Alliance members, these graduate students, Mata Banks and Erica Dalton (1993), endeavored to contrast "what was" with "what is" as they reflected on the changes that have occurred within the Department of Educational Leadership and Policy Analysis. In describing "what was" the students wrote:

East Tennessee State's University Leadership Program was long lines of students who were strangers to each other's experiences...Students trying to enter a classroom limited by four mint green walls...Students always looking to professors for answers to questions and sometimes even for questions...Books being liken unto support beams distressed with a heavy burden...Professors who demonstrated an omnipotent leadership behind a tall and imposing podium...

Records bearing the marks of numerical judgments (all too often imposed from somewhere else on campus for the purpose of having "neat" accounts)...In short, the kind of program that most students would discover during the prior decades that established this type of process or system as "educational".

As Banks and Dalton addressed "what is" the contrast was quite striking. The educational experiences now provided to ELPA students were described by the following sentiments:

East Tennessee State's Educational Leadership Program is (comprised of) cohorts lending strength to an individual...Classrooms opening outward, without boundary, into the world...Students asking questions of the journey toward self-discovery of an answer and not from an idol...Experiences being richly shared which support and appear as reference manuals or materials to those that seek improvement or reinforcement...Mentors removing the barriers of educational gods and empowering other humans with the knowledge that while mentors are not perfect and may exist with feet of clay; mentors are also human and approachable... Reflections mirroring the improvements and documenting for evidence (for those who are resistant to change) the evolution of a leader. WHAT WAS - Was the education of a student. WHAT IS - Is the education

of a leader.

Information such as this and the in-depth study conducted by Linda Ward at Florida State University gives a very different kind of insight into the impact of a program on participants than does a formalized evaluation based on quantifications. One would expect similar insights to occur as faculty visit other Alliance universities and have the opportunity to hear the personal experiences of students and faculties regarding change efforts. Such personalization of information allows others to understand not just how programs are changed, but how people are changed.

In response to whether interactions between faculty had changed as a result of the Alliance Burkett replied,

I don't know. Knowing our faculty and the direction they were going it probably speeded things a little bit, but I have a feeling that our faculty would be hard to slow down. I think the Alliance helped, but the faculty was already going to move. Many of the major plans for the future of our department were developed before we ever got involved in the Alliance.

The Alliance fitted into those plans perfectly. We became involved in the Danforth Principal Preparation Program and the Alliance followed. That is how we became more closely acquainted with Donn Gresso and that experience led us logically to hiring him. Burkett noted that the department's visibility had been

increased as a result of the Alliance. According to the former chair,

You can be the best in the world but if nobody knows it your influence may be small. The Alliance helped us to get better, but it also helped us to be known. It created respect and with respect came an invitation to provide leadership.

A unique perspective was that of Donn Gresso who had conceptualized the Alliance and then joined the faculty of one of the universities selected for participation. When asked if he had changed his mind about what was needed by professors after being a member of the professoriate, he stated quietly but firmly,

No, I haven't changed my mind. I still believe the premise on which the grant was made - that we need to influence professors, pedagogy, and the way we operate within universities. What I have gained is a heightened perspective about how much is needed and I am operating in circles with people who are wanting to make changes. Through our discussions about how much better we would like to be I have remained convinced of our need for this type of development.

The most positive result of the Alliance noted by Gresso has been the "unification of the faculty and the commitment to participation in a professional development program". He expressed his pleasure at being able to share

with students and administrators approaches to solving problems and also valued the importance of the opportunity for students, practicing administrators, and faculty to have the opportunity to both practice skills needed and dialogue about current educational issues. The foundation administrator turned professor also noted the value of having the opportunity to present at national programs, publish articles regarding efforts, and impact future developmental programs. Gresso indicated that after piloting *Initiatives* at ETSU, NASSP rewrote the entire program to include a vertical team as a result of the feedback received from the participants.

When asked what he had gained personally from the Alliance endeavor, Gresso noted,

My mission in being a professor is to try to bring about change from within so I have benefited from the satisfaction of being in on stimulating conversations and perhaps having asked some questions that have brought about reflection by others regarding what we are doing.

Muse of BYU in reflecting on the changes for students and faculty related,

The Alliance has broadened our perspective. We think that it is important to break the traditional mold and become more relevant and meaningful in our program efforts.

The students who have been through the NASSP programs have certainly gained a better understanding of the role of the school leader. In particular, they perceive now that particular leadership qualities are essential in running the school. The ideas of decision making, judgement, sensitivity, leadership, etc. have new meanings for them. As a faculty we are also more aware of these traits and our need to emphasize them in program content.

The collaboration with the other Alliance universities has influenced BYU very much in a positive manner. We have established warm relationships with talented professionals who are moving aggressively to improve their preparation efforts. We feel honored to be a part of the Alliance. Our goal is to keep up with the others in building a strong program. We do not have a lock on new ideas. The other universities have developed some unique ideas that can assist us as we plan our improvements. The Alliance affiliation has allowed networking with other universities, finding out what they are doing, and improving our program in every way possible.

Stakenas of FSU saw gains for both faculty and students at his institution. He related,

I think the faculty have gained from the Alliance because they have been introduced to performance-based

learning models and materials. That can't help but have a good spin off in terms of student competence development. There is not a lot of competence if students are "talked at" most of the time. As the students experience this, I think they are going to have a subtle impact on faculty who don't do performance-based learning. But after the initial enthusiasm now, without the training event this fall, I think there are only about two of us who are still trying to carry the flag and expand use of the applications.

Regarding changes that have occurred at Virginia Tech Worner noted,

Well, I don't know if the students even know that there's an Alliance. We don't spend a lot of time on that. I think faculty members have clearly gained by having access to the training, the materials, and the protocols made available to us through the Alliance. I think students gain as a result of that in our programs are better. They are more comprehensive. They are more coherent and in particular I think the emphasis coming from the Alliance is much more on scenarios/case studies as opposed to stand-up lecture.

Grosso was asked what he would do differently if he were going to design the Alliance initiative after having learned from the experiences of this Alliance. He

responded,

I would have more detailed, intensive meetings with NASSP to guide decisions about how professors and their departments would be influenced. I also would have wanted to have more say about who would be the primary NASSP facilitators to the universities. I would have included in the grant provisions a broader spectrum of resources for consultants. I would try to structure a commitment on the part of the departments to try to achieve certain things. For the evaluation I would have both formative and summative so changes could be made midcourse.

The Other Side of the Coin

When people and/or organizations attempt to work in concert usually all of those involved are affected as a result of their new efforts. It would seem reasonable that if the university faculties were experiencing change and learning as a result of their Alliance efforts perhaps those at the national level were learning and changing as well.

When Paul Hersey was asked how NASSP had changed (the thrust, the emphasis, the thinking) as a result of the Alliance effort, he responded,

As a result of the Alliance experience, we certainly have a better knowledge of how to work with a very complicated organization - the university structure. We are much more adept at doing that now. We know

the things that must be done in order to make things move and change in an institution. We have learned a good bit about how to break our training modules down in such a way that they can be used effectively. I think we have just learned a lot about dealing with a very complicated administrative structure.

Another NASSP employee, Kermit Buckner, stated, I think the Alliance has changed our attitudes about professors. We had worked with professors in the assessment and development process and had a stereotype of professors resulting from working with some difficult individuals. I think we have all grown to respect not only the individuals who are professors, but also some of the difficulties involved with being a professor, some of the challenges that exist in higher education, and some of the restraints that exist. It's been a learning process for us in terms of all those things.

NASSP's Lenor Hersey spoke in terms of what they hoped they could learn from their work with the universities. She related,

We are hoping that we could show some models for different ways of working with students. One of our key objectives is to get faculty to think differently about their role as a teacher and realize that there are more effective ways to help the potential masters

level principal candidate develop than just the lecture method. Our key interest was to help in the professional development of faculty. We felt this was an area in which we had a great deal of experience and expertise. If you can get faculty to change, then you can change the program. Unless you can get the faculty to be open or receptive to your ways of thinking and acting and being able to let themselves be vulnerable then you are not going to make a difference in the university program.

While not attributing the changes to the Alliance, Wilson indicated that changes had occurred at Danforth. According to Wilson,

Danforth is broadening its focus to include more of a leadership focus that includes not only the principalship but also teacher leadership. We have now a five year program to work with superintendents on leadership development. We are also looking at work in interprofessional training related to leadership development in the entire area of school linked integrated services.

Areas Neglected

New ventures usually call for increased energy and time. When asked whether the attention given to Alliance issues and endeavors has caused other areas to be neglected, Burkett honestly admitted that some things had been

neglected at ETSU. He noted,

The Alliance mostly centered on principal preparation and we were almost completely neglecting superintendents and supervisors. We are now working on experiences for superintendents, but still are not doing a lot for supervisors, however, there are some carry overs for those groups.

The benefits for those groups accrued indirectly. Students from each of these groups participated with us in developmental programs and have gained from the changes implemented in the classroom by the faculty as a result of their Alliance experiences.

FSU's Stakenas found the energy spent on Alliance activities created side effects that were quite positive. He contended,

I don't think the energy put into the Alliance has caused areas to be neglected. I think if anything, the energy that has been created has helped to fill some gaps. Let me talk about *Mentoring and Coaching*. When Judi does the Assessment Course, every student has an assigned mentor. It doesn't have to be someone on the faculty. This term I think she's got twenty students and we don't have that many faculty, so she has to find mentors in other places. Each student has to have three mentor interviews. Of course, that makes work for everybody. Everybody is willing to do it because

this is an important activity for students to go through and for the faculty to help students clarify their career objectives. Mentoring is something we all received the training on. When Judi says, 'Hey, Y'all I am going to schedule a protege for you' I hear nary a squawk. Everyone understands why it is important and how to do it.

Disappointments and Unanticipated Effects

Paul Hersey indicated that he had been extremely disappointed by a situation that developed that was totally beyond anyone's control.

An unexpected difficulty resulted from the fact that our economy got into this horrible turndown situation. In our original plan with each institution, they were to have put in around seventeen thousand dollars per year into this project, which would have gone to site cost, to evaluation, and other things. We had to pull back on that because in some cases the institution simply did not have a penny to put into the project. It all had to come out of either the foundation or out of NASSP. That has been disappointing. I am hoping as the economy comes back, money from the local institution can be put into this project. To be a full fledged partner, I think everybody has to contribute.

Wilson of Danforth agreed in the necessity of partnerships in efforts like the Alliance. He contended,

This effort was not a true partnership. I think NASSP came in with a fairly pejorative view of universities instead of looking toward a real mutual partnership. I don't think that mutual learning and mutual reform was part of the intention. I think it would have been a healthier and much stronger partnership from the beginning if that had been the intent.

NASSP was setting the agendas for the annual meetings and they were not doing so in a collaborative way. The universities were wanting more interuniversity dialogue, but were not getting it. I would have liked to have seen a much more collaborative relationship.

Disappointment that the participation within individual departments had not been as widespread as hoped was expressed by Gresso who also indicated a disappointment with the degree of incorporation of materials.

Side effects of the Alliance effort mentioned by Buckner were positive in nature. He responded,

One offspin from the Alliance is that NASSP's new program called *Initiatives* which is a development program to teach the skills of bringing innovation into a school or school system is going to be piloted at ETSU. We will be looking at what happens - how it works. We are particularly interested in seeing how university professors fit into this model. We feel

that in the future universities are going to be very much involved in initiatives, new programs, and the change process happening in the schools.

I think all four of us at NASSP have been surprised that it's gone as well as it has. I think we went in with a mind set that we would be working with a bunch of stubborn, egotistical higher ed types who would look down their noses at us - who would say 'That's nice' and pass it on. It hasn't happened. I think that's been a real surprise to us.

From my perspective, this is a very, very difficult thing to consider trying and up to this point things have gone much better than anyone expected them to have gone. At the same time, it's been different everywhere, but positive everywhere. There are a lot of factors playing to change higher education in terms of preparing teachers and administrators so we won't know exactly what did it. If they do change then perhaps we can look at this process and trace back some roots and see that the Alliance had some part in changing it.

The Alliance experience has completely opened my eyes as to what happens at the university level, in terms of what professors do. I had one time thought that was what I might want to do at some point in my life so it has been helpful for me to see exactly how

it is. It has been a beneficial experience for me in seeing it up closely without actually having to do it. It's kind of scary, so that's been very helpful to me. Burkett attributed an increase in requests for departmental services to the Alliance. He proudly stated, The Alliance has enhanced our service, because it enhanced our reputation. We have more demands for our services now. It certainly enhanced our writing and publication efforts. In most cases departments set professors up to compete with one another at the expense of cooperation, because those who get the publications, research, or whatever get the promotions and raises. The cooperative effort brought about by experiences like the Alliance gives everybody opportunities - it's kind of like having your cake and eating it, too.

Now people around the country sometimes recognize my name. They certainly recognize the department's name and lot of faculty member's names. That gives people a lot of pride. Also people are coming to visit. This is something I think I have always known since I have been in this business - if you want to develop a program you've got to get something worth people coming to visit. When that happens, as a matter of pride teachers start doing things that are expected of them.

Burkett pointed to ETSU's NASSP facilitator, Kermit Buckner, as being critical to many of the positive experiences at ETSU. The former chair mentioned the fact that Buckner possessed the technical skills, the leadership skills, and the energy and enthusiasm needed to facilitate and energize the change process. Also, Buckner's continued availability and willingness to attend classes, teach classes (thereby entering the trenches), facilitate departmental endeavors, and attend events such as departmental retreats made him an integral part of departmental efforts and a true contributor rather than a peripheral influence.

Burkett also mentioned that if the decision were his to make again he would still elect to become a part of the Alliance. He noted that many positives had occurred as a result of association with NASSP and the other Alliance partners and indicated that a project such as this gives a department an excuse to improve. He stated, "You are a member of an Alliance that is nationally recognized so you are supposed to improve!"

Stakenas, too, when questioned about side effects of the effort indicated an expansion of horizons as he shared, The Alliance has helped us to see new potentials. Some of us are very much in favor of moving toward a developmental model. After getting the assessment training and being an assessor last summer, I am

convinced that the best use of the assessment center is not for selection, but for development. I think that using the NASSP materials is useful for helping students assess where they are. The learning materials are useful for helping students acquire the skills that they need to learn.

Danforth's Peter Wilson was queried regarding what had not happened with the Alliance that had been hoped for. He responded,

The impact was not as great across the sites as we had hoped. A good formative evaluation would have helped raise key issues particularly regarding institutionalization, pushing agendas, the incentive system at universities, and a real understanding of the change process within universities. I think that would have involved NASSP in a way that they were not involved. I think this represented a very different kind of effort than they were used to. I'm not sure NASSP saw this as a learning opportunity for them - particularly in how to work flexibly in partnership with others.

One-and-a-half Million Dollars

Burkett noted that mistakes had been made with this as with most ambitious endeavors. He mentioned that an NASSP publication announced that they had received a five year grant from the Danforth Foundation to fund the National

Alliance. According to Burkett the Danforth Foundation just doesn't routinely give grants of the magnitude mentioned. The sum mentioned was accurate if all five years were subsequently funded, however, a portion of the money was to be granted incrementally year by year over a five year period. Burkett noted that the way the announcement had been made had created some tensions that could have been averted.

The announcement referred to by Burkett appeared in NASSP's News Leader under the headline *NASSP Undertakes \$1.6 Million Project*. According to this article NASSP, four universities, and the Danforth Foundation

will initiate a five-year project to establish a National Alliance for Developing School Leaders. The \$1.6 million project will be funded through a five-year grant of \$837,726 from the Danforth Foundation, and a contribution of nearly \$375,000 from Brigham Young University, Virginia Tech, East Tennessee State, and Florida State University. NASSP will supply the additional funds and the overall project facilitation. Gresso's personal correspondence to the universities regarding the funding of the Alliance related,

Funding for the first year of the program has been secured by NASSP from the Danforth Foundation. Funding for each of the next four years will be sought by NASSP representatives through the Danforth Foundation and

other funders interested in the preparation of principals.

The difference in the messages conveyed would seem to indicate that the key players in such an endeavor should discuss specifically what, how, and by whom information regarding joint projects should be conveyed, particularly on matters as sensitive as funding issues.

Burkett also expressed a belief that the chairs should have been involved in the writing and presentation of the continuation proposal. He indicated that the chairs had almost no input at a time when they should have been together on the effort.

Surprises

Even in well-planned projects surprises often arise. When asked to relate any surprises associated with the Alliance project, Flanary remarked,

I have been pleasantly surprised with what is happening. Having worked at a university in an assessment center for four years, I had the view shared by many practitioners toward the universities that my preparation program was O.K. but the real training was baptism by fire. I had always thought the bureaucracy of a large school system was something, but the bureaucracy of a school system can't compare to that of a university.

I did an assessor training at Florida State. It

is a tough, intense training. We had primarily professors there, but also public school people from the surrounding school district in Tallahassee. Joe Beckham, the department head was there. None of us wants to fall on our face in front of our peers or those out in the field so this was an interesting situation. The people at Florida State say that a year or two ago this wouldn't have happened. First, the professors would not have been willing to put themselves in a risk situation like that to perform where it quickly becomes apparent who is doing what and who can and who can't.

One of the surprises for Paul Hersey was the responses of "seasoned" faculty to the Alliance project. He related, I guess my biggest surprise is that there is such an eagerness on the part of the faculty to want to do this work - to spend time in learning to teach more effectively even at older ages. People who are senior faculty members seem to get as much out of this as others do. It's sort of been a renewal process for them. That has surprised me. I thought that I would meet with tremendous resistance on the part of some of the older faculty members, because after all they have done their teaching the same way for a long time. I didn't find that. In all cases I have found an eagerness to want to learn different ways to teach and

be more effective.

Virginia Tech's Worner expressed a similar sentiment.

Worner asserted,

I think the remarkable thing (and this has been reflected in our continuing work with the Alliance) is that we have had nobody on our faculty oppose the work that we have been involved with.

Evaluation

When asked how the national organizations involved could have been more responsive to Virginia Tech's needs, Worner stated,

I don't know. I haven't thought about that. One of the problems with Danforth running a large organization as it is - as the leadership changes the focus on projects and ownerships for different projects changes. I think the Alliance is in the middle of a dilemma as a result of that. The people who are now responsible for approving funding and supporting programs are not the same people who approved the National Alliance. As a consequence you don't have the understanding and the support there. I think that's bothersome to have to worry about whether it's going to continue or not. Bothersome for everybody. I think that people who do provide those resources have to recognize that there's not a "day after effect". That's a major concern at this point. Some of the people at Danforth are looking

for specific cause and effect relationships. I don't think that effect is going to show up for two years in many cases so the evaluation requirements have complicated our world.

When asked about the formal evaluation provided regarding the Alliance experience, Burkett indicated that the evaluation in question seemed to be more an "evaluation of materials, not the Alliance operation. It should have been a process evaluation not a product evaluation."

Burkett noted that a graduate student had done an evaluation of the Florida program that was liked by the folks at Danforth and continued,

That was the first that we knew that there needed to be that kind of evaluation. If that type of information was needed they should have said so. We gave reports at the national meetings which we thought were the needed evaluations, but that evidently was not what they wanted.

Burkett stressed the need for clarity on what is to be evaluated and the type of information desired. He noted the need for specific objectives and persons responsible for achieving those objectives so that each institution could have an internal evaluator who could routinely collect the needed data.

Danforth's Wilson noted,

To some extent the Alliance was caught in a transition

because we had not done much with evaluation of projects and did not know much about evaluation. One result was that in the initial proposal and even the second year proposal there was not an adequate evaluation plan. We didn't really catch that so the first major evaluation which was done by an outside person was of almost no value from our perspective. I think the problem was that what NASSP hoped to get from the outside evaluation and what we hoped to get was not resolved. The outside evaluation did not answer the kinds of questions that we thought were important. The methodologies were not relevant to the kinds of questions we wanted answered. That was very unfortunate. As a result we are not learning some of what we might have learned.

We had assumed that each of the institutions would have involved doctoral students in taking a closer look at what was happening within their institutions. We thought that the universities would coordinate that kind of effort - that they would develop a master plan for evaluation that faculty and doctoral students would carry out. Instead it has been much more unplanned so I am delighted that you are doing the work that you are doing. The piece from Florida was very good. It was very useful. If that kind of work had been done at each site and even across sites it would have been very

beneficial. Such an effort should have begun early so that we could have had some baseline data. The fact that such efforts did not occur was a disappointment to us - that the universities did not take it on themselves to make it happen. There was not the consistent, thorough type of evaluation effort that we had hoped for.

When asked whether dialogue had occurred between the people at Danforth and the people at NASSP regarding the kinds of evaluative information wanted by Danforth, Wilson stated,

We went around quite a bit before the outside evaluation. I thought we had some clear understandings. I was pretty surprised at what we got. That may be partly due to our inexperience in dealing with evaluations. I really don't know and don't think there is any way to capture that. Clearly, there was not enough communication. Gresso agreed with others about the need for evaluation. He indicated that a need existed to try to quantify the amount of change that professors have made individually and within departments. He also noted a need to utilize outside evaluation and a need to look longitudinally at the results that have yet to occur.

A change occurred in the requirement by Danforth for an evaluation component as a part of each grant. When asked

about this change, Gresso indicated,

There was not originally a requirement for evaluation. With a change in leadership in the foundation evaluation became a component. Danforth's philosophy in the past had been that if you give a grant to a university that is already in the business of research, why would you use scarce funds to fund research that is already a part of the recipient's job when they are best equipped to do that. It has been my experience, however, that even when encouraged to do so, departments and individuals are resistant.

Definition of Success

Burkett's response to what would determine whether the Alliance had been a success was simple - "What happens to our students". He then elaborated,

...whether they are better prepared to provide leadership, rather than just being managers. It depends on whether those we are producing now are better leaders. It looks like our current graduates are more in demand than the ones we were producing, but I guess we all have to see whether they are better leaders.

Muse noted,

In the final analysis each institution will make the decision as to whether the Alliance has been a success. Our students speak highly of their experiences and feel

that the workshops have helped them to better understand themselves and the functioning of the school leader. As a faculty we are more able to appreciate the value of simulations and case studies as a part of learning.

Worner thought the Alliance effort would have been a success "if, in fact, the behaviors of faculty members in the four participating institutions as a whole and the way the programs are designed and delivered are significantly different and significantly better".

After considering whether the Alliance has been a successful effort Buckner noted,

Hundreds of things have been learned from the Alliance process about which I know only a few. I think different things have been learned at different institutions. For example, at BYU they have learned a lot of new things about what needs to go into a mentoring program. Faculty at ETSU have learned both things that will or will not work regarding how to change programs to meet student and school needs. I think the jury is still out on a lot of things. I don't think we have come close to finishing yet. The true test of whether this has been worth all the effort and money is going to be not what is going on right now or even two years from now. The true test is going to be what is going on ten years from now.

We hope mini-alliances will be formed by other universities with the four original Alliance members so there can be some ripple effects and that other universities will benefit from some of the things we have learned during this period of the Alliance.

According to Lenor Hersey,

We can determine success by looking at each of the institutions and seeing what has happened to their programs. In the broader sense, it can be determined by whether we are able to get the message out there and to get other institutions to follow the path. It's happening already. However, I think ultimately somebody is going to have to do something really drastic to shake up how we prepare administrators. We also need to look at the teacher preparation programs. I think that when you are so bound by the traditional educational system in a world that is changing so fast and with needs so great, we have got to find a way to get out from under that. If we don't do it, it's going to be done for us.

Regarding the determination as to whether the Alliance had been a success, Flanary stated,

We have to produce in terms of this project. The first person that goes out into the principalship and says to colleagues or teachers that this program allowed me to be better prepared for the kinds of things I am doing

on the job is all we need to hear in terms of the reinforcement of what we need to learn. We need not reiterate and prove there are better ways of preparing principals. I think that's what we want. I think we are learning that and that there is more than one way to do that. What we are going to learn from this project is that there are multiple methods and approaches for preparing principals.

When queried whether the project that he had helped to create would be considered a success, Paul Hersey paused a moment and then responded,

There are some tangible evidences of change. That is the curriculum offered, how it's offered, and the different processes that the professors are using to ignite the interest of students. That's very evident to us. I expect the bottom line, however, is how the students feel. If they go through the program and feel that they are better prepared, that in fact concept and practice have been fused effectively, and that they don't meet a problem for the first time when they walk into their school assignment because they have already met it in the clinical laboratory in the university - if that's the case, then I think we have succeeded to a great extent. That will be the bottom line - how the students are affected.

Suggestions for Improvement

When the university people were asked how the Alliance could have better met their needs, their responses were strikingly similar.

Stakenas from FSU stated,

I would like to see us visit each other's places. It's one thing to hear reports and even when people show videotapes and slides, but it's not the same as really being there and getting a chance to see what faculty are doing with their students and how the students are reacting.

Muse agreed with Stakenas regarding the need to visit other campuses. He felt participants should visit each university site and interact with the faculty. "The trip to ETSU has been tremendous! They are a close knit group who act in concert to move and improve their program." He also felt the need to "encourage flexibility on the part of NASSP. More time needs to be allotted to how workshops can be modified to fit unique universities."

Worner's response resoundingly echoed that of his colleagues when he stated,

I have suggested a couple of times that the meetings ought to be held on a rotating basis at the different institutions. I think part of what we are about is sharing. When people come to a meeting with a presentation to make a talk about how it works, that's

a different thing than having people on your campus and letting them talk to people who are involved with it and watching and seeing how well it works. I would have much preferred that over the course of the four or five years that we were to meet, that we would have had meetings, at each of the sites.

Burkett, too, discussed site visits when asked about desired changes and also expressed the need for ongoing dialogue. He noted,

Our national meetings were pretty much dominated and we are now trying to deal with that. Those could have been much more productive. We had people reporting at the Reston meeting who didn't have much to do with the Alliance. We also have not done as much sharing as we would have liked. We are trying to correct that this year. We are now making plans to visit each others' campuses and are trying to share more information.

While the Alliance has done a lot for us individually, we have not had the sharing that I would have liked to have seen especially with our carrying the title of an Alliance.

The Future

With the request for continued funding having been initially denied and subsequently funded for one year rather than the two years originally planned, participants expressed concern about the future of the Alliance effort.

When asked why the plan for funding had been changed Paul Hersey responded,

I do not have a good answer to why Danforth elected not to continue funding as originally planned. It is possible that their objectives in funding have changed. They have had a turn over in their management. I cannot accept the fact that they do not realize there has been great progress made. The institutions have shown that to them. We have been very elaborate in showing that to them, so I don't think it hinges on the progress that we are making. It could be a change in their direction and their focus. It could be that they feel they have put a lot of money into this already and simply do not want to put that much more money into it. I am really not certain.

We have already explored some other funding possibilities. We have talked with a number of the institutions about wanting to continue this project to it's fruition. We are hoping that each institution can explore local means of funding that would help them, not just at the university, but also some foundation or industrial funds that would assist.

I still have enthusiasm for the Alliance. We are in the third year of the project where one of our goals was to enlarge our network of universities and institutions working with the primary institution.

To a great extent that is going to be done. The problem we have run into is money. We at this point do not have a lot of additional money being given to us to do this project. I think some networking will occur whether we have the money or not, because there is interest from other institutions to get involved with the Alliance members. If we had enough funds, I think we could easily put together 15 to 20 institutions that would like to be involved directly on a partnership basis with a primary Alliance institution.

Wilson of Danforth when asked why the funding period had been shortened from the originally planned number of years stated,

We did not feel the partnership was living up to what we had hoped. Clearly there was not a real collaborative effort going on between NASSP and the universities. We were real disappointed in the evaluation work. That had a definite impact. The disappointment in the evaluation work was not only with respect to the evaluation that NASSP did, but also in the failure of the universities to take ownership and initiative to evaluate. We saw value in the National Alliance, but it wasn't doing all that we had hoped.

When Lenor Hersey was asked about the future of the Alliance she commented,

I think the Alliance is a very important project. We

are learning a lot about things that can be done and what needs to be done. I think out of this there will be lots of information that will help us to continue looking at our preparation programs and to change them so that they better fit our needs. Whatever frustrations that we come up against are to me positive because we are learning so much from it.

It is critical that we communicate all of this and it just doesn't end up going by the wayside when it is all over. We need to keep it open. I am hopeful that the faculty in the universities will begin to do more research on what's happening and that we will see more publications so that the dissemination process will happen - that there is more open give and take, sharing, and networking that results from all of this. If it doesn't then I will be concerned that we haven't really fulfilled the mission. I don't know that what we come out with in the end will be the answer, but I think what we are learning and will have learned, will be vital to continuing the whole process.

NASSP'S Flanary echoed concerns about the future of the Alliance effort. He stated,

The possibility of nonfunding of future efforts scares me a bit. What I am hoping is that the expectations of those folks who have been through those initial

preparation programs will create a pressure that won't allow universities to revert to something of lesser quality.

Not only were concerns about the future expressed by employees of the national association, but were expressed by the university participants as well. Muse noted,

I am afraid we are going to see the Alliance fold its doors. I would like to see us continue with the program. I think it's been helpful. We are interested in participating in all of the NASSP workshops. NASSP has spent considerable time and research in developing the workshops and much can be gained from participating in them.

FSU's Stakenas when considering the future of the Alliance responded,

You might say, the honeymoon is over and now the question is how to get everyone stimulated again to take another look in terms of how they want to proceed. One of the handicaps is that we were not able to schedule a training event this fall. The training events usually end up with an emotional high. Everyone seems to enjoy doing them because the training is well designed and the trainers are excellent. Since we didn't have an event this fall that might have slowed down or dampened enthusiasm.

After reflecting about what he would like to happen

that has not yet happened, Burkett noted that he would like to see the Alliance members sharing more materials on line with one another, faxing things to one another, and even have an exchange of professors.

As far as the future of the Alliance, Burkett maintained that some personal relationships will remain after the funding ends, but is not sure whether an Alliance will be maintained. He noted that it is possible that two of the institutions will maintain a relationship, but doubted that all four would. He believed that each institution would continue to try to develop state or regional alliances, but did not rule out the possibility of continuing the current Alliance with other funding.

Alliance Building

Little literature exists on multiyear/multiinstitutional collaborative efforts. Little has been shared on how to go about building such alliances. Because of the uniqueness of this effort it seemed important to seize upon the experiences of those most intimately involved in the Alliance to capture their thoughts about how to successfully go about building such collaborative efforts.

When asked what he had learned about building alliances Paul Hersey stated,

One of the things that I now understand is that I would get fully and carefully drawn out in contract form the endorsement of various institutions - that is,

I would want them to at all levels sign on the project. I am talking about the foundation that funded us as well as the institutions. It needs to be clearly visible when you start a project like this that it will take four or five years to do it - that it can't be done in one or two years. I would be more careful in getting that type of commitment.

I thought I spent a lot of time interviewing faculty and spending time in the institutions to be sure there was a full commitment on the part of everybody in the institutions that were going to be involved with us, but in retrospect I would have spent even more time. We had a good commitment, however, I think we could have had even a stronger commitment had I taken the time to do that sort of thing.

I have learned that getting diverse universities to work together collaboratively is hard work. I have also learned that there has not been a lot of thought put into how to do it - the vehicles needed to bring it about. There is a lot of philosophic talk about the importance of it and conceptual agreement that it needs to occur, but the how-to-do-its have really not been explored very carefully. That is one of the third year tasks - how do we bring about collaboration so that everybody has a win-win situation.

My advice to anyone initiating a similar project would be to be sure that all of the signals are called. The institutions should be called together, the plan examined carefully, and be certain that everybody understands what the responsibility of the association will be and what will be the responsibilities of the institutions of higher education. If other organizations are involved, their responsibilities should be delineated as well. One should have it all laid out in writing.

There is no question, if you are going to put a change mechanism into a university, you have to consider the political ramifications right up front. You have to go to the power figures and convince them that the proposed changes make sense - from the vice president on down throughout the deans, chairs, and faculty members.

Lessons learned by NASSP's Buckner included the following wisdoms:

It is important to make sure that expectations and requirements are clearly understood by all parties. It is also important that in the selection process, if you have a choice with people whom you are going to become involved, that you understand the criteria that are essential for success of the project and that you take the time to select carefully and that you have a

commitment from key players. When participants were being considered for inclusion in the Alliance, if a commitment was not evident from the dean and the president/vice president you were not even in the ballgame. The implication is that without support from the top, whatever you try to do at this level is going to be met with some frustrations. If they sign on in the beginning, then you've got them.

Interpersonal politics between the key players are absolutely essential. You have to be sure that people who feel as though they are in charge don't feel as though someone is coming in from the outside and is going to be telling them what to do and how to do it. You have to be a master of interpersonal skills. With the egos that you find at universities, also at NASSP, and probably at Danforth, too, you have to tread very carefully. You have to be sensitive and sometimes informed more than sensitive about who's who, what's what, and how they are feeling. At the beginning stages you are either going to make it or break it with those kinds of things - knowing some history in some cases, being able to read personalities in some cases, and being aware of a person's style in some cases. The secret is knowing how to do it right the first time and then having enough style flex to adapt. Lenor Hersey agreed that lessons had been learned from

the Alliance endeavor. She responded,

I think we have learned some things from the overall project and from each of the universities and their particular uniqueness. If we were to do this again we would probably have a little better sense of what we needed to be looking for in terms of faculty. To go in and plan to do some major changing in the program with the faculty, we had better know a little better what we are looking for. We would study that dynamic a little more closely. In terms of the overall project, we have learned that there are a lot of people out there who want to be involved in change, but that sometimes they are really hobbled by the nature of their institution. Each one has limitations, the names change but as I have gone around and worked in other programs and projects, institutions get in the way because of the cumbersomeness of the bureaucracy. I have worked with a large bureaucracy. I am fascinated by large organizations, but they are really frustrating when you really want to get something done. Here at the Association we get an idea and we can go with it. Flanary saw trust as a key issue in alliance building.

He stated,

It is essential to work hard at establishing a trust level. I think that is the advantage we had at Virginia Tech. There was already a trust level there,

not toward people, but toward NASSP programs. I think there has to be a receptiveness and a trust level.

Regarding what might be done differently when planning the Alliance, I would provide more opportunity for some discriminatory dollars on the part of the university's use.

ETSU's Burkett reiterated the thoughts expressed by his peers when he advised those considering such a collaborative effort to have an understanding (in writing) as to who is going to play which role, what's going to be shared, how it's going to be shared, how it's going to be funded, the duration, time limits, and objectives.

Grosso was asked to share advice with others considering a multiorganizational collaborative effort. He maintained,

Initially during the first year there has to be a more deliberate leadership on the part of the funders. There has to be early recognition that there should be representatives from each of the participating organizations to assist in deciding the direction and future of the total effort - more than just department chairs, it needs to be the rank and file. Those meetings have to be more frequent and outcome based. Rather than universities being in the mode of waiting for someone to tell them what to do, they ought to be designing the changes and looking to the funders and

programmatic people as being in a resource, facilitation, support role.

When asked what advice he would give to individuals who might be contemplating a project similar to the Alliance, Muse of BYU responded,

Be a united department. Everyone needs to be involved and to be suggestive. Be willing to change and attempt new strategies such as experiential learning, simulations, teaming, combining courses, cohort grouping, etc. Be willing to share. Be willing to listen to students and mentor principals. Also involve these alter groups in the planning and participation.

Chapter 6

Summary, Conclusions, and Recommendations

The purpose of chapter six is to provide a brief summary of the study, conclusions drawn from examination of data regarding the National Alliance for Developing School Leaders, and recommendations resulting from the study. Additionally, wisdoms gained from Alliance participants regarding development of successful interinstitutional collaborative efforts are included.

Summary

The study was designed to provide a historical background for the development of the National Alliance for Developing School Leaders through experiences shared by Alliance developers, funders, and participants. The twelve tentative research questions from Chapter 1 were used to guide the interview process and provide the skeletal outline for telling the Alliance story.

The review of literature in Chapter 2 contained information about principal preparation, the change process in higher education, and the impact of foundations, however, the information regarding interuniversity collaboration was limited due to the paucity of information on the topic. Chapter 3 contained methods and procedures initially identified for guiding the study. The information shared in Chapter 4 described the data collection and analysis

process. Chapter 5 featured the story of the National Alliance for Developing School Leaders.

Conclusions

Donn Gresso and Paul Hersey were the key figures identified as responsible for conceiving and developing the National Alliance for Developing School Leaders. Other key figures included Kermit Buckner, Dick Flanary, and Lenor Hersey of NASSP. The number of site key figures varied from university to university. Participation ranged from total faculty involvement to involvement by a few within a faculty. Consequently the degree of faculty involvement and curriculum change varied across institutions.

Criteria for participating in the Alliance included answering an expanded version of a series of questions noted in the Red Book as necessary for change in school administration, development of a five year plan for change, and signing an agree regarding the use of NASSP materials. The original plan to have participants contribute monetarily to the project was dropped due to the fiscal stresses being experienced by some universities. Additionally, statements of support were needed from members of the university administrations.

While those involved in the decision to join the Alliance varied from institution to institution, in each case the decision to join was not made lightly. Faculty felt that the proposed Alliance experiences would complement

what was already happening within each department. The reasons for wanting to join the Alliance varied, however, shared reasons included:

- a. opportunity for increased visibility,
- b. access to NASSP developmental programs and personnel,
- c. opportunity to work with other "top" departments,
- d. introduction to and/or increased awareness of the potential benefits of using problem-based learning,
- e. opportunity to impress university administrations,
- f. exposure to new ideas,
- g. opportunity for shared professional development experiences that included peers, students, and public school personnel,
- h. belief that much could be learned from looking at other premiere preparation programs, and
- i. desire to improve the quality of existing programs.

The early annual meetings appeared not to meet the needs of Alliance members who had little input into the agenda and expressed a preference for rotating site meetings at participating universities to see other programs in action.

The developmental experiences provided by NASSP made faculty more aware of options available for teaching graduate students and gave involved faculty a shared experiential base and common language. Those actively involved in the Alliance indicated a change from "stand and

deliver" teaching to becoming a participant in a community of shared learning. As a result of the Alliance affiliation universities were provided sophisticated materials to complement existing educational programs. This immediate access allowed faculty to spend time determining how best to use available materials rather than having to spend time developing experiential materials for classes. Professional dialogue within departments was increased as faculty wrestled with adoption decisions, curriculum decisions, and theory/practice issues.

Side effects of the Alliance included increased enthusiasm for teaching, an opportunity to influence NASSP developmental efforts, changes in student/teacher interactions, realization of the complex and varied responsibilities of university professors, shared learning experiences, increased requests for services, expansion of horizons, identification of new potentials, and increased involvement with area administrators. Alliance affiliation increased opportunities for publication and presentation and provided opportunities for establishing relationships with peers from other universities. Opinions varied regarding whether areas had been neglected as a result of the energy put into the Alliance effort.

Having outside support and expertise allowed some changes to happen more quickly than perhaps would have occurred otherwise, however, effects of Alliance affiliation

were sometimes not clearly visible making evaluation difficult. Measuring the impact of the Alliance was deemed difficult by some because many Alliance activities complemented activities already in place making it difficult to tease out changes having occurred solely as a result of the Alliance.

Communication was not clear as to the type of evaluation information desired by the funding institution. The information provided by the funding recipients was not the kind of information desired by the funding agency. The dissatisfaction with the evaluative efforts influenced the continued funding decision.

Universities did not assume responsibility for initiating, designing and completing their own in-depth evaluation of the impact of the Alliance upon individuals within the departments and the departments as a whole or across sites. An exception to this statement is the work completed by Linda Ward at Florida State University who completed a qualitative study of the change process at FSU. Ward's study was submitted to the Danforth Foundation and was felt to be of great value in understanding what had happened or not happened as a result of Alliance affiliation. Information was shared by the universities, however, the information shared was not the kind desired by the funding agency. The lack of baseline data and routinely collected qualitative and quantitative data regarding

departmental changes resulted in a loss of valuable information regarding the attempted change process within the universities.

Lessons were learned by multiple players in the Alliance endeavor. Through the Alliance NASSP learned about the complexities of working within the complicated university administrative structure, what is needed to bring about change in a university environment, and how to modify training modules to meet differing needs.

Interuniversity collaboration is not a simple process. Such efforts require time and intensive communication regarding roles and responsibilities of involved parties. Changes in leadership of participating agencies can alter agreements and conditions of interorganizational efforts. Design flexibility and input throughout the entire process from all stakeholders are critical to establishing relationships/networks that are mutually beneficial and satisfying to those participating.

As a result of Alliance involvement, the following wisdoms resulted which may assist those attempting multiorganizational collaborative efforts:

1. Establish a bond of trust between involved parties.
2. Realize that open, frequent communication between all parties involved is essential.
3. Schedule frequent meetings between those involved especially in the early stages of the initiative.

4. A need exists to clearly delineate the expectations and responsibilities of all involved in the effort.

5. Written guidelines should include in detail agreements regarding roles, responsibilities, funding amounts, funding sources, funding duration, time limits, channels and sources of information communication, goals, objectives, and specific evaluation criteria.

6. Commitments should be obtained from involved individuals ranging from top organizational administrators to the rank in file charged with implementing planned efforts.

7. Representatives from all participating organizations should assist in determining the direction of the effort.

8. Establish a partnership of equals who work in concert for the mutual benefit of all involved - work toward a win-win outcome for all.

9. Involve alter groups such as clients served in the planning of the initiative.

10. Design the effort to allow for midcourse corrections that may become necessary as the project progresses and needs change.

11. Endeavor to understand the politics of the institutions involved as well as the histories and personalities of the people involved.

12. Communicate until everything seems abundantly

clear - then communicate some more.

Recommendations

1. Some Alliance universities are establishing second tier alliances with other universities. Those relationships should be used as opportunities to design rigorous studies of the change process that occurs as a result of the newly formed connections.

2. Little literature exists on how to successfully establish interorganizational collaborative efforts, therefore any opportunities for university collaborative efforts should be scrutinized carefully and seen as potential opportunities for valuable studies by faculty and students.

3. Since reflection is deemed by many to be a critical component of administrator preparation, the universities involved should reflect on the lessons learned by this experience focusing on actions and decisions that resulted in positive outcomes as well as decisions and/or actions resulting in outcomes other than those desired. The results of these group periods of reflection should be shared with other Alliance members in an attempt gain the maximum results from the time remaining in the Alliance effort. Should any of the universities or sponsoring organizations continue the effort past the current funding period, these results should be reviewed prior to new agreements and used

to guide future endeavors.

4. Since schools are now being designed to house multiple agencies for delivering services to students and their families, interagency cooperation will be critical. Administrators will require skills necessary for working with multiple types of organizations. To assist administrators in developing those skills, university professors should stay abreast of literature regarding these efforts and share emerging literature with aspiring administrators. Further, such efforts within the sphere of each university's influence should be studied carefully to learn the lessons needed by future administrators and to contribute to the literature regarding interorganizational efforts.

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APPENDIX

NATIONAL ALLIANCE FOR DEVELOPING SCHOOL LEADERS
SLIDE SHOW SCRIPT

Brigham Young University

Brigham Young University is located in the state of Utah. Citizens of Utah proudly claim ownership to the Great Salt Lake, the Salt Flat where many land speed records have been set, Zions National Park, Bryce Canyon, and many other beauties of nature.

A spectacular Rocky Mountain backdrop sets the stage for the Brigham Young University campus located in Provo/Orem some 45 miles south of Salt Lake City. The 638 acre campus lies below the peaks of the Wasatch Mountains overlooking the calm waters of Utah Lake to the west. The BYU mascot is the cougar, a long time inhabitant of the surrounding mountains.

BYU founded in 1876 is the largest private university in the United States with some 26,000 students enrolled during the school year. The University hums day and night as adults from surrounding areas come to school for evening classes and some 10,000 students live in married and single housing units located on or adjacent to the campus.

The College of Education is one of the largest majors in the university. Students may receive training in elementary, secondary, or special education. At the graduate level students may receive certification in educational leadership, instructional science, curriculum

and instruction, and educational psychology.

The Department of Educational Leadership has received national recognition for its innovative work in the areas of doctoral studies and the preparation of school administrators. The Leaders Preparation Program (LPP) is an intensive effort to train prospective teachers as school administrators.

In cooperation with the school districts in Utah, the LPP is a collaborative program in which the university and schools together recruit, select, and train potential school leaders. Mentor principals are selected and trained in each district to work with BYU interns who are released from their teaching assignments for one full year. Approximately 115 teachers apply each year for the LPP and only 15-20 are selected to participate.

Each intern experiences some 1400 hours in various school settings learning the ropes of school administration. The cohort group, extensive field experience, close relationships with mentors and university supervisors create an environment where practice makes perfect. Graduates are highly sought after by school districts with over 80% of those who have completed the program during the past five years currently serving as vice-principals or principals.

The Alliance Project provides the LPP with an opportunity to improve its program of leadership training. Through the efforts of the NASSP staff and by using the many

training programs that have been developed at the NASSP offices, BYU is taking big steps to improve program offerings. The Alliance has provided educational support to the faculty in the Department of Educational Leadership and to interns and mentor principals. The NASSP staff has met with University and school staff to discuss and plan curriculum changes and also to provide seminars to enhance the quality of school leadership. Mentoring and Coaching, Springfield, Assessment, and Leader 1,2,3 are just a few of the programs that have added excitement and quality to the leadership program at BYU. The Alliance has also provided an opportunity for the faculty to share ideas and dreams with educators at great universities, and these ties of fellowship have had many positive returns to the BYU program. The Department of Educational Leadership at BYU looks forward to the years ahead and to continued growth thanks to the Alliance and the NASSP goal of supporting the development of quality preparation for new school leaders.

East Tennessee State University

Surrounded by the natural beauty of mountains and lakes, East Tennessee State University is located in Johnson City, TN. During the decade of the 1980's, the University changed dramatically. In just 10 years, enrollment rose from 9300 students to nearly 12,000- a 29% increase.

But numbers alone do not reveal the magnitude of

changes that have occurred at the campus. This same period ushered in five Chairs of Excellence and three Centers of Excellence, a succession of major program accreditations, the onset of new and stronger academic programs, the continued rapid development of the College of Medicine, and major increases in extramural funding for faculty research.

The University's College of Education has played a major role in preparing elementary and secondary school teachers in the Northeast Tennessee area and throughout the southern Appalachian Mountain region. The history of graduations stretches back 75 years to the University's original founding as a teacher's college in 1911.

The Department of Educational Leadership and Policy Analysis shares in the commitment to develop highly qualified, competent leaders by offering masters, specialist, and doctoral degrees to aspiring school leaders. The department takes pride in the quality, quantity, and diversity of students served. Enrollments are large enough to promote stimulating class participation yet small enough to allow close professor/student interaction.

Today's principals are expected to be skilled instructional leaders, supervisors, motivators, community leaders, liaisons for school-business partnerships, and advocates for students, teachers and parents. Recognizing this, the faculty of the Department of Educational Leadership and Policy Analysis are committed to expanding

the scope of the current administrator preparation program to provide a blend of theory and practice with enhanced opportunities for reflection in order to produce graduates better equipped to meet the increasingly complex demands of the principalship.

Faculty believe that the education provided to graduate students should prepare individuals to assume leadership positions. This belief, combined with the desire to tailor graduate programs to meet individual needs, has lead the department to undertake the challenge of redesigning its school administrator preparation program. The changes in curriculum and the provision of expanded simulation and field experiences have resulted in a course of study better designed to meet the needs of each learner. Interwoven throughout the new curriculum are the adopted performance domains. Individual diagnosis and evaluation are used to structure the program to meet the needs of each future school leader. Each graduate student receives an Individualized Education Plan which guides the student's study. Educational experiences are provided through the application of current technology, cooperative learning, directed teaching, individualized study, and shared reflection. Students use the Leadership Laboratory to participate in educational research and data analysis, develop strategic planning abilities, utilize computer-based simulations, and analyze educational policies.

Involvement in the Alliance Project itself has required time, effort, and energy, but the rewards have been a new sense of direction and purpose for a faculty already enjoying high morale. A byproduct has been better communication regarding future departmental efforts and goals resulting in a strong commitment to a shared vision. A community of learners has developed as faculty, area school administrators, and graduate students have come together to refine and enhance their leadership skills through NASSP professional development activities including Assessor Training, Leader 1 2 3, Springfield, and Let's Talk. These activities have strengthened the tie between professors and practitioners who now work as partners in addressing issues facing today's educators.

Florida State University

Located in Tallahassee, Florida State is a comprehensive university with a strong graduate research emphasis and a longstanding liberal arts tradition. Educational Leadership is one of eight departments in the College of Education. Housed in the Mode L. Stone Building, the department offers masters, specialist, and doctoral degrees in educational administration.

The Department of Educational Leadership at Florida State is striving to develop a partnership with the future. The need for such a partnership can be traced to many

forces. Among them is the Florida legislature. It adopted the management training act which mandated significant changes in principal preparation. To respond to the changes mandated by the legislature, the department revised its curriculum and formed the Educational Leadership Consortium (or ELC) with 17 nearby school districts to support their leadership training programs--also mandated by the legislature.

Participation in the Alliance Project has given impetus for significant curricular reform. Progress was facilitated by the requirement to develop a five year plan. Faculty in the department created the Synergy Room to assist with plan development and implementation. As program decisions are made, GANTT charts are produced and posted to monitor progress. The faculty adopted a seven stage delivery model for the Alliance project. The model includes an annual evaluation component which was implemented for the first time in Fall 1991. Students completed a questionnaire which assessed the effectiveness of advising and course work in facilitating competency development. NASSP provided Let's Talk training early in Fall 1991. This led to incorporating small group communication exercises in the curriculum planning course and large group presentation skills in the information management technology course.

Mentoring and Coaching training also was provided by NASSP. This module provided the design needed to produce

Individual Development Plans which will be prepared in the Assessment and Career Planning course. The role playing exercises in Let's Talk and the Mentoring and Coaching processes have stimulated faculty to design a new practicum experience which will be introduced in Fall 1992. With the Assessment Course as prerequisite practicum participants will use their Individual Development Plans to select appropriate dyadic and small group case studies to simulate being a principal. They will also be required to shadow on-the-job administrators and make site visits to outstanding schools.

Students need role models to emulate. Such models are provided by FSU's Visiting Clinical Professors. The visiting clinical professors are school-based practitioners who have been selected because of their outstanding record of performance. Each one spends a week participating in classes and seminars both on campus and at the field-based sites.

With infusion of training modules from NASSP, ideas from the other Alliance institutions and the participation of outstanding school practitioners, faculty in educational leadership at Florida State feel optimistic that they will achieve an effective partnership with the future.

Virginia Tech

Virginia Polytechnic Institute and State University

located in Blacksburg, Virginia, was founded in 1892 as a land grant college under the Morrill Act. Known originally as the Virginia Agricultural and Mechanical College, the institution, now popularly known as "Virginia Tech" is the largest four year institution in the state enrolling over 23,000 students.

The College of Education was founded in 1971 and organized into four academic divisions. The division of administration and educational services provides graduate training opportunities for school leaders in a number of program areas. The division offers degree programs at the masters, certificate and doctoral level in: adult and continuing education, educational administration, community college education, counseling and student personnel services, educational research and evaluation, and administration and supervision of special education. These programs are offered through program areas--organizational units similar to departments in other universities.

Degree programs are made available across the Commonwealth of Virginia through a number of campus centers. Since the beginning of the college in 1971 the program has produced over 1000 masters degrees and nearly 600 doctorates. The program area also serves as home base for the NASSP Southwest Virginia Regional Assessment and Development Center.

At a program area retreat in 1987, the faculty made a

firm commitment to undertake restructuring of its initial preparation programs. What followed was an 18 month development activity involving faculty, school practitioners, and support of the Danforth Foundation in a recasting of principal preparation at Virginia Tech. Between 1989 and 1991 a pilot program, the Regional Program for the Preparation of Principals, was conducted. The entire curriculum and delivery system for the program was revised on the basis of collaborative planning with public school colleagues. In that program participants were assigned mentors, outstanding principals, who would work with students over the two year period of the program. Participants were released 45 days per year for each of the two years they were enrolled in the program to gain experience working with their mentors.

In addition to the school based experience, each participant was required to spend at least a week working in an out-of-school setting and some time at a school level above or below their primary internship assignment. Program design was individualized to the extent feasible; an IEP was developed for each student. Curriculum was reviewed and redesigned each term. Learning experiences were provided through whole group instruction, speakerphone conferences, day-long workshop seminars devoted to "hot topics", independent study, field trips, simulations, instructional modules, and a variety of other instructional procedures.

Broad curriculum components included educational leadership, students and programs, administration, and liberal studies. Program evaluation was conducted at the end of each term and narrative reports of 5-7 pages for each student were produced as a part of the developing portfolio compiled for each student. The success of the program has engendered additional cohort groups.

The linkage with Florida State University, Brigham Young, and East Tennessee State University through the NASSP/Danforth sponsored National Alliance continues to provide incentive and opportunities for continuing improvement of the programs at Virginia Tech.

VITA

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- Education:** Elizabethton High School
Elizabethton, Tennessee, 1970
University of Tennessee
Knoxville, Tennessee, 1974,
BS in special education
East Tennessee State University, 1978
MA in educational administration
University of Missouri, Kansas City,
1988, EdS in educational
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East Tennessee State University, 1994
Doctorate in Education in the
Department of Educational Leadership
and Policy Analysis
- Professional Experience:** 1975-1977, Kindergarten teacher,
Memphis, Tennessee
1978-1979, Resource teacher, Liberty
Bell Complex, Johnson City, Tennessee
1980-1987, Behavior disorders teacher,
Liberty High School, Liberty, Missouri
1987-1988, Principal, Manor Hill School,
Liberty, Missouri
1989-1992, Fellow, Department
of Educational Leadership and Policy
Analysis, East Tennessee State
University
1993-1994, Research Assistant,
Department of Psychiatry, Quillen
College of Medicine, East Tennessee
State University
- Publications:** Why board members quit and their advice
to other members. 1992. Tennessee
School Boards Journal. (with McElrath)
- Time is NOT of the essence when planning
a quality preparation program. 1993.
Chapter in book, Preparing Tomorrow's
School Leaders: Alternative Designs.
(with Burkett and Gresso)
- Blending theory and practice. 1993.
Design for Leadership.

Lessons learned: National Alliance for Developing School Leaders. 1994. NASSP Bulletin.

Presentations:

"Gender Issues in Professional Psychology: Education, Practice, and Workplace," Southeastern Psychological Association, New Orleans, 1994.

"Why Board Members Quit," Tennessee School Board Association Conference, Nashville, TN, 1992.

"ETSU's Department of Educational Leadership and Policy Analysis," National Alliance for Developing School Leaders Annual Meeting, Reston, VA, 1992.

"At-Risk Students: Problem or Possibility?" UETEC Educator's Inservice, Johnson City, TN, 1991.

"The Structured Learning Center," Missouri Special Education Materials Dissemination Conference, Jefferson City, MO, 1986.

"Philosophy as the Guiding Force for Education," Liberty High School, Liberty, MO, 1986.

"Characteristics of Special Needs Students," Liberty High School, Liberty, MO, 1985.

"Teaching Social Skills: An Invitation to See How We Started," Missouri Council for Exceptional Children, Jefferson City, MO, 1985.

"The Value of Structure in the Secondary Classroom," Liberty High School, Liberty, MO, 1985.

"To Do or NOT to Do - That is the Question," Liberty School District, Paraprofessional Inservice, 1985.

**Additional
Professional
Experience:**

**Member of the Kansas City Metropolitan
Instructional Leadership Program - a
twelve month intensive training program
for educational leaders focusing on key
issues in the teaching/learning process**

**Professional
Memberships:**

**Phi Delta Kappa
Phi Kappa Phi
National Dropout Prevention Network**