

UNIVERSITY OF OKLAHOMA

GRADUATE COLLEGE

NO CHILD LEFT BEHIND:

A STUDY OF POLICY, PLANNING AND PROGRAM IMPLEMENTATION

IN

AN URBAN DISTRICT WITH HIGH POVERTY SCHOOLS

A Dissertation

SUBMITTED TO THE GRADUATE FACULTY

In partial fulfillment of requirements for the

Degree of

Doctor of Education

By

ALAN J. INGRAM

Norman, Oklahoma

2005

UMI Number: 3163313



---

UMI Microform 3163313

Copyright 2005 by ProQuest Information and Learning Company.  
All rights reserved. This microform edition is protected against  
unauthorized copying under Title 17, United States Code.

---

ProQuest Information and Learning Company  
300 North Zeeb Road  
P.O. Box 1346  
Ann Arbor, MI 48106-1346

NO CHILD LEFT BEHIND:  
A STUDY OF POLICY, PLANNING AND PROGRAM IMPLEMENTATION  
IN  
AN URBAN DISTRICT WITH HIGH POVERTY SCHOOLS

A Dissertation APPROVED FOR THE  
DEPARTMENT OF EDUCATIONAL LEADERSHIP AND POLICY STUDIES

BY

---

Lawrence F. Rossow, Chair

---

John J. Chiodo

---

Gregg Garn

---

John R. Jones

---

Jeffrey Maiden



## ACKNOWLEDGMENTS

This project represents the culmination of several years of study and certainly could not have been accomplished in isolation. As I approach the fulfillment of a long-awaited career aspiration, I have had the opportunity to reflect on the value of a strong supporting cast, whose contributions have been enormous. As such, I would like to acknowledge a number of people, who have challenged, inspired, taught, or supported me throughout the dissertation journey.

I am indebted and thankful for the support of my dissertation chair, Professor Lawrence Rossow, and the members of my committee for the generosity of their time, guidance, and feedback during the inquiry process. In their own unique way, each served to foster a life altering experience I will gladly carry forward in my future work in the realm of public school education—hard work, determination, perseverance, and commitment when fueled by a dream can, and often will, flourish given ample opportunity.

My appreciation also goes to the colleagues, superintendents and school board members I have personally worked with during the last four years. In particular, the Federal Programs Departmental staff who often assisted me in balancing the competing demands of doctoral studies with my responsibilities as Executive Director.

I acknowledge my friend and mentor, Dr. David Knudson, who has been a source of encouragement and a beacon of light during this phase of my career as a central office administrator in an urban district. David helped to combine theory into practice by working with me to integrate the dissertation process into the daily experiences of my professional work. We share an intellectual affinity for education reform that will have a

lasting and significant impact in the lives of students whose futures might otherwise be marginalized.

I would also like to thank a retired educator from Highland Park, Michigan and my former middle school teacher, Dr. Matthew Blount, whose example in the classroom and compassion for students brought life to the meaning of efficacy, resiliency, and self-determination that has stood the test of time—thanks for embracing me as a part of your extended family and for the continued encouragement you have so freely given.

I owe a great debt of gratitude to my mother and grandparents, and a foster parent, Judge Dominick Carnovale for nurturing in me a love of learning and an intrinsic motivation to excel. Special gratitude goes to my sister, Beverly who was the first person in our family to graduate from college. While my sister and I have had an on-going sibling rivalry that continues to this day, she has taught me much about persevering in the face of adversity and following through on my dreams.

Last, but far from least, I am especially grateful to my wife and confidant, Lisa for her patience, devotion and selfless spirit she has so willingly given as the hub of my support system in helping me keep my life in proper perspective and balance. It is through the example of many individual interventions at critical junctures in my life, that has helped me to internalize one of life's most important lessons in leadership: "from everyone who has been given much, much will be demanded; but from the one who has been entrusted with much, much more will be asked" (Luke 12:48).

## TABLE OF CONTENTS

	Page
<b>ACKNOWLEDGMENTS.....</b>	<b>IV</b>
<b>TABLE OF CONTENTS.....</b>	<b>VI</b>
<b>LIST OF TABLES .....</b>	<b>VIII</b>
<b>LIST OF EXHIBITS .....</b>	<b>IX</b>
<b>ABSTRACT .....</b>	<b>XI</b>
<b>CHAPTER ONE: INTRODUCTION.....</b>	<b>1</b>
CONTEXT OF THE STUDY .....	1
BACKGROUND OF THE STUDY .....	2
NEED FOR THE STUDY .....	6
STATEMENT OF THE PROBLEM.....	10
RESEARCH QUESTIONS.....	10
LIMITATIONS OF THE STUDY .....	10
ASSUMPTIONS .....	11
RELEVANT CONCEPTS AND DEFINITIONS .....	11
CHAPTER SUMMARY .....	17
<b>CHAPTER TWO: REVIEW OF THE LITERATURE.....</b>	<b>18</b>
INTRODUCTION.....	18
ORIGIN OF COMPENSATORY EDUCATION .....	19
THE NEED FOR CHANGE .....	20
CONCEPTUAL FRAMEWORK OF NCLB PROGRAMS.....	22
EXPECTATIONS FOR SCHOOLS .....	26
ACCOUNTABILITY REQUIREMENTS .....	27
SEQUENCE FOR IMPROVEMENT.....	29
IMPLEMENTATION RESEARCH .....	33
DYNAMIC CAPABILITIES .....	45
CHAPTER SUMMARY .....	47
<b>CHAPTER THREE: METHODOLOGY .....</b>	<b>49</b>
STUDY DESIGN .....	49
STUDY PARTICIPANTS .....	50
CASE STUDY APPROACH .....	57
SELECTION OF SCHOOLS.....	57
DATA COLLECTION .....	58
PROCEDURES .....	60
INSTRUMENTATION .....	62
CHAPTER SUMMARY .....	65

<b>CHAPTER FOUR: FINDINGS .....</b>	<b>67</b>
INTRODUCTION .....	67
INDICATORS OF INFLUENCE .....	69
STATE-LEVEL APPROACH TO NCLB IMPLEMENTATION .....	71
<i>Adoption of Adequate Yearly Progress Criteria</i> .....	71
<i>School Improvement Designations</i> .....	74
DISTRICT-LEVEL APPROACH TO NCLB IMPLEMENTATION .....	75
<i>District Planning Process</i> .....	76
<i>Summary of Influences</i> .....	82
<i>Pattern A: Low Performance, Low Dynamic Capacity</i> .....	85
<i>Pattern B: High Performance, Low Dynamic Capacity</i> .....	86
<i>Pattern C: High Performance, High Dynamic Capacity</i> .....	86
<i>Pattern D: Low Performance, High Dynamic Capacity</i> .....	87
NEEDS ASSESSMENT .....	90
INTERNAL SELECTION .....	93
<i>Leadership</i> .....	93
<i>Teacher Leadership</i> .....	94
<i>Principal Leadership</i> .....	94
<i>Central Office Leadership</i> .....	95
<i>Campus Planning Process</i> .....	97
IMPLEMENTATION .....	98
<i>Organizing for Improvement</i> .....	98
<i>Technical Assistance</i> .....	100
RETENTION .....	103
<i>Monitoring Progress</i> .....	103
<i>Utilizing Feedback</i> .....	106
CONCLUSIONS .....	110
CHAPTER SUMMARY .....	111
<b>CHAPTER FIVE: RECOMMENDATIONS FOR FURTHER STUDY .....</b>	<b>112</b>
SUMMARY, CONCLUSIONS, IMPLICATIONS AND RECOMMENDATIONS .....	112
REVIEW OF THE STUDY .....	112
FINDINGS .....	115
IMPLICATIONS .....	121
<i>District-level Staff</i> .....	121
<i>State Departments of Education</i> .....	132
SUGGESTIONS FOR FURTHER RESEARCH .....	134
<b>REFERENCES .....</b>	<b>137</b>
<b>APPENDICES .....</b>	<b>145</b>



## LIST OF TABLES

<b>TABLE 1: COMPARISON OF EXPECTATIONS FOR EARLY TITLE I AND NCLB .....</b>	<b>21</b>
<b>TABLE 2: EXAMPLE—A SCHOOL NOT MAKING AYP FROM 2001 .....</b>	<b>29</b>
<b>TABLE 3: TITLE I STUDENTS BY GRADE LEVEL .....</b>	<b>51</b>
<b>TABLE 4: TITLE I STUDENTS BY GENDER.....</b>	<b>51</b>
<b>TABLE 5: TITLE I STUDENTS BY RACE/ETHNICITY .....</b>	<b>52</b>
<b>TABLE 6: TITLE I STUDENTS BY CO-ENROLLMENT IN SPECIAL PROGRAMS .....</b>	<b>53</b>
<b>TABLE 7: DEFINING INSTRUMENTS OF INFLUENCE .....</b>	<b>71</b>
<b>TABLE 8: PLAN APPROVAL DESIGNATION.....</b>	<b>77</b>
<b>TABLE 9: PEER REVIEW RESULTS.....</b>	<b>80</b>
<b>TABLE 10: CASE STUDY INSTRUMENTS OF INFLUENCE .....</b>	<b>84</b>
<b>TABLE 11: RANK ORDER FREQUENCY SELECTING TECHNICAL ASSISTANCE PROVIDERS .....</b>	<b>102</b>
<b>TABLE 12: CAMPUS VISIT SURVEY RESULTS—ASSESSMENT TRAINING SUMMARY .....</b>	<b>103</b>
<b>TABLE 13: CAMPUS VISIT SURVEY RESULTS—DATA UTILIZATION.....</b>	<b>107</b>
<b>TABLE 14: CAMPUS VISIT SURVEY RESULTS—PLANNING STANDARDS .....</b>	<b>109</b>
<b>TABLE 15: MATRIX OF FINDINGS AND SOURCES FOR DATA TRIANGULATION .....</b>	<b>110</b>
<b>TABLE 16: TYPE OF TRAINING COMPARED WITH TEACHER EFFECTIVENESS.....</b>	<b>119</b>

## LIST OF EXHIBITS

<b>EXHIBIT 1: TITLE I FEDERAL FUNDING TRENDS .....</b>	<b>4</b>
<b>EXHIBIT 2: CONCEPTUAL FRAMEWORK FOR NCLB PROGRAMS.....</b>	<b>25</b>
<b>EXHIBIT 3: CONTINUUM OF FLEXIBILITY WITH ACCOUNTABILITY .....</b>	<b>29</b>
<b>EXHIBIT 4: AYP SCENARIO BASED ON 10% GAIN.....</b>	<b>31</b>
<b>EXHIBIT 5: DYNAMIC CAPABILITIES LEARNING PROCESS.....</b>	<b>47</b>
<b>EXHIBIT 6: DISTRICT DEMOGRAPHIC TRENDS .....</b>	<b>52</b>
<b>EXHIBIT 7: TRENDS IN ITBS MATH SCORES.....</b>	<b>54</b>
<b>EXHIBIT 8: TRENDS IN ITBS READING SCORES .....</b>	<b>55</b>
<b>EXHIBIT 9: 2004 READING SCORES.....</b>	<b>56</b>
<b>EXHIBIT 10: 2004 MATH SCORES .....</b>	<b>56</b>
<b>EXHIBIT 11: INFLUENCE UPON THE DYNAMIC CAPABILITIES LEARNING PROCESS IN SCHOOLS .....</b>	<b>69</b>
<b>EXHIBIT 12: SCHOOL IMPROVEMENT TIMELINE .....</b>	<b>73</b>
<b>EXHIBIT 13: PATTERNS OF DYNAMIC CAPABILITY .....</b>	<b>85</b>
<b>EXHIBIT 14: LEVEL OF IMPLEMENTATION BY PERCENT .....</b>	<b>89</b>
<b>EXHIBIT 15: NEEDS ASSESSMENT QUESTIONS FOR SCHOOL PROGRAMS .....</b>	<b>92</b>
<b>EXHIBIT 16: NCLB SCHOOL GUIDANCE FOR SCHOOL PLANNING .....</b>	<b>97</b>
<b>EXHIBIT 17: TECHNICAL ASSISTANCE FOR TEAM DECISIONS .....</b>	<b>101</b>
<b>EXHIBIT 18: TECHNICAL ASSISTANCE THAT BUILDS DYNAMIC CAPACITY OF TEAMS</b>	<b>102</b>
<b>EXHIBIT 19: EXAMPLE OF READING GRADE 5 COMMUNICATION FORMAT .....</b>	<b>105</b>
<b>EXHIBIT 20: CONTINUUM OF SUPPORT SERVICES .....</b>	<b>118</b>

<b>EXHIBIT 21: MODEL OF SITE-LEVEL SYSTEM OF SUPPORT .....</b>	<b>120</b>
<b>EXHIBIT 22: CAMPUS IMPROVEMENT PLAN COMPONENTS .....</b>	<b>126</b>
<b>EXHIBIT 23: EVIDENCE-BASED EDUCATION.....</b>	<b>127</b>
<b>EXHIBIT 24: CAMPUS IMPROVEMENT PLANNING PROCESS.....</b>	<b>128</b>

## ABSTRACT

Teaching and learning in urban public school districts have been marginalized by an institutional culture marred by random acts of improvement and a propensity for maintaining the status quo. The *No Child Left Behind Act* of 2001 (NCLB, Public Law 107-110) will affect almost every elementary and secondary public school student in the United States. Researchers of organizational design and public policy have frequently found that failed efforts to increase effectiveness can be traced back to ineffective planning processes for program implementation. This exploratory research study examines the NCLB policy implementation in high-poverty schools, as it relates to planning and program fidelity in the delivery of Title I services for disadvantaged children in an urban district. This study examines the need for cogent, detailed planning and closely monitored execution of NCLB planning and program implementation strategies.

## CHAPTER ONE

### Context of the Study

On January 8, 2002, President George W. Bush signed into law H.R. 1: the *No Child Left Behind Act* of 2001 (NCLB Public Law 107-110), approving reauthorization of the Elementary and Secondary Education Act (ESEA). The purpose of this exploratory case study is to examine NCLB policy in selected high poverty schools and its impact on planning processes with respect to the fidelity of program implementation in an urban public school district. NCLB has substantially changed the business of public education as we know it and redefined the federal role in K-12 education. The stated purpose of the law is to raise education standards for all children, eliminate achievement gaps, and help districts meet standards based on four components: accountability for results, local control and flexibility, expanded parental choice, and the use of proven successful researched-based interventions.

The NCLB policies have placed increased responsibility on local schools for strategic use of federal funds. Such a shift in policy responsibility necessitates new levels of capabilities for school planning teams. Questions have emerged related to the type of capabilities of planning teams to respond to the dynamic changes in policy, new student performance timelines and expectations for increased service delivery. This study will examine the historical context of compensatory education and the

current focus of NCLB, need for the study, a review of the relevant concepts, the study design, and a discussion of the findings and implications.

### Background of the Study

The Elementary and Secondary Education Act is the federal law that authorizes and regulates the majority of K-12 education programs. The first part of the law, known as Title I of the Elementary and Secondary Education Act was originally enacted in 1965 (Public Law 89-10) as a cornerstone of President Lyndon B. Johnson's 1960s "war on poverty." The act authorized grants for elementary and secondary school programs for children of low-income families; school library resources, textbooks, and other instructional materials for school children; supplementary education centers and services; strengthening state education agencies; educational research and research training. Historically, ESEA has been referred to as Chapter I, Title I, and now No Child Left Behind.

Occasional changes have been introduced to Title I since the program began in 1965. However, substantial changes now apply to all components of the federal compensatory initiatives. The new NCLB programs fall within six of the ten federal education program areas:

- Title I - Improving the Academic Achievement of the Disadvantaged;
- Title II - Preparing, Training and Recruiting High Quality Teachers and Principals;
- Title III - Language Instruction for Limited English Proficient (LEP) and Immigrant Students;

- Title IV - Safe & Drug Free Schools and Communities and 21<sup>st</sup> Century Schools;
- Title V - Promoting Informed Parental Choice and Innovative Programs;  
and
- Title VI - Flexibility and Accountability in the Use of Funds.

Additional elements of NCLB existed prior to the 2001 ESEA reauthorization and continue largely unchanged to include Title VII which covers Indian, Native Hawaiian, and Alaska Native Education; Title VIII addresses Impact Aid; Title IX governs the General Provisions and Title X, Repeals, has redesignations and amendments to other statutes.

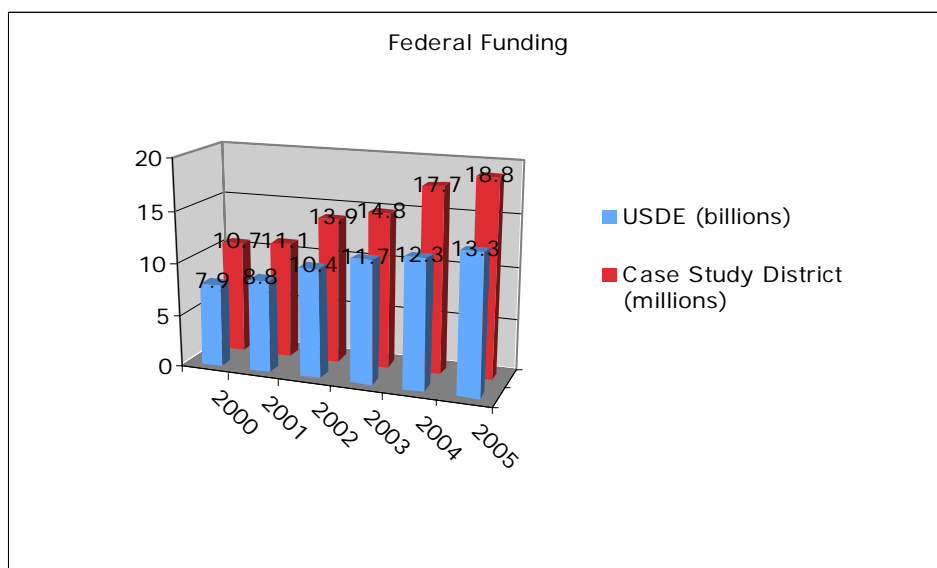
The NCLB legislation and final regulations (34 CFR Part 200, 2003) provide guidance and funding to support high-quality school improvement initiatives.

Through a systematic process, NCLB fosters a framework for identifying research-based, locally appropriate strategies to support teaching and learning; using frequent monitoring, schools are expected to demonstrate adequate yearly progress each year. A timeline has been established so that all students meet or exceed the “proficient” level of academic achievement by the 2013-2014 school year.

The section of NCLB that contains the provisions which specifically address the responsibility to ensure all children have a fair, equal, and significant opportunity to obtain a high-quality education and are able to achieve proficiency on challenging state academic assessments is referred to as Title I. Title I focuses on the implementation of high-quality planning processes in addressing the necessity for a

comprehensive needs assessment, increased coordination and alignment with other school resources, greater involvement of parents, use of scientifically based teaching strategies, effective transitions, and highly qualified staff and paraprofessionals. This is the largest section of the law, authorizing a total allocation of \$12.3 billion dollars in grants for Fiscal Year 2004 to school districts across the country (U.S. Department of Education, 2004).

Exhibit 1: Title I Federal Funding Trends



	USDE (billions)	District Case (millions)
2000	7.9	10.7
2001	8.8	11.1
2002	10.4	13.9
2003	11.7	14.8
2004	12.3	17.7
2005	13.3	18.8

The U.S. Department of Education computes the Title I allocation for each school district using census poverty and census population for children ages 5-17, children in neglected or delinquent institutions, and foster children. Large districts



(Local Education Agencies serving an area with a total population of 20,000 or more) will receive their allocation based solely on census poverty data.

The 2005 request of \$13.3 billion represents an increase of \$1 billion or 8.1 percent over the 2004 level and is intended to help states, school districts, and schools meet the strong accountability provisions and teacher quality requirements of NCLB. The president's 2005 request resulted in a five-year increase for Title I of \$5.4 billion, or almost 70 percent, and an increase of \$4.6 billion, or 52 percent, since the passage of NCLB (U.S. Department of Education, 2004).

The provisions of NCLB are administered by the state educational agency and implemented locally. Under the law, school districts receive federal funds through a multi-step allocation process. In turn, they distribute the funds to schools in their jurisdiction with above-average percentages of low-income children. The funds are also intended to provide appropriate services for neglected children in local institutions. Additionally, districts must make arrangements to ensure private school children receive an equitable share of available services.

In general, NCLB funds can be used for a variety of purposes, including increased help for students performing below standard; assistance for after-school, summer school, or extended day programs; implementation of exemplary reading and math programs; class size reduction; the hiring of paraprofessionals; and to provide professional development opportunities for teachers, administrators and paraprofessionals.

## Need for the Study

The purpose of this study is to examine the *No Child Left Behind Act* in high poverty schools and its impact on campus improvement planning processes with respect to the fidelity of program implementation in an urban public school district. Changes embedded in the *No Child Left Behind Act* have prompted the need for new research related to the impact of policy reform in local educational practices. These changes, detailed in the review of the literature, represent more than a conglomeration of incremental policy and program adjustment.

In 1962, Thomas Kuhn wrote *The Structure of Scientific Revolution* and defined the concept of a “paradigm shift.” Kuhn argued that scientific advancement is not evolutionary, but rather is a “series of peaceful interludes punctuated by intellectually violent revolutions,” and in those revolutions “one perceptual world view is replaced by another.” A paradigm shift can be used as a metaphor to describe the changes in compensatory education and Title I in particular. At the origin of compensatory education, policy framers possessed an overwhelming desire to provide equality in the distribution of education funding for disadvantaged students without a real regard for meaningful results in student achievement. Three facets of the current policy initiative provide the context for this study.

### Accountability

The changes in accountability provided in the *No Child Left Behind Act* prompt an increased need for the study of school-level practices. Prior to this legislation, accountability was focused at multiple levels that in addition to schools included State

Departments of Education, Districts, Educator Preparation Programs, individual teachers and various Federal Programs. Frequently, the accountability was focused on appropriate expenditure of funding and the delivery of services. Few of the past accountability practices included outcome measures, and even fewer accountability practices included consequences that prompted programmatic changes.

The current policy framework places increased emphasis on school-level accountability. Schools are held accountable with large-scale assessments of student performance. Every state has adopted formulae for determining specific levels of Adequate Yearly Progress (AYP). Furthermore, the NCLB framework of “flexibility with accountability” institutes a protocol of specific consequences for schools that do not make adequate progress, including decreased administrative authority, rigorous external guidance, and eventually, school restructuring. This increased emphasis on accountability fosters a need to study school-level team practices as they respond to increased expectations for performance.

### Acceleration

A second facet of the *No Child Left Behind Act*, specific definitions for accelerated performance, provides a basis for the study of school planning teams. Past legislation, at the State and Federal level, stressed the need for school improvement through various avenues, including compensatory funding streams, guidance documents, research initiatives, and technical assistance centers. However, missing from these efforts was a specifically defined expectation for accelerated performance.

In the new legislation, acceleration is defined in terms of specific timelines for student performance. The overarching expectation is that, by the 2013-2014 school year, all students would attain proficiency in the content areas of Reading and Mathematics. Additionally, policies relating to school improvement efforts contain timetables for acceleration. For example, after two consecutive years of not making adequate progress, schools must take specific steps to change their strategies of educational practice or face intensive interventions and formidable consequences. Further research is needed to understand how schools are responding to these accelerated timelines for improvement.

#### Dynamic Adjustments

A third facet of NCLB, the expectation of dynamic changes in school capabilities, is at the core of this exploratory research study. The framework for past legislation and program policies specified levels of school participation in federal programs. Studies of these programs, often referred to as “change” research, typically focused on “diffusion of innovations.” In studies of local school practices, this research frequently examined the extent to which schools had adopted a practice of interest, such as cooperative learning, guided reading, or parental involvement activities.

The new framework for implementing effective practice requires dynamic adjustments in local school practice. School planning teams are still required to review and select practices that have evidence of effectiveness. However, greater emphasis is placed on schools matching delivery of practices to the specific needs of students and parents. For example, in the past, Algebra I teachers were required to

adopt high-quality texts and materials to teach Algebra I. Teachers would then “cover” the required chapters and concepts within the specified number of weeks in the course.

Schools, in the new framework, are required to identify student needs before selecting texts, materials, or practices. Using the example stated above, if students were already proficient on some of the Algebra standards, the course and materials should be abbreviated and/or modified. Similarly, if students are missing prerequisite skills, the course should be adjusted to increase the student proficiency to an appropriate level.

Dynamic adjustment during instruction has long been the hallmark of effective teachers. However, the expectation of NCLB is that the school, as a system, should dynamically adjust to the needs of individual students. Teece, Pisano and Shuen (1997) have used the term “dynamic capabilities” as a framework to study the process of dynamic adjustment at the organizational level. They define dynamic capabilities as “the organization’s ability to integrate, build and reconfigure internal and external competencies to address rapidly changing environments.”

These facets of the *No Child Left Behind Act* highlight the need for research that examines how school planning teams respond to the shift in expectations for performance.

## Statement of the Problem

This study sought to address the problem of a lack of research related to the formation of dynamic capabilities in underperforming urban schools. The current systemic approaches (e.g., school structures, key work processes, and performance measures) in high poverty schools have not accelerated the expectations for NCLB implementation. Planning teams hold the primary responsibility for designing and implementing school improvement. These school based teams have significantly varying levels of skills for planning tasks. Therefore this study examines the variable effects of educational policy implementation as it relates to: Policy mandates, policy outcomes, capacity-building and system changing policies, within the local context that translates policy goals into concrete actions.

## Research Questions

This study addresses the following research questions:

1. How does the *No Child Left Behind Act* prompt change in school planning teams within an urban district, utilizing a decentralized approach?
2. What is the role of District and State influences when implementing NCLB in Title I funded schools?
3. What changes in dynamic capabilities are evident in school planning teams?

## Limitations of the Study

The study was conducted within the framework of the following limitations:

1. This study was conducted with a common district campus improvement planning process; not all districts are using a similar process.
2. The data related to campus improvement plan quality represent perceptions related to individuals in the study and responses were from a specific selection criteria, not random sampling.
3. The data collection for this study were limited to schools designated for implementing Title I programs

### Assumptions

The study was conducted within the framework of the following assumptions:

1. Policies are uniformly applied to schools using Title I funds to service disadvantaged students in schools with a high proportion of low-income students.
2. Dynamic capabilities can be studied by evaluating specific organizational routines.

### Relevant Concepts and Definitions

**Accountability:** A characteristic of an educational system whereby the schools, school districts, state government, or federal government are held responsible for the achievement of students. The term may also be applied to holding students responsible for a certain level of achievement for promotion or graduation.

Accountability System: Each state sets academic standards for what every child should know and learn. Student academic achievement is measured for every child, every year. The results of these annual tests are reported to the public.

Achievement Gap: The difference between how well low-income and minority children perform on standardized tests as compared with their less-disadvantaged peers. For many years, low-income and minority children have been falling behind their majority peers in terms of academic achievement.

Academic Performance Index (API): The API is a numeric score that measures school site and district performance based on a variety of educational indicators (e.g., student achievement in reading and math, high school graduation rates, and student attendance). The API score range is 0 to 1500.

Adequately Yearly Progress (AYP): An individual state's measure of yearly progress toward achieving state academic standards. "Adequate Yearly Progress" is the minimum level of improvement that states, school districts and schools must achieve each year.

Alignment: Refers to the consistency of plans, processes, actions, information, and decisions among schools and educational support services at the central office to support achievement of NCLB and district goals.

Assessment: Another word for "test." Under *No Child Left Behind*, assessments are aligned with academic standards. Beginning in the 2002-03 school year, schools were required to administer tests in each of three grade spans: grades 3-



5, grades 6-9, and grades 10-12 in all schools. Beginning in the 2005-06 school year, tests must be administered every year in grades 3 through 8 in math and reading. Beginning in the 2007-08 school year, science achievement must also be tested.

Corrective Action: When a school or school district does not make yearly progress, the state will place it under a “Corrective Action Plan.” The plan will include resources to improve teaching, administration, and/or curriculum. If failure continues, then the state has increased authority to make any necessary, additional changes to ensure improvement.

Disaggregated Data: “Disaggregate” means to separate a whole into its parts. In education, this term means that test results are sorted into groups of students who are economically disadvantaged, students from racial and ethnic minority groups, students with disabilities, or students with limited English fluency. This practice allows parents and teachers to see more than just the average score for their child’s school. Instead, parents and teachers can see how each student group is performing.

Decentralized Approach: Decentralization exists when decision making responsibilities for key organizational functions (technical or administrative) are distributed throughout organizations to various members, locations, and/or constituents. Decentralization, whether referred to by that name or by closely associated terms such as school-based decision making, site-based management, or participatory management, has been in vogue over the past decade and has been established in some form in every state (Neal, 1991).

Distributive Planning Process: A standards-based approach to program or policy planning in which schools are given the major responsibility for planning services that will achieve district goals (Kirstan, 2000 and Lauglo, 1995). For example, site based management or local responsibilities in accomplishing campus improvement planning.

Dynamic Capabilities: An organization's ability to integrate, build and reconfigure internal and external competencies to address rapidly changing environments (Teece, Pisano & Shuen, 1997).

Elementary and Secondary Education Act (ESEA): ESEA, which was first enacted in 1965, it has been reauthorized and renamed several times and is the principle federal law affecting K-12 education. ESEA was reauthorized in 2001 and renamed the *No Child Left Behind Act*. ESEA programs supplement state and local efforts to provide all children with a high-quality education. Programs target funds to address specific national priorities that are not being met at the state and local level.

Highly Qualified Teacher: A teacher who holds a minimum of a bachelor's degree; has obtained full state certification or licensure and has not had any certification or licensure requirements waived on an emergency, temporary or provisional basis and has demonstrated subject area competence in each of the academic subjects in which the teacher teaches.

Implementation Fidelity: Local implementation in compliance with the criteria of an external policy or program (Taylor & Teddlie, 1999). For example, the

extent to which Title I schools implement plan components such as staffing, materials, instructional innovations and programs as a part of school-based improvements.

National Assessment of Educational Progress (NAEP): As an independent benchmark, NAEP is the only national representative and continuing assessment of what American students know and can do in various subject areas. Since 1969, The National Center for Education Statistics has conducted NAEP assessments in reading, mathematics, science, writing, U.S. history, geography, civics, and the arts.

Professional Development: Those experiences which systematically over a sustained period of time, enable educators to acquire and apply knowledge, understanding, skills, and abilities to achieve personal, professional, and organizational goals and to facilitate the learning of students (Garet & Porter, 2001).

Priority Academic Student Skills (PASS): The state of Oklahoma's academic content standards identified at each grade level and for each content area.

Technical Assistance (TA): Technical assistance is the term used to describe the supplemental expertise used by schools. Such expertise comes from a variety of sources such as state department of education consultants, grant-related staff, university professors, central office program coordinators, or comprehensive reform program consultants. Technical assistance is often provided in formats such as: one-on-one consulting, coaching, mentoring, workshops, evaluations, committee membership, site visits, and presentations (Berman & McLaughlin, 1978).

Teacher Quality: The *No Child Left Behind Act* requires each state receiving funds under Title I, Part A, to develop a plan to ensure all teachers of core academic subjects in the state are “highly qualified” by the end of the 2005-06 school year. Core academic subjects include English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history and geography. More immediately, NCLB mandates that all new teachers working in programs supported by Title I, Part A, be “highly qualified” by the start of the 2002-03 school year.

Title I: The first section of the ESEA, Title I refers to programs aimed at America’s most disadvantaged students. Title I, Part A provides assistance to improve the teaching and learning of children in high-poverty schools and enable those children to meet challenging state academic content and performance standards. Nationally, Title I reaches about 12.5 million students enrolled in both public and private schools.

Safe Harbor: If the achievement of students in any student group does not reach the required annual objective but the student group still makes significant progress, the law provides a “safe harbor” that allows schools and districts to make adequate yearly progress under alternative criteria. Safe Harbor is achieved if the percentage of students in the student group who did not meet or exceed the proficient level for that year decreased by 10-percent of the percentage from the previous year and the student group made progress toward another academic indicator.

School-based Improvement: These are the developmental efforts that focus on the school, rather than the school district. This includes, but is not limited to, professional development of teachers, the implementation of innovations, school-focused curriculum development, organizational development, and incorporation of strategies of increased knowledge utilization in the roles of administrators, teachers and students.

Scientifically-based Research: Research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs.

### Chapter Summary

This chapter introduced the historical context of compensatory education and the current focus of NCLB. The discussion provided the background explanation, need, purpose, limitations, assumptions, and the key concepts and definitions for this study.

The following chapters describe the proposed study in further detail. Chapter two extends the introductory concepts about the historical context of compensatory education by reviewing the relevant literature related to NCLB policy, planning, and program implementation. Chapter three describes the research design used in this study including the selection of participants, the development and description of the instruments, data collection procedures, and the related analysis procedures. Chapter four presents the findings from the study. Chapter five contains a synthesis of the evidence that supports the study's conclusions.

## CHAPTER TWO

### Introduction

Chapter two presents relevant concepts and theory related to this study. The literature was searched by computer using key terms and by examining the Comprehensive Dissertation Indexes, the Education Index, Current Index to Journals in Education, and the Education Resources Information Center (ERIC).

Effective policy implementation is a key characteristic of successful organizations. Implementation is the stage of the policy process in which a policy formally adopted by a governmental body is put into practice. It is “the process of carrying out authoritative public policy directives” (Nakamura & Smallwood, 1980, p.1). However, most districts, schools and teachers do not view themselves as implementers of federal policy; they view themselves as professional educators that work within policy guidelines. The practices of teaching and learning are complex, and educators resist any notion that they are “bureaucratic functionaries” who exist to implement policies. Policies are public “agreements” that are adopted as standards of “what” is the common good. Implementation studies are the “how,” the context and process in which the policy is implemented. Thus, chapter two reviews the historical origins of one set of policies, compensatory education. It then examines research related to the implementation of policy within schools. Finally, this chapter concludes with a current framework for studying the *No Child Left Behind Act* implementation in schools within an urban district, utilizing a decentralized approach.

## Origin of Compensatory Education

The United States Supreme Court decision in *Brown v. the Board of Education* is one of the most significant court decisions in the development of our country (347 U.S. 483, 74S. Ct 686, 1954). The Supreme Court ruled that segregation of children by race in public schools was a violation of the Equal Protection Clause of the 14<sup>th</sup> Amendment. It recognized education as a civil right. As such, the ruling gave rise to the national debate about the quality of education being provided to disadvantaged students (particularly African American students) and eventually led to a broader inquiry about the needs of all children who had other disadvantages and were at risk. The Supreme Court's landmark decision helped provide the impetus for compensatory education that originally emphasized equality in the nation's distribution of governmental resources.

Following the *Brown* decision, President John F. Kennedy proposed various education initiatives. These initiatives included programs to assist schools in construction and to provide added resources to help pay teachers' salaries. The Kennedy administration was seeking ways to improve education including improved educational opportunities for those who were disadvantaged and most at risk. At the time, African American children made up 13% of enrolled children in public elementary and secondary schools. As a group, African American children represented 65% of the nation's poor compared to 20% for the Caucasian children who were living in similar poverty situations (Synder & Shafer, 1996).

Few would argue that the promise of the *Brown v. Board of Education* decision has been fully realized. The *No Child Left Behind Act* offers the public education system an unprecedented opportunity to make good on the promise of the Brown ruling.

### The Need for Change

The Title I program is the largest compensatory education program that provides extra help and make up services for disadvantaged students. A considerable portion of NCLB funding is under the Title I program area, which is aimed at schools serving a disproportionate number of students living in poverty. Funding under other titled programs, however, is not necessarily based on income criteria (e.g., Preparing, Training, and Recruiting Highly Qualified Teachers and Administrators, Language Instruction for Limited English Proficient and Immigrant Students, Safe and Drug Free Schools and Communities).

The earlier reformers emphasized equality as the tool to demand that education interventions be neutral and uniform in the treatment of all children. Addressing the racial prejudice that existed before *Brown* required that the courts not only redress state centered segregation but also intervene in institutionalized forms of private and social discrimination over which states had indirect influence. To do this, both federal constitutional and statutory law have been employed to overcome the vestiges of past discrimination.



Table 1: Comparison of Expectations for Early Title I and NCLB

Early Title I	No Child Left Behind Act
Prescriptive Interventions	Flexibility and Accountability
Independent Parallel Programs	Coordination and Collaboration
Unit of Focus was Students	Unit of Focus is School-wide Processes
Delivery and Service Models Focused on Equality of Opportunity	Expectations for Equity of Results (Proficiency for All Student Groups)

The *No Child Left Behind Act* seeks to address the student “proficiency” issue through an effective implementation planning process which includes a comprehensive needs assessment, use of research-based practices and alignment of resources with an added emphasis on measurement of student achievement in grades 3 through 8, and at least once in high school. The implications of this shift in the education policy of today results in a compelling impact in two key areas: school capacity (e.g., delivery of Title I services and measures of performance) and planning processes which represents the substance for demonstrating school intentions that affect skills to execute local implementation of NCLB. In short, successful implementation of NCLB as an education policy illuminates from the requisite components of high quality planning.

An effective planning process allows schools to develop a strategic and continuous plan that focuses on quality interventions and high levels of student achievement. High quality planning strategies also afford educational practitioners an opportunity to exhibit leadership as they create solutions and demonstrate success.

## Conceptual Framework of NCLB Programs

A clear understanding of the purposes underlying many of the standards-based reform policies is necessary to effectively implement and evaluate progress. The National Research Council highlights the basic framework, which is fairly straightforward:

The centerpiece of the system is a set of challenging standards. By setting these standards for all students, states would hold high expectations for performance; these expectations would be the same regardless of students' backgrounds or where they attended school. Aligned assessments to the standards would allow students, parents, and teachers to monitor student performance against the standards. Providing flexibility to schools would permit them to make the instructional and structural changes needed for their students to reach the standards. And holding schools accountable for meeting the standards would create incentives to redesign instruction toward the standards and provide appropriate assistance to schools that need extra help

(National Research Council, 1999, pp. 2-3).

These policies, however, are unlikely to affect student learning unless they are linked directly to efforts to build both teacher and school capacity. It has long been recognized that meaningful change cannot take place without changes in the core technology of teaching and learning (Gamoran et al., 1995; Oakes et al., 1992). However, there is now a greater understanding that clear standards and strong incentives by themselves are not sufficient to change teaching and learning. Instead, there is a need to focus on “building dynamic capacity”—that is, building those elements that are needed to systemically support effective instruction (Massell, 1998). These efforts include providing quality professional development and technical assistance to improve teachers' knowledge and skills, providing curriculum frameworks and materials, and organizing and allocating resources through school improvement planning.

Yet, the process of these changes to improve student achievement is complex and difficult, requiring the coordination and alignment of a variety of factors to make

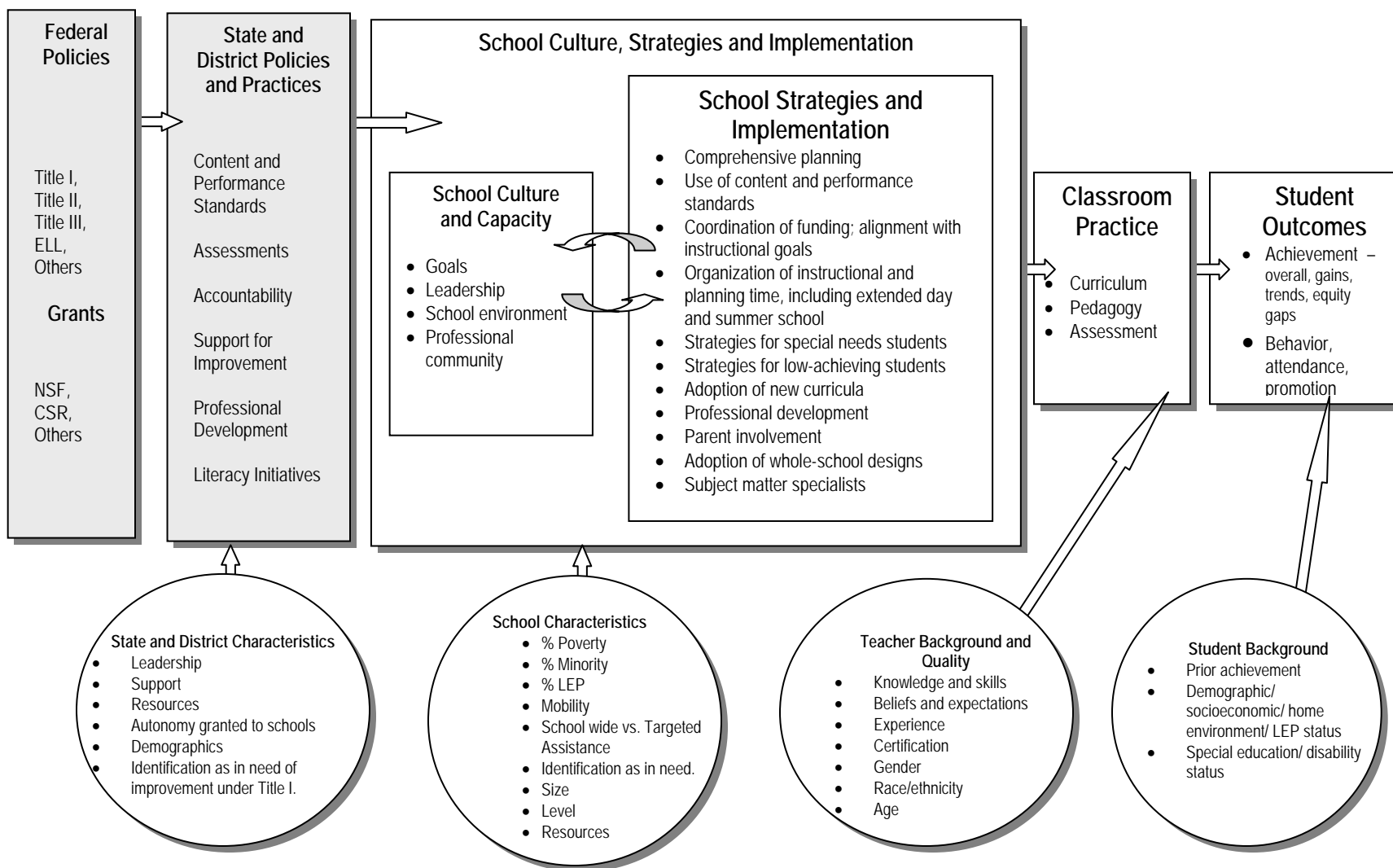
it work. The process of school change is heavily dependent upon the attributes of the change itself in terms of need and relevance of the change, clarity, complexity, and quality and practicality; characteristics at the school district level, including support and stability; characteristics of the school, including leadership, school climate, and poverty; characteristics of teachers themselves, peer relationships, and orientations; characteristics of the students in terms of poverty, race/ethnicity, home environment, readiness and motivation to learn, and prior achievement; and finally, the characteristics external to the local system, such as role of the district and state, external assistance, and so on.

Thus, any framework for understanding federal educational programs needs to take into account the perspectives of a variety of actors and environments throughout the system – at the federal, state, district, school, classroom, and student levels—and explicitly specify the linkages among these, instructional practice, and student achievement. The U.S. Department of Education published the following graphic to illustrate the components in *No Child Left Behind* legislation and the relationship of the policies and programs. This graphic demonstrates the intent of NCLB policies—that is, the alignment of federal programs and grants with state and local policies. These policies should support clear goals within schools so that all students are able to demonstrate mastery of high standards, regardless of race or ethnicity, language, or socio-economic status.

Additionally, Exhibit 2 describes how federal resources support continuous improvement in the services that are delivered through schools. The central tenet is that if standards-based reform is adopted, supported, and fully implemented, then

instructional practice will change, thereby improving students' educational outcomes. Federal, state, and district policies and practices define and support standards-based schools and classrooms, as shown in the box labeled "School Culture, Strategies, and Implementation."

Exhibit 2: Conceptual Framework for NCLB Programs



## Expectations for Schools

Standards-based schools are characterized by clear, shared goals/mission; a comprehensive planning process (including needs assessment and data-based decision making); and coordination of resources from several sources. Further, these schools adopt and implement content and performance standards; align their school organization, governance, and use of time to further implement standards; and attempt to involve parents through effective parental involvement strategies. At the core of these schools is an aligned curriculum, high-quality professional development aimed at helping teachers teach to high standards and use effective strategies for teaching special populations, support for teachers in terms of collaborative planning, and use of teacher aides. Also, standards-based reform schools emphasize increasing the amount of learning time, whether with extended-day or after-school programs or tutors. In some instances, under programs such as the Comprehensive Schools Reform (CSR) program, schools adopt whole-school models to further the implementation of standards-based reform and foster school improvement.

School culture is a key element of school effectiveness. The research literature on effective schools has consistently identified four factors that describe the culture of high-performing schools: clear, shared goals; strong leadership; a safe and orderly environment; and a professional learning community (e.g., Purkey & Smith, 1983; Newmann & Associates, 1996; Bryk, Lee, & Holland, 1993; Coleman & Hoffer, 1987). The strategies and interventions that a school adopts as part of federal reform efforts are expected to strengthen school culture. In turn, a positive school culture may contribute to

the school's capacity to successfully implement high-quality reform strategies and interventions (Berends & Kirby et al., 2001; Sebring & Bryk, 2000).

In addition, there are three underlying assumptions in this theory of action. First, the strategies and interventions are to be high quality in that they are based on best practices as reflected in the research literature. Secondly, these strategies and interventions are to be well implemented in that school staff is committed to translating them into practice, and they are widespread throughout the school. Third, standards-based reform legislation encourages school improvement efforts to be coherent throughout the school and with state and local improvement plans—to reduce curricular and instructional fragmentation in order to develop a more coherent instructional strategy within and across grades. These school interventions and strategies—provided they are high-quality, well-implemented, and coherent—should lead to improved teaching practices and change at the classroom level.

Standards-based classrooms should be characterized by high standards and expectations, curriculum content that is aligned with standards and assessments, and pedagogy that is consistent with best practice as identified in the research literature on effective instructional strategies, particularly in mathematics and reading. In addition, the set of interventions and strategies adopted by standards-based schools and classrooms should be coherent and consistent throughout the school.

### Accountability Requirements

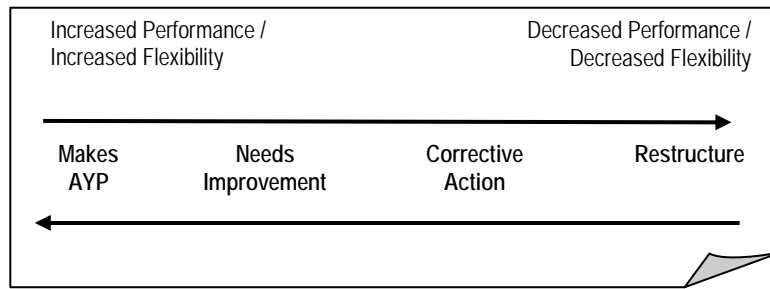
Since its inception, the Elementary and Secondary Education Act (ESEA) has provided basic funding to schools based on the assumption of local capacity to implement

effective strategies in response to student needs. However, over the past several decades, guidelines for restructuring (IASA, 1994; NCLB, 2001) have adopted a framework of “flexibility with accountability”. Schools that consistently make adequate yearly progress in student performance maintain increased levels of flexibility. Schools that consistently do not make adequate yearly progress enter a path of decreased flexibility, illustrated in the exhibit below. *No Child Left Behind* specifies that if a school continues to fail to make adequate yearly progress after being identified for school improvement, districts must take corrective actions meeting the requirements of §1116. Corrective actions are designed to increase substantially the likelihood that each of the four student groups (major racial/ethnic groups, disabled, low-income, and LEP) enrolled in a school will meet or exceed the state’s proficient level of achievement on the state assessment.

Corrective actions must substantially and directly respond to the consistent academic failure of a school that required the district to take action and/or underlying staffing, curriculum, or other problems in the school. After five consecutive years of not making adequate yearly progress, districts must prepare a plan and make necessary arrangement to impose alternative governance, while continuing to provide school choice and supplemental educational services to families. The restructuring requirements of *No Child Left Behind* represent the most serious and potentially punitive actions ever imposed under federal law.



### Exhibit 3: Continuum of Flexibility with Accountability



#### Sequence for Improvement

The concept of flexibility with accountability is translated into a specific, year-by-year sequence of improvement activities. The table below provides an example of stages with the related interventions required of schools that do not make adequate yearly progress. Schools identified for improvement must demonstrate a deliberate consideration of viable educational options and must select strategies that have the most promise for showing increased student performance.

Table 2: Example—A School Not Making AYP from 2001

AYP Stage			1	2	3	4	5
School Year	2001-02	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08
AYP	No	No	No	No	No	No	No
Status	<b>Basic Program</b>		<b>Formal Designation</b>	<b>Renewed Emphasis</b>	<b>Corrective Action</b>	<b>Plan Restructure</b>	<b>Restructure</b>
Choice Option	No	No	School Transfer	School Transfer	School Transfer	School Transfer	School Transfer
Supplemental Services	No	No	No	Yes	Yes	Yes	Yes
Planners	School	School	School/TA	School/TA	External / School	External	External
Interventions	Planning Process		Additional TA	Additional TA	Intensive Interventions Additional TA Re-staffing Outside Expert Extend day Extend year	Intensive Interventions Additional TA Re-staffing Outside Expert Extend day Extend year	Alternative Governance Restructure Additional TA Re-staffing Outside Expert Extend day Extend year

(Table based on USDE Guidance Documents  
<http://www.ed.gov/admins/lead/account/saa.html#ayp>)

Schools must plan for making adequate yearly progress (AYP) based upon each state's single system of accountability. The following scenario was developed to illustrate the differences in school increases in Academic Performance Index (*api*) scores. The state accountability systems determined *api* target scores for student performance. The chart plots (lines) the increases in *api* target scores for the areas of Reading and Mathematics through the year 2014. Three schools are then charted (bar lines) using current *api* scores and projected *api* scores. Projected scores are calculated using a 10% increase annually.

The first school (1. AYP) was designated for improvement for the 2004 school year (based upon 2003 scores). If the school improvement plan yields the projected 10% increase, the school would “catch up” to the *api* targets by the end of 2004, and with two years of improvement would no longer be identified for improvement.

The scenario for the second School (2. Safe Harbor) also identified for improvement, also projects a 10% improvement rate per year. In the year 2007, the school scores (673) and also surpasses the *api* baseline scores (648, 622), however the required scores have increased (932, 914) leaving the school to be designated for improvement.

Finally, scores for the third Example School (3. Non-AYP), show the need for improvement similar to the previous examples. Projecting a 10% growth in *api* scores, the improvement strategies do not provide enough change in student scores to meet standards for adequate progress. If identified for improvement in 2002, the school would be identified for Corrective Action in 2005 followed by planned restructuring in 2006-07.

Exhibit 4: AYP Scenario Based On 10% Gain

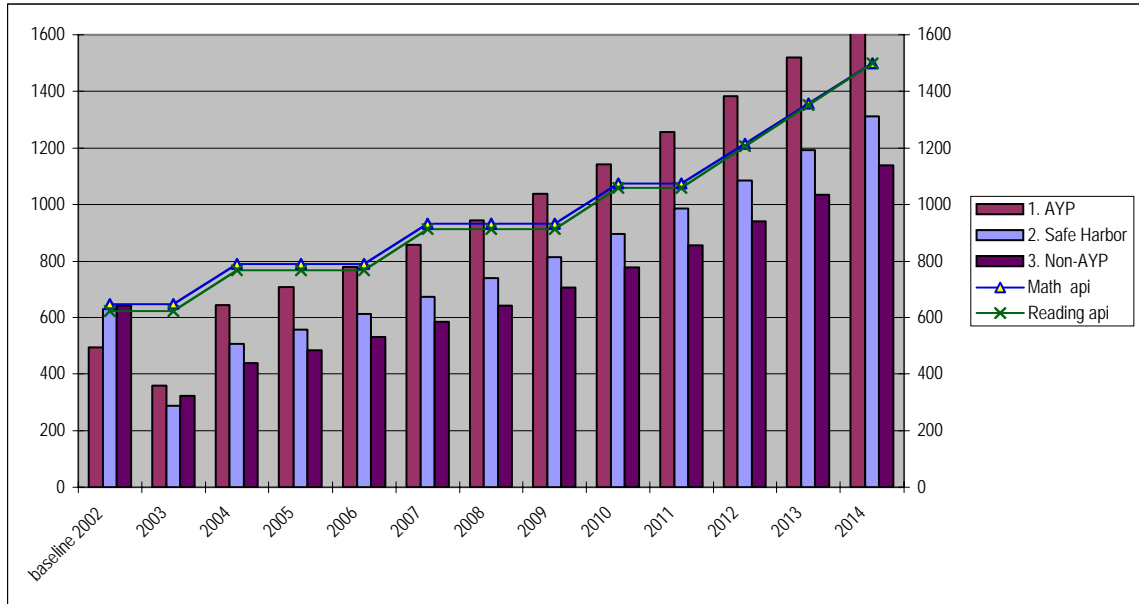


Exhibit 4: AYP Scenario Based On 10% Gain (continued)

		Projected Scores												
	200													
	Baseline	2	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
API Targets														
Math	api	648	648	790	790	790	932	932	932	1074	1074	1216	1358	1500
Reading	api	622	622	768	768	768	914	914	914	1060	1060	1206	1352	1500
1. AYP School		494	359	645	710	780	858	944	1039	1143	1257	1383	1521	1673
	Gain	0	-135	286	65	71	78	86	94	104	114	126	138	152
	api Gap	-128	-263	-123	-59	12	-56	30	125	83	197	177	169	173
2. Safe Harbor		629	287	506	557	612	673	741	815	896	986	1085	1193	1312
	Gain	0	-342	219	51	56	61	67	74	81	90	99	108	119
	api Gap	7	-335	-262	-211	-156	-241	-173	-99	-164	-74	-121	-159	-188
3. Non-AYP		641	322	439	483	531	584	643	707	778	855	941	1035	1139
	Gain	0	-319	117	44	48	53	58	64	71	78	86	94	104
	api Gap	19	-300	-329	-285	-237	-330	-271	-207	-282	-205	-265	-317	-361

The current NCLB policy reflects the roots of the Elementary and Secondary Education Act and provides an unprecedented opportunity to make good on the intent of the Brown ruling. This national education policy recognizes continuing challenges in public schools and provides the impetus for change.

### Implementation Research

In addition to the descriptions of the current federal policy designs for compensatory education, the literature contained examinations related to how policy designs were implemented in local educational systems. The area of traditional policy evaluation contained studies measuring the extent to which a given policy configuration was present, or “implemented” in the target population. This initial type of policy evaluation could be described as the extent or level to which policy components are operationalized as program components across a decentralized system.

A second portion of the literature contained studies examining the process by which policies were implemented in systems and examined from a variety of perspectives (Murphy, 1971; Berman and McLaughlin, 1978; Fullan 1991; and Puma et al, 1997). The literature suggests that successful implementation depends upon developing and maintaining both the *will* and the *capacity* of those directly taking action described in the policy. These implementation studies and the focus of this research, examine systems of influence or support structures that increase the likelihood of achieving policy intent.

Federal compensatory educational programs have addressed policy implementation in many ways since inception in the 1960s. The following sections will

review the main approaches for implementation of these programs. While some approaches identified in the literature were more prominent during specific time periods, it was found that several approaches could be present concurrently within a single time period and even within a single policy.

### Policy Implementation as “Opportunity”

Many policies have been implemented in ways that are designed to provide increased access to services. This approach, a keystone of *Great Society* policies, provided significant funding to schools which target at specific student groups or demographic characteristics. Programs aimed at providing increased access to equal education for students living in poverty, such as Chapter I entitlement funds, provided pullout programs, additional materials, and staff development for teachers.

While this approach to implementation often addressed equality of opportunity, difficulties often surfaced over time with equity of results. For example, long-term studies (e.g., RAND Change Agent Study and Prospects) indicated that education proficiency did not significantly increase when disadvantaged students received increased opportunity from compensatory funding that equaled and often exceeded non-disadvantaged per student funding. Student performance, however, frequently declined when provided less educational opportunity. Thus, policy as “opportunity” is often found to be necessary, but not sufficient as an approach for policies to reach the intended policy objectives.

As a policy, compensatory education is a program of supplementary instruction designed to meet the individual needs of students performing significantly below expected achievement levels in language arts, math, and/or reading. Compensatory

education allocations provide equal access for disadvantaged students identified as in poverty, special education, and/or English language learners. The early researchers argued that while this was necessary it was not sufficient due to the low levels of results.

For example, in his influential book *The Culture of the School and the Problem of Change*, first published in 1971 and reissued in 1996, Seymour Sarason argued that most education reforms fail because reformers often marginalize the impact of school culture. At the real core of schools is the process of teaching and learning which has proven more resistant to change (Elmore, 1996, 1997; Tyack & Cuban, 1995). Adopting a change in educational practice or policy requires large groups of practitioners to unlearn the beliefs, values, and assumptions that underlie their current work (Dede, 2000). Such unlearning requires a significant commitment of time and energy that is difficult for policymakers or school system leaders to mandate. As a result, change is a “problem of the smallest unit,” requiring the engagement and commitment of those at the local level (McLaughlin, 1991). These challenges are to some degree built into the very structures of public education. This challenge is further compounded by the reality that many teachers teach in self-contained classes and those who do not necessarily agree with a particular reform effort are able to shut their doors and go on doing what they have always done (Tyack & Cuban, 1995).

Studies of organizational change provide insight into the lack of results often seen in “opportunity” approaches to implementation. This approach while addressing issues targeted through written policy, doesn’t address the organization and local culture of work manifested through work routines, expectations, interim progress measures, and

implementation processes. Clearly, it takes more than opportunities to effectively implement policies for robust policy implementation.

### Policy Implementation as “Prescriptions”

In the literature, policies that simply provide opportunities are, over time, often revised in ways that may address the intended policy outcome, yet approach implementation through highly prescribed roles, methods and practices. This prescriptive approach often has the effect of clear evidence of programmatic implementation at targeted sites. One such example is in the implementation of Chapter I, as an early federal program implemented as policy with very specific programmatic prescriptions to include: identification of students, high quality materials, consistent assessments, training, and national “blue ribbon” awards, but not necessarily with a common benefit or coordinated effort.

Recent research studies looked at successful and unsuccessful implementations and attempted to determine why some policies are fully implemented and others are not. One of the best-known research studies of this type was the RAND Change Agent Study, whose principal investigators were Paul Berman and Milbrey McLaughlin. RAND researchers embarked upon a multiyear investigation of the implementation of 293 federal projects in 18 states. Like early researchers, the RAND team drew a largely negative conclusion: “In most cases, the innovations funded by federal seed money had not taken root,” (Berman & McLaughlin, 1978, p.12). Nonetheless, they did find some success stories among the 293 projects.



In the official report, Berman and McLaughlin sought to explain the differences in their findings among the projects. They found that successful implementation was not a mechanical process of following recipes from a policy “cookbook.” Rather, a process of “mutual adaptation” had occurred in the successful projects. Mutual adaptation involved changes in both the implementers’ behavior and in the details for the policy design, which was modified to fit local circumstances (McLaughlin, 1976). The RAND Change Agent Study clearly found that implementation, although difficult, was possible.

Data from *Prospects: The Congressionally-Mandated Study of Educational Growth and Opportunity* provided a unique opportunity to examine student outcomes over time. The primary purpose of the *Prospects* study was to estimate the longitudinal impact of the effects of Chapter 1 (now Title I) on limited-English proficient (LEP) students. In addition to providing detailed information for a nationally representative sample of students, their classrooms, and their schools, these data were collected at a time when federal policy initiatives were actively encouraging structural reforms. The implications of the study provided much needed evidence to better understand the nature and extent of:

- High quality educational assessments for all students (including LEP students)
- Improved staff development for both new and current teachers and paraprofessionals to effectively teach LEP students for higher achievement throughout the core curricula
- Improved program coordination at state, local and school levels, and
- Better technical assistance (including areas that serve relatively few LEP students)

The *Prospects* study found that Chapter I assistance was, on average, insufficient to close the gap in academic achievement between advantaged and disadvantaged students (Puma et al., 1997). The early Chapter I implementation is but one example of where policy implementation without sufficient systems of support often do not achieve the intended results; other implementation challenges include special education programs and services for limited-English proficient students. Even with a high-level of prescriptive approaches, the over emphasis on prescribed roles, methods, and practices failed to adequately address the intended results.

#### Policy Implementation as “Standards”

A third approach to implementation utilizes standards to communicate, influence, and support implementation at distributed sites. Standards are descriptions of specifically intended policy outcomes, but are not usually prescriptive in design. For example, a policy may state, “schools will frequently monitor student progress”. This example describes “what” schools will do, but the policy does not prescribe “how” the school will accomplish the outcome.

The Improving America's Schools Act (IASA), as signed into law by President Clinton on October 20, 1994, fundamentally restructured the Elementary and Secondary Education Act of 1965. Within IASA was the Goals 2000 policy framework focused on revising practices to support comprehensive state and local reforms to improve teaching and learning for all students. This policy included a standard for Goals 2000 grantees to “plan for schoolwide reforms and improvements.” The emphasis was on high academic

content standards with an aligned curriculum, state assessments, and professional development.

Because the legislation was non-prescriptive, describing only generally-stated and ultimate expectations, school programs were implemented in a variety of ways and incorporated a range of components (Schenck & Beckstrom, 1993). While there was agreement about the standards approach, there was a slow rate of adoption, low fidelity, and insignificant change in results.

In 1990, Joseph Murphy reported on the implementation of a different set of education policies: the reforms of the 1980s (e.g., increased graduation requirements). Murphy concluded the policies had been implemented quickly and were already influencing schools in the United States and attributed this success to the result of the design of the policies. Moreover, the policies of the 1980s were viewed as regulatory in nature; therefore they were perceived to be easier to implement than the policies in the 1960s and 1970s had been. Additionally, Murphy argued the policies built on existing school structures and “emphasized quantitative increases” (Murphy, 1990, p. 35). These landmark studies and many others conducted during the 1980s and 1990s provided a solid foundation for furthering the understanding of policy implementation.

In his description of early implementation research studies, Fowler (2000) articulated three major lessons. First, he concluded that policy implementation is difficult and emphasizes the point that we can’t assume that when people receive authoritative policy directives they will automatically follow them. Fowler emphasized that change is difficult and the status quo comfortable, thus, implementation is heavily influenced by

human tendencies and individual needs. Secondly, Fowler argued that policy implementation requires a high-level of planning and organizational ability and, as such, researchers found intermediary implementers (administrators and teachers) lacked the knowledge and skill to effectively implement policy. The third lesson Fowler found was the criticality of resources in the implementation process (e.g., time and materials).

#### Policy Implementation as “Standards, Models, and Consequences”

A fourth approach to policy implementation builds upon the “standards” approach by adding evidence-based models of practice and consequences. In this approach, as in the *No Child Left Behind Act*, the school is the unit of implementation. The approach to policy implementation in NCLB is based on the idea that there is a “syntax” or model of implementation that is appropriate for each specific school population. The task of the school is to identify, and implement with fidelity, a model that addresses school needs such as learner characteristics of specific student groups, the sequence for service delivery, learning issues related to culture and language and the impact of staff characteristics and competencies.

Along with the requirement for adoption of appropriate models of implementation, this approach adds a framework of incremental consequences. These consequences are primarily focused on clear indicators of results for the policy. For example, NCLB has the same basic focus as the IASA, however, it has added emphasis for state, district, and school-level accountability through consequences linked to results. Previously, the major consequences were primarily at the federal level and were only linked to program implementation.

This type of model began with Comprehensive School Reform (CSR) as an approach to improving schools—focusing on reorganizing and revitalizing entire schools, rather than on isolated piecemeal efforts to raise student achievement. In the words of the July 2002 guidance from the Department of Education, “The [CSR] program is built on the premise that unified, coherent, and integrated strategies for improvement, knitted together into a comprehensive design, will work better than the same strategies implemented in isolation from each other.”

This comprehensive approach has been supported by three congressional initiatives: the 1994 Title I reauthorization that created “Title I Schoolwide,” the 1998 Comprehensive School Reform Demonstration (CSRD) program, and the *No Child Left Behind Act of 2001*. The purpose of this federal initiative is to provide financial incentives for schools to develop comprehensive school reforms that have been shown to be effective through scientifically based research, so that all children can meet challenging state content and performance goals.

The current CSR federal legislation specifies eleven components of practice and school organization that must be addressed in a comprehensive school reform plan. Many schools choose to base these plans on one or other established comprehensive designs that have previously been found effective elsewhere. Under this federal program, funds are allocated to individual states, which make competitive awards to schools and districts to implement CSR plans. The largest portions of these funds are specifically for Title I schools, but all schools are eligible for the competition.

Public schools do not operate in a vacuum. Most schools are part of school districts and are subject to policies generated at the state and federal level. As a result, a great deal of research indicates difficulty in changing school-level practice without changing the environment in which schools work (Hassel & Steiner, 2000). All policies are therefore mediated through the context in which they are implemented and are changed in the process. These changes may take the form of minor adjustment or major transformations, but policies are always altered during implementation (Mazemanian & Sabatier, 1989).

Policy implementation and education reforms can be hindered by the nature of bureaucracy itself. As Schorr indicates in her book *Common Purpose* (1997), effective programs have attributes threatening established bureaucracies by making changes such as reassigning teachers, reorganizing time, establishing new academic priorities, and redefining roles. Therefore, once a program goes to scale those interested in maintaining the status quo or in avoiding conflict, implementation is marginalized by ensuring the reform is under funded, water-downed, and/or altered (Huberman & Miles, 1984; McDermott, 2000; Slavin & Madden, 1999).

The allocation of resources and training are another avenue for implementing reform in schools. New programs and policies often require additional funds and/or a reallocation of existing funds in order to achieve successful outcomes (Bodilly, et al., 1998; Odden, 2000a, 2000b). Training is a particular challenge because existing professional development programs often do not meet the needs of practitioners engaged in comprehensive reform. Most districts offer one-time workshops on in-service days

rather than ongoing, targeted help with new practices (Fullen, 1991; Hawley Miles & Hornbeck, 2000).

Education practitioners operate under increased public pressure for results. Therefore, intense public pressure on school officials to get results quickly that precludes supporting long-term reform (McDermott, 2000). This pressure often leads school officials to adopt reforms in order to gain access to much needed resources, rather than addressing identified needs (Huberman & Miles, 1984; Slavin & Madden, 1999). In addition to the bureaucracy, resource and training issues, policy implementation is also impeded by a dissatisfied public that is largely undecided about how educational goals should be achieved, creating challenges for policymakers who try to adopt measures with broad public support (Schorr, 1997).

Researchers have concluded that individuals and agencies must cooperate (Ring & Van de Ven, 1994) in order to implement a policy and must have reasons for doing so—in other words, they must be willing. Although motivation can be encouraged in many ways, formal implementers should not take it for granted. In short, motivation is necessary for good implementation, but it is not sufficient in and of itself. All the will in the world cannot overcome a lack of capacity—the ability to do what the policy requires. As with will, formal implementers must constantly keep in mind the capacity of the intermediaries (McLaughlin, 1987).

From this review, it is clear that the period from the 1960s bore witness to acceleration in the number of federal education policies and in the approaches in which these policies were studied. During this time period, longstanding views of policy

implementation as a “receptive” process—a process of receiving or reproducing the functions set in written policy—have been challenged due in large part to the resulting incoherent implementation (Newmann et. al. 2001). While many policies are still evaluated using earlier paradigms of receptive implementation, increasingly policy implementation is studied using a constructivist view (Vygotsky, 1978; Brown & Duguid, 1991). This view differs from the traditional implicit model of implementation that school staffs are “blank slates” that are unable to make significant decisions without explicit direction from policy (Adler, 1996). Research from this period indicates schools that adopted a prescriptive view of policy implementation did not improve performance. Even when policies and mandated programs were implemented with high levels of fidelity, services were designed to focus on program components and not on student needs for learning.

Many elements of the *No Child Left Behind* Act (2001), designed within the framework of “flexibility with accountability”, require schools to construct school-based organizational and service delivery responses in order to reach high levels of student proficiency. Instead of prescriptive implementation of policies, NCLB requires schools to demonstrate capabilities that lead to increased student proficiency— such as capabilities to make instructional decisions based upon data; capabilities to adopt and deliver teaching strategies that are matched to local student needs; capabilities to assess progress toward mastery of challenging standards; capabilities to assist students in making transitions from one level to the next; capabilities to engage students in learning and address barriers to learning.



Thus, current implementation research examines how organizations (in this case schools) create, adapt or adopt routines or practices (Zollo & Winter, 2002) that allow progress toward meeting the expectations for which they are accountable. Policies take on the function of interorganizational cooperative relationships and agreements (Ring & Van de Ven, 1994). In this current view of implementation, effectiveness is not measured by the extent to which schools can uniformly replicate components of the policy. Instead, effective schools are those able to adjust their local capabilities—increasing or at times decreasing certain activities—in a model that is sufficiently robust to meet local needs.

### Dynamic Capabilities

Teece, Pisano and Shuen (1997) have used the term “dynamic capabilities” as a framework to study the process of dynamic adjustment at the organizational level. They define dynamic capabilities as “the organization’s ability to integrate, build and reconfigure internal and external competencies to address rapidly changing environments.”

Schools with strong dynamic capabilities are able to intentionally adapt in ways that accelerate their progress year by year. In this process, Zollo and Winter (2002) propose that organizations in relatively static environments can incrementally adapt by adjusting the use of known procedures. The development of dynamic capabilities can be viewed as burdensome to the organization when operating in a calm environment.

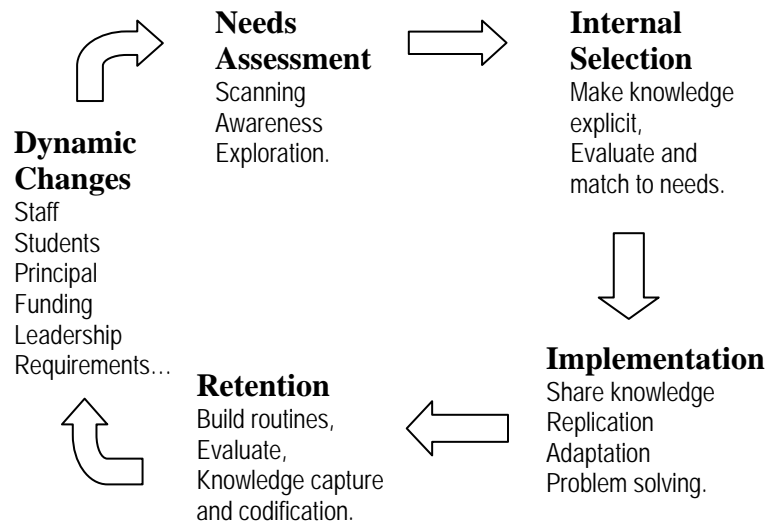
Conversely, when the organization is in a competitive, complex, or rapidly changing environment, persistence of the incremental approach to learning quickly becomes hazardous. Schools unable to make Adequate Yearly Progress (AYP), or unable

to make AYP at the expected pace, will face increased local, state and federal sanctions. The graphic below (adapted from Zollo & Winter, 1994) represents the school's "ability to integrate, build, and reconfigure internal and external competencies to address rapidly changing environments".

Dynamic capabilities are the drivers behind the creation, evolution, and recombination of other resources into new sources of competitive advantage (Brown and Eisenhardt, 1997; Teece et al., 1997). One of the first considerations is dynamic change and the need to build consensus among common goals, expectations and team leadership to integrate identifiable routines and resources to focus on reconfiguration. Second, schools must conduct a comprehensive needs assessment (34 CFR Section 200.26) as a prerequisite to the development of Title I plans. The first task of planning committee members is to collect data that describes trends in student performance and to answer questions that explain why students are performing at the assessed levels.

Internal selection requires the use of scientifically based research, mentioned prominently throughout NCLB. According to the assistant secretary for elementary and secondary education, the term appears 116 times in the act. This holds long-term implications for states, districts, and schools in the use of federal funds and quality of reform in general. Schools that use a systemic process to examine data tend to increase the rate and commitments to specialized resources. Lastly, rethinking the relationship between monitoring practices and school effectiveness is essential to retention in this era of increased accountability. Thus, periodic monitoring builds upon the NCLB School planning strategies to strengthen routines, evaluate key work processes, and capture knowledge.

### Exhibit 5: Dynamic Capabilities Learning Process



Few schools, however, have established a systematic process to promote dynamic capabilities. Schools that evidence patterns of these capabilities experience increased staff focus, increased plan quality, alignment of technical assistance efforts, and some indication of increased student proficiency.

### Chapter Summary

In conclusion, it would seem governmental good will notwithstanding; a variety of factors have historically retarded efforts for successful implementation of NCLB in any large-scale fashion. Factors such as socio-economic variables, cultural imperatives, individual human perceptions and adherence to teaching modalities that are out of sync with the modern student cohorts of the new millennium all potentially marginalize such a broad-based referendum. The approach for increase school performance embedded in NCLB policy elevates expectations for school planning teams, requiring new types of coordination of federal, state and local efforts. It seems obvious, to be successful, any

such national education policy initiative must be flexible enough to be tailored successfully to its local constituency.

## CHAPTER THREE

### Study Design

The focus of the study was to identify how schools organize through a distributed planning process to meet the requirements of *No Child Left Behind*. A sample was selected from participants in an urban public school district's campus improvement planning process. Analysis of Title I Campus Improve Plans indicated large variability when compared to standardized criteria for plan quality. This study selected participants from schools submitting plans from the extremes of the plan quality scale. Participants were asked to reflect upon organizational routines in an effort to explain differences in the ways in which plans were developed and implemented.

The following information describes the procedures used to conduct this study. It begins with a description of the district context from which the sample was drawn, the participants, and sampling plan. Next, the survey instrument used and the questionnaire developed for the study are highlighted. The description includes information concerning the organization of the instrument and how validity and reliability were determined. The third section reviews the procedures used for data collection. Finally, a description of the research design and data analysis is presented.

## Study Participants

In order to study the policy-related organizational patterns within schools, it was necessary to identify and describe a specific policy context in which the case study schools operate. To identify representative schools, the researcher selected one urban district, as a case study, that had a large number of schools that were required to respond to state and federal policies. This allowed the researcher to ensure that schools included in the case study had experienced similar influences from the state and federal policies. None of the schools are presumed to be equivalent in student demographics, staff characteristics, or size. However, by limiting the case study to a single district, the researcher was able to examine schools required to respond to a single policy initiative that was implemented within a single district context.

### The District Context

This study was conducted in an urban public school district that made significant efforts to assist all schools to develop campus improvement plans that accelerate student proficiency of academic standards and meet the requirements of *No Child Left Behind*. The population for the study was composed of certified personnel who participated in the campus improvement planning processes within the district. The following section describes the district characteristics from which the sample was selected. Approximately 80 percent of the 39,740 students attending schools in the district studied are served by Title I programs and services. These services are offered at 48 elementary, 13 middle, 7 high schools, and 5 alternative and supplemental programs. Services are provided in pre-school through grade twelve as listed in Table 1.

Table 3: Title I Students by Grade Level

Grade	<u>Targeted</u>		<u>School wide</u>		<u>Totals</u>	
	2002-03	2003-04	2002-03	2003-04	2002-03	2003-04
Pre-school	0	0	1,557	2066	1,557	2066
Kindergarten	0	0	2,823	3700	2,823	3700
Transition	127	1	324	314	451	315
Grade 1	703	12	2,697	3553	3,400	3565
Grade 2	410	58	2,550	3083	2,960	3141
Grade 3	395	234	2,603	2929	2,998	3163
Grade 4	440	247	2,541	2893	2,981	3140
Grade 5	465	242	2,465	2816	2,930	3058
Grade 6	537	511	2,041	2109	2,578	2620
Grade 7	657	494	1,706	2000	2,363	2494
Grade 8	689	543	1,630	1801	2,319	2344
Grade 9	2,071	169	224	2386	2,295	2555
Grade 10	1,385	157	144	1915	1,529	2072
Grade 11	541	62	57	1575	598	1637
Grade 12	49	14	4	1390	53	1404
<b>Totals</b>	<b>8,469</b>	<b>2,744</b>	<b>23,366</b>	<b>34,530</b>	<b>31,835</b>	<b>37,274</b>

Title I services are distributed in an equitable manner throughout the district.

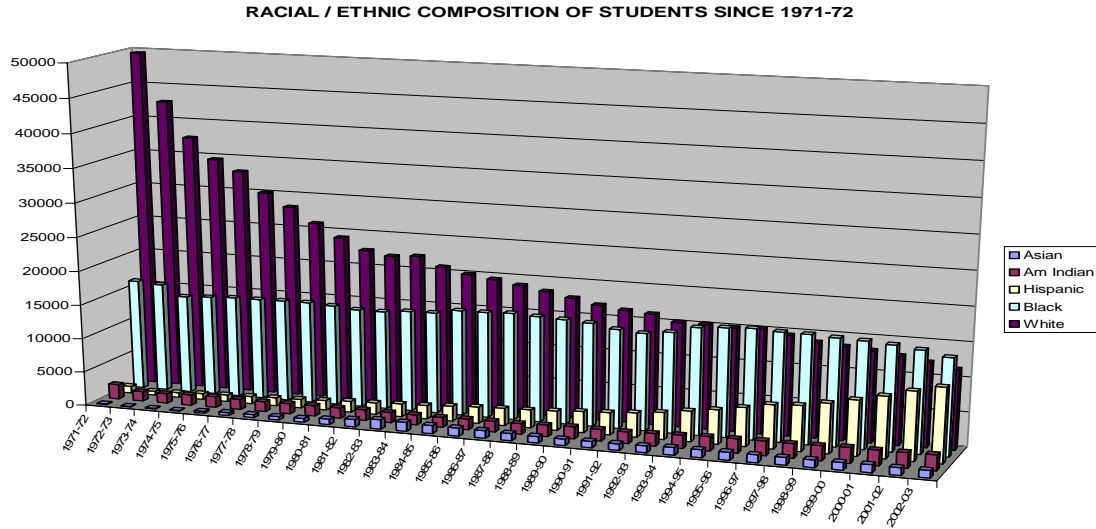
Most students are served in schoolwide programs through the eighth grade. In ninth grade and beyond, services are primarily offered in a targeted approach. Distribution of services is also equitably distributed between males and females, as displayed in Table 4.

Table 4: Title I Students by Gender

Gender	Targeted	School wide	Total
Female	1,373	17,002	18,375
Male	1,371	17,528	18,899
<b>Totals</b>	<b>2,744</b>	<b>34,530</b>	<b>37,274</b>

Over time, a pattern of changing demographics has affected the racial/ethnic composition of the district student population. Exhibit 6 indicates a steady decline in the number of Caucasian students while the number of African-American students has remained fairly constant. Steady increases are noted in the number of American Indian and Asian students, but most notable are the increases in the number of Hispanic students.

## Exhibit 6: District Demographic Trends



### Trends

Current statistics reveal that the overall demographic changes are mirrored in the current Title I enrollment, displayed in Table 5. The second and third columns list the disaggregated enrollment count by targeted and schoolwide models of implementation.

**Table 5: Title I Students by Race/Ethnicity**

Race/Ethnicity	Targeted	School wide	Total
Asian	39	961	1,000
Black	1,025	11,829	12,854
Hispanic	931	10,599	11,530
Native Am.	171	1,845	2,016
White	578	9,296	12,040
<b>Totals</b>	<b>2,744</b>	<b>34,530</b>	<b>37,274</b>

Table 6 lists the number of Title I students identified for additional services due to limited English language skills or needs for special services. Close to half of the Title I students are identified for one of these additional services.



Table 6: Title I Students by Co-enrollment in Special Programs

Service	Targeted	School wide	Total
Limited English	1,952	25,171	27,123
Special Services	716	5,487	6,203
<b>Totals</b>	4,009	10,116	33,326

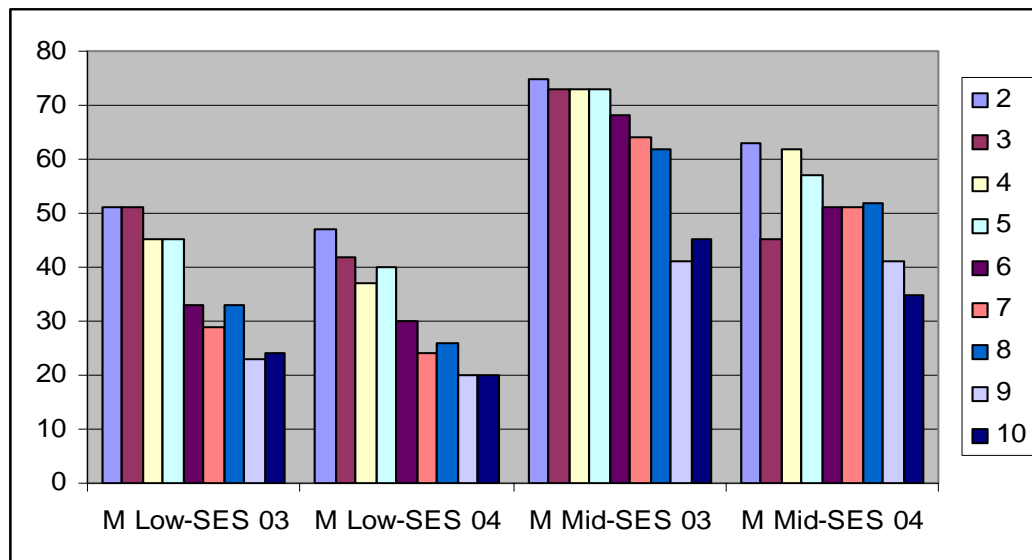
Analysis of the Iowa Test of Basic Skills (ITBS) indicates that, at this time, low socio-economic students (SES) participating in the current school curriculum score lower than mid-SES students across all assessed grade levels. This finding aligns with the purpose for Title I services, which are designed to supplement such schools by providing systematic approaches to improve teaching and learning for all students, including students coming from disadvantaged backgrounds.

One of the core purposes of Title I is to provide an equitable education for disadvantaged students. The following analysis uses data from the Iowa Test of Basic Skills (ITBS), a large-scale assessment. While this assessment is not completely aligned to the Oklahoma Core Curriculum Test (OCCT), studies have benchmarked national standards for Reading and Mathematics. The ITBS also is the only assessment that provides the district long-term data trends over decade-long administration.

In the following graph, Math scores are compared for two years, and are displayed by “low” and “mid” socio-economic status (SES) across grades two through ten.

## Exhibit 7: Trends in ITBS Math Scores

Percent of Students Scoring At or Above the 50<sup>th</sup> Percentile by Grade

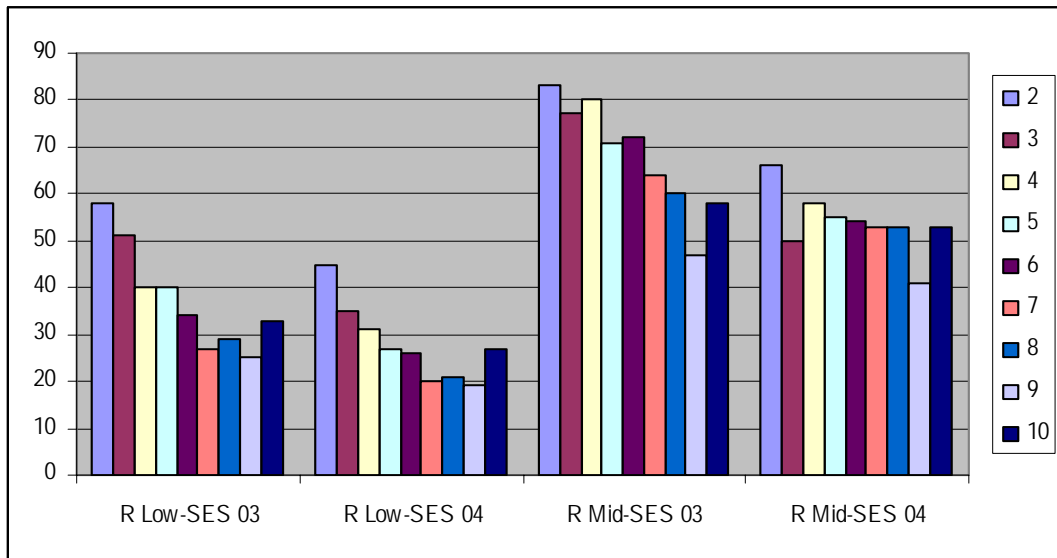


Grade	M Low-SES 03	M Low-SES 04	M Mid-SES 03	M Mid-SES 04
2	51	47	75	63
3	51	42	73	45
4	45	37	73	62
5	45	40	73	57
6	33	30	68	51
7	29	24	64	51
8	33	26	62	52
9	23	20	41	41
10	24	20	45	35

(Source: PRE)

The following graph displays scores for Reading from the ITBS for the same grade levels and student groups. Data are displayed for reading comparing Low-SES student scores and Mid-SES student scores for two consecutive years.

**Exhibit 8: Trends in ITBS Reading Scores**  
Percent of Students Scoring At or Above the 50<sup>th</sup> Percentile by Grade



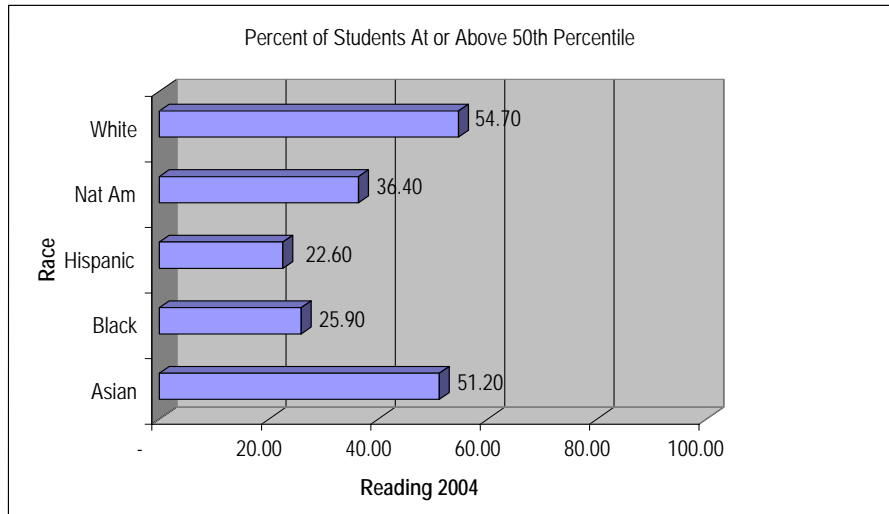
(Source: PRE)

Analysis of these two sets of data can be summarized as follows:

- Scores have declined from last year.
- Scores have declined across both content areas.
- The “achievement gap” is consistent across the district.
- Fewer students are proficient the longer they are in the curriculum.
- Achievement gaps are also evident when data is disaggregated by racial groups. The following chart indicates that the achievement gap continues to exist between groups of students attending schools served by Title I.

### Exhibit 9: 2004 Reading Scores

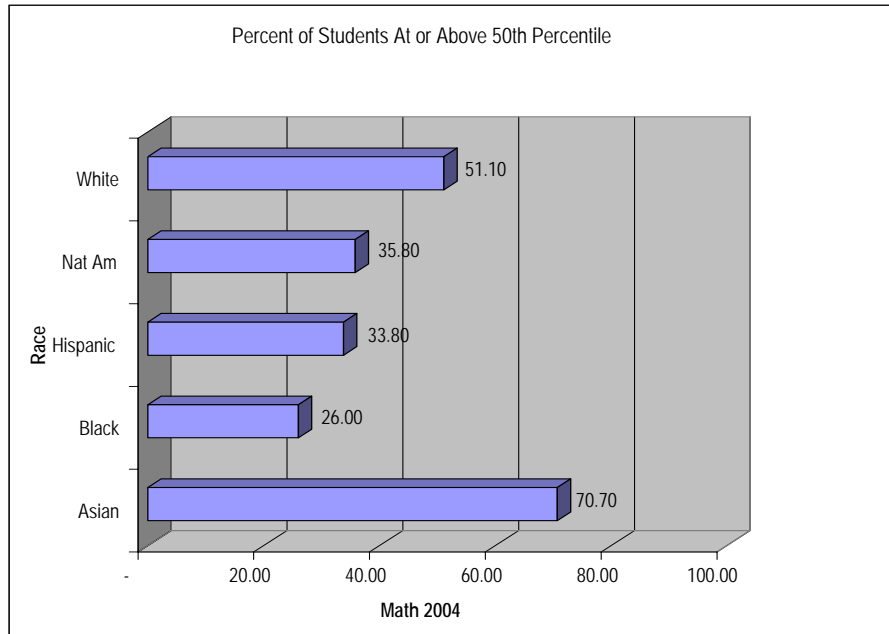
#### Percent of Regular Students Below and Above 50th Percentile by Race



(Source: PRE)

### Exhibit 10: 2004 Math Scores

#### Percent of Regular Students Below and Above 50th Percentile by Race



(Source: PRE)

The analysis of these data indicates a continued need for Title I services across the district. Primarily, the analysis shows a high priority for schools to strengthen instructional approaches that will close the performance gaps for disadvantaged students. This project was designed to help Title I school teams to better understand the specific

needs of their students and then to plan aligned instructional strategies, services, and staff development to address the identified needs.

### Case Study Approach

As an exploratory investigation, this research was conducted using a case study methodology. Case study methodologies are appropriate in complex situations when broad types of knowledge must be integrated into an in-depth investigation (Feagin, Orum, & Sjoberg, 1991). Case studies have been widely used in organizational studies, sociological contexts, and in instruction. Such studies are designed to articulate rich understandings of the context that impact a specific research topic. The study used multiple sources of evidence; including survey instruments, interviews, and physical artifacts.

This study examined the case of an urban school district as it implements new, far-reaching federal education policy. The study documented the larger policy context of schools since they operate in a framework of federal, state, and district rules and regulations. Additionally, the study included responses from individuals as they work in the school. However, these data will be used in order to add to the theoretical and practical understanding of school implementation of distributed planning processes for large-scale policy initiatives.

### Selection of Schools

The first step in identifying participants for this research project was to select schools from which to draw a study sample. Schools were selected based upon the

district standardized criteria for Title I campus improvement plans. For the purpose of this study, the criteria used to select schools were based on the average total score from the seven plan quality domains of the campus improvement plans from each school site. This research study targeted 31 schools from a total of 73 Title I eligible campuses for site visits. The survey was administered to school planning team members, identified using a stratified random sample in an urban district, rated the extent to which a sample NCLB school implementation plan met specified criteria. Responses were initially analyzed to determine patterns of inter-rater reliability, followed by a factor analysis to explore differences in response patterns in low-performing (not meeting AYP) and high-performing schools (meeting AYP).

## Data Collection

### Site Visits

The primary source of data for the study was derived from semi-structured interviews of participating school planning team members. Interviewers scheduled 30-40 minute interviews with the planning team members. A site visit protocol was used to document field notes for each interview. Using a systematic qualitative approach, a narrative analysis was accomplished from the field notes using a coding procedure to make interpretations. The protocol was structured around questions identified in the literature related to distributed planning and decision-making processes.

Data from the interviews were analyzed using the constant comparative method (Bogden & Bicklen, 1990). Patterns were identified within each construct related to the guiding questions. Additional organizational data was compiled for each school in the

study to create and describe the “dynamic capabilities” related to the production of high quality plans and plans that were rated as lacking key qualities.

#### State Policy and Practices

The study collected extant data related to the current state implementation of federal policy as applied to the schools identified in this study. Data collection included existing publications from the Oklahoma State Department of Education, the U.S. Department of Education, and district communications for policy guidance. Primarily, this information focused on the program guidance and the school accountability system.

The second type of information to be analyzed was derived from the systems of support to assist schools with increasing student performance. States are required by law to provide appropriate types of assistance, especially to low-performing schools, in ways that would have the greatest likelihood of increasing student levels of proficiency.

#### District Policy and Practices

Schools are the primary unit of accountability and policy focus in the *No Child Left Behind* legislation. Schools, however, operate as organizations within the context of district structures and district school board policy. Thus, this study collected descriptive data related to the policies and practices implemented by the school district that could have an impact on school-level implementation. Using the constant comparative analysis process, patterns were identified that describe the policy context in which schools operated.

## Procedures

This section describes the timeframe and measurement format used to collect data for the study. The format used for eliciting accurate data is described in consideration of recommendations for survey design (Dillman's, 1991; Fox, Crask & Kim, 1988; Hippler & Schwarz, 1987; Jensen, 1985). This is followed by a description of the strategies used to ensure an adequate response rate to the Campus Visit Interview Protocol and Survey.

### Timeframe

This study examined the affects of NCLB policy implementation in an urban public school district from the spring of 2002 through the 2004-2005 school year. Extant data, describing district and state sources, were analyzed and summarized as policy themes throughout this timeframe. The physical artifacts in this study included documentation evidence that might be gathered during a site visit, some of which included school improvement tools such as, campus improvement planning documents, data notebooks, computer generated output products, and other such physical evidence. Yin (1994) suggested three principles of data collection for case studies:

1. Use multiple sources of data
2. Create a case study database
3. Maintain a chain of evidence

The rationale for using multiple sources of data is the triangulation of evidence. Triangulation increases the reliability of the data and the process of gathering it. In the context of data collection, triangulation serves to corroborate the data gathered from other sources.



School-level data was collected during the 2004-2005 school year. It was important to collect data at this point since it represented a reasonable timeframe for the policies to have an impact on school processes. It would be inappropriate to research large-scale policies during the first year of implementation due to the scope of impact. The schools included as participants in this study have had extensive policy orientation, planning activities, training, and time to formulate school-level responses.

#### Measurement Format

Jensen (1985) emphasized the importance of using response strategies that increase respondents' ability to provide accurate information when using self-administered surveys. Specifically noted were measurement formats that provided respondents' assurance of confidentiality, ease of response, clear and attractive visual formats, and use of instructional cues. To that end, each respondent was approached with the following procedures:

1. School principals were contacted with information about the purpose of the study and how information would be used.
2. School principals were requested to select staff participants including: two (2) campus planning team members, and two (2) instructional staff who were not a part of the campus planning team.
3. A cover letter explaining the purpose of the study and instructions for responding to the survey.
4. Principals received a copy of the survey for Campus Visit Interview Protocol and Survey.

In addition to basic instructions, the cover letter explained the importance of the respondent's contribution to the research study and gave an assurance of confidentiality. The survey was printed with high contrast and black text. Survey text included clearly marked sections with concise instructions for marking responses.

## Instrumentation

### Purpose of the Survey Instrument

Perceptions of supportive campus improvement planning practices were assessed using the Campus Visit Interview Protocol and Survey that was developed by this researcher from a content analysis (Bogden & Biklen, 1992; Holsti, 1969; Krippendorff, 1980) of materials from three sources: a) research about organizational designs, administration, and decentralized systems, b) literature related to school-based improvement, and c) comprehensive school improvement program materials. The analysis of these materials yielded four content categories of administrative practices: 1) campus planning, 2) data utilization, 3) leadership for planning, and 4) technical assistance. The Campus Visit Interview Protocol and Survey were developed as exploratory instruments to determine the degree to which supportive administrative practices within these four content categories were seen as important during the implementation of the *No Child Left Behind Act*.

### Instrument Design

The instrument format selected for the study was a semi-structured interview. This type of instrument is often used in exploratory research to focus on specific domains of interest to the researcher. The semi-structured format allowed the researcher to collect

data with consistency across sites and research subjects. Stake (1995) stated that the protocols that are used to ensure accuracy and alternative explanations are called triangulation. The need for triangulation arises from the ethical need to confirm the validity of the processes. In case studies, this could be done by using multiple sources of data (Yin, 1984). The problem in case studies is to establish meaning rather than location. Utilization of several response formats allowed for triangulation of responses within the interview. The instrument included interview tasks, designed to elicit thoughtful responses from participants, in the form of a) open-ended questions b) scaled items c) classification d) graphic representation and e) prioritizing. The specific type of survey technique was a self-administered questionnaire (Dillman, 1991). This method of data collection is used extensively and has been deemed appropriate for situations in which researchers seek to collect original data from populations resulting in nominal scaling (Babbie, 1989; Dillman, 1991).

### Organization of the Instrument

The Campus Visit Interview Protocol was organized into five parts. Respondents were asked to identify their roles in the district and indicate the extent of their involvement in the Campus Improvement Planning process. A detailed description of the sections of the Campus Visit Interview Protocol and Survey follows:

#### Site Visit Plan Demographic Information

The first part consisted of four questions that asked for demographic information which enabled the researcher to describe respondents in the sample. Personal descriptors of the respondents included: role in the district, school, time and date of the structured

interview, and the feeder pattern (learning community) of the school assigned. This information was important in describing respondents since the study focused on the analysis of perceptions of planning survey participants having confirmed levels of experience in the implementation of campus planning.

### Section 1: Campus Planning

This section was divided into two sub-sections. Section A contained four open-ended questions related to campus planning asking participants to describe how their school approached the campus improvement planning process to increase the number of proficient students (e.g., organizing staff, gaining school-wide commitment, main barriers, and the extent of change). Section B included a five-point Likert magnitude rating scale (Bass, 1974) to measure the likelihood of successful implementation and impact on the effectiveness of campus planning standards. Respondents were asked to indicate the level of importance each of the standards had during the implementation of the campus improvement planning process. Practices perceived as “not important” were to be marked one (1) on the left side of the scale. Practices perceived as “very important” were to be marked five (5) on the right side of the scale. Numbers, equally spaced, were printed between the two extremes.

### Section 2: Data Utilization

This section of the Campus Visit Interview Protocol described practices used by the planning team participants to facilitate data utilization in the campus improvement planning process. The practices were grouped into the following areas with a focus on assessments: (1) type, (2) frequency, (3) assessment name, and (4) specific assessment training of planning team participants.

### Section 3: Leadership for Planning

Survey participants were asked to draw a graphic representation for how their school organized the leadership for planning the development of an effective campus improvement plan. The instrument included an example of such a graphic. Further, planning team participants were asked to explain what their graphic meant and to list the basic sequence of events used to develop their campus improvement plan.

### Section 4: Technical Assistance

There were two primary areas used to gather data related to the perceptions of planning survey participants involving technical assistance: roles or organizations for technical assistance providers and consideration for the professional development in which the educators participated in over the last 12 months.

The Campus Visit Interview Survey was scored by recording the number selected by the respondent for each item. Responses were considered continuous data. Since the study focused on exploring patterns within the data, items within each category were initially assumed to be independent of each other. Thus, a total score for each item was calculated, but category scores were not computed for the survey results.

## Chapter Summary

This chapter described the specific procedures that were used to conduct the study. Following policy researchers such as Yin (1994), this exploratory case study used multiple sources of evidence to ensure construct validity. Not all sources are essential in every case study, but the importance of multiple sources of data to the reliability of the study is well established (Stake, 1995; Yin, 1994). This study used multiple sources of evidence: survey instruments, interviews, student achievement data and physical artifacts.

The specification of the school as the unit of analysis also provided the internal validity as the theories were developed and data collection and analysis tested those theories.

A brief description was provided of the district context from which the sample was drawn, including the participants, followed by an overview of the sampling plan. Next, the survey instrument used and the questionnaire developed for the study were highlighted. The description included information concerning the organization of the instrument and how validity and reliability were determined. The next section reviewed the procedures used for data collection. Finally, a description of the research design and data analysis was presented.

## CHAPTER FOUR

### Findings of the Study

#### Introduction

Implementation of NCLB policies at the state and district level serves as the primary sources of influence for change in local schools. This new approach to implementation (“school-level flexibility with accountability”) departs from past approaches that emphasized accountability for specific program implementation without accountability for school-level results. Thus, the approaches to NCLB implementation, adopted by states and districts, serve as a source of dynamic change to which schools must respond with adaptations in organization and delivery of services.

Schools with strong dynamic capabilities are able to intentionally adapt in ways that accelerate their progress year by year (Senge, 2000; DuFour & Eaker, 1998). Elaborating on the notion of adaptation, Zollo and Winter (2002) propose that organizations in relatively static environments can incrementally adapt by adjusting the use of known procedures. Conversely, the researchers observe that when the organization is in a competitive, complex, or rapidly changing environments, persistence of the incremental approach to learning quickly becomes hazardous.

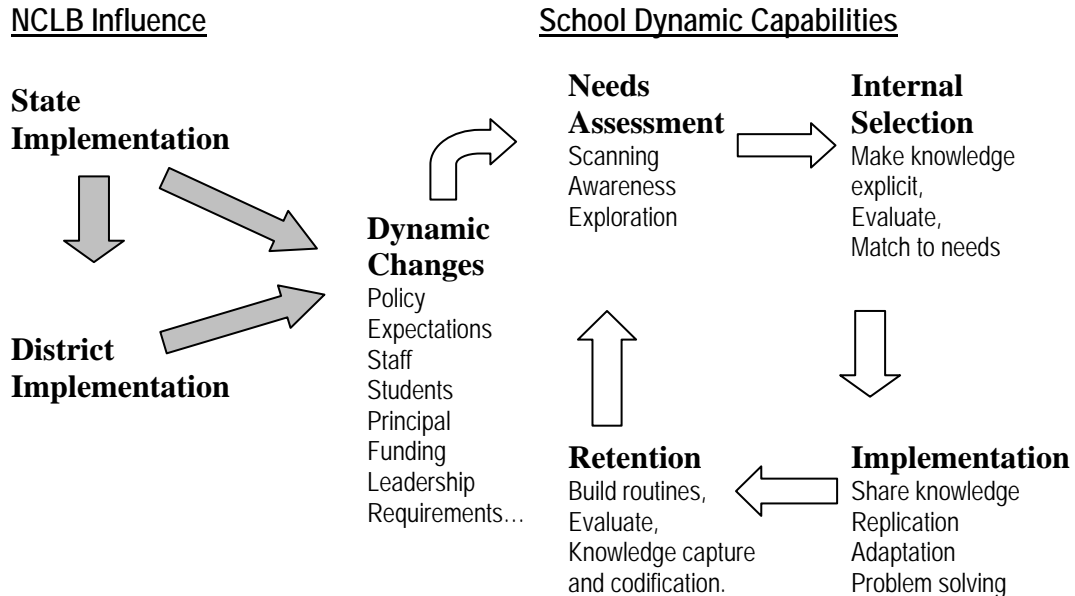
For example, schools that are unable to make adequate yearly progress (AYP), or that are unable to make AYP at the expected pace, face increased local, state and federal

sanctions. These outside influences serve as signals for the organization to restructure in ways that are more comprehensive and have an impact on fundamental work processes.

Exhibit 11 represents the [simplified] conceptual relationship of NCLB policy influence (National Research Council, 1999; refer to Chapter 2) to the dynamic capabilities (adapted from Zollo & Winter, 2002) in local schools. In their framework, Zollo & Winter (2002) posit a set of theoretical categories through which their concept of dynamic capabilities may be observed. These categories include needs assessment, internal selection, implementation, and retention.



Exhibit 11: Influence upon the Dynamic Capabilities Learning Process in Schools



This graphic provides the framework for reporting the findings from this qualitative study. The first section will describe the state and district-level approaches experienced by schools in the selected case study. The second analysis will address the responses of the school to the implementation of NCLB policy. Findings for this analysis will make use of the framework advanced by Zollo & Winter (1994), describing the school’s “ability to integrate, build, and reconfigure internal and external competencies to address rapidly changing environments.”

#### Indicators of Influence

Schools function within a context representing a variety of influence that shape the quality and effectiveness of educational services. However, two primary entities,

School Districts and State Education Agencies, are recognized as the primary institutions of public trust for common education. To demonstrate credibility in this role of trust, these institutions are expected to act in ways that ensures efficient and equitable outcomes that benefit the public—in this case, these institutions adopt policy and procedures that will be viewed as instrumental in promoting quality education for all students.

District and State Education Agencies, as purveyors of the common good, adopt various mechanisms of influence, identified by McDonnell and Elmore (1987), called *policy instruments* that serve to translate the intention of policy into concrete actions.

In the case of NCLB policy, Districts and State Education Agencies (SEA) are provided with regulations, guidance, and outcome criteria that must be adopted if the institution is able to use federal funding sources. In turn, the District and State agencies adopt specific approaches of influence toward local schools. McDonnell and Elmore propose that four major categories of influence are evidenced in the implementation of educational policy. Table 7 lists these categories—mandates, inducements, capacity building, and system change—along with definitions proposed by the researchers.

Table 7: Defining Instruments of influence

Strategy of Influence	Definitions
Mandates	Rules governing the action of individuals and agencies that are intended to produce compliance.
Inducements	Transfer of money (recognition, rewards) to individuals or agencies in return for certain actions.
Capacity-building	Investment in material, intellectual, or human resources toward specific goals.
System-change	Transfer of authority, adjustment in process or other system by which public goods and services are delivered.

The following section provides descriptive data and analysis of the strategies of influence evidenced by the District and State Education Agency in the case study. Following this description, a summary table will be used to discuss the approaches identified in the case study.

#### State-level Approach to NCLB Implementation

#### Adoption of Adequate Yearly Progress Criteria

Schools have been identified for improvement since the *Hawkins-Stafford Act* (P.L. 100-297), which was the 1988 reauthorization of the Elementary and Secondary Education Act. This reauthorization was the first attempt Congress made to tie accountability to student performance, a dominant theme of the current *No Child Left Behind Act*. The implications of the school improvement designation have changed through the NCLB accountability system.

Prior to the introduction of the NCLB accountability framework, the participating schools experienced multiple accountability systems. One example is illustrated under the old framework used by the State Department of Education with oversight for the urban district in this study, both national and state percentiles of the Iowa Tests of Basic Skills (ITBS) Composite scores for grades 3 and 7 to evaluate each school and assign it a performance status. If either of the grades had an average achievement level below the 50<sup>th</sup> percentile nationally and at or below the 25<sup>th</sup> percentile for the State, that school was classified as “low-performing.” Any school that met the low performing criteria in any three consecutive years was also classified as “high challenge.”

The new framework in NCLB provides a more comprehensive review of improvement and a small level of continuity in gauging *adequate yearly progress* across states and between Title I and non-Title I schools., to include assessments in grades 3 through 8 and at least once in high school along with additional factors such as student attendance, number of students testing or participation rates, and/or high school graduation rates.

Under section 1111(b)(2) of NCLB, the State was required to establish a definition of *adequate yearly progress*, based primarily on the State's final assessment system, that is used to measure the progress of its Title I schools and districts. That definition must result in continuous and substantial yearly improvement of each district and school sufficient to achieve the goal of all children served under Title I meeting the State's proficient and advanced levels of performance by 2013-14.

Section 1116(a) of Title I requires each district receiving Title I funds to use each State's final assessment or transitional assessment and any additional local measures to review annually the performance of each school served under Title I. Following PL 107-110 section 1116(c), the SEA introduced a process requiring each district to identify for school improvement any school that has not made adequate yearly progress or has failed to meet the State's improvement criteria for two consecutive years. The district was then required to take corrective action for any school that has been in school improvement for three years. Section 1116(d) contains similar requirements for States to annually review and identify districts needing improvement.

The implementation of NCLB policy by the State was, in large measure, simply an adoption of Federal regulations. The following chart from the U.S. Department of Education (2005) illustrates this requirement under various scenarios.

**Exhibit 12: School Improvement Timeline**

YEAR 1		YEAR 2		YEAR 3		YEAR 4		YEAR 5		YEAR 6	
Identification for School Improvement				In School Improvement						Corrective Action?	
Making Adequate Yearly Progress?											
1	No	No	No	No	No	No	No	No	No	Yes	
2	No	No	No	No	No	No	No	Yes	Yes	Yes	
3	No	No	No	No	Yes	No	No	No	No	Yes	
4	No	No	No	No	Yes	Yes	Yes	Yes	Yes	Out of School Improvement	
5	No	No	Yes	No	No	Yes	Yes	Yes	Yes	Out of School Improve ment	
6	No	No	Yes	Yes	Yes	Out of school improve ment	Out of school improve ment	Out of school improve ment	Out of school improve ment		

Examination of the SEA process showed that the state process was exactly in line with all the scenarios from the federal timelines listed above. A school that has failed to make adequate progress for two consecutive years and thus was identified as needing improvement. Once identified for improvement, a school must make adequate progress for at least two out of three years to exit improvement status. Each of the schools in scenarios 1, 2 and 3 did not make adequate progress for two out of three years after being identified as needing improvement. Thus, they did not exit improvement status; rather, they were identified as needing corrective action. If a school has made adequate progress for two of three years, it may exit school improvement like the schools in scenarios 4, 5, and 6. Note that, in scenario 5, the school did not need to make adequate yearly progress in two consecutive years to exit school improvement.

### School Improvement Designations

The schools participating in this case study were provided NCLB *adequate yearly progress* designation annually, beginning in 2002-03 school year in which eight schools were identified as not making AYP (baselines were established for the 2001-02 school year). AYP was assessed separately for reading/language arts and mathematics and the results of which are reported in four student achievement proficiency levels: advanced, satisfactory, limited knowledge, and unsatisfactory.

Notification to schools followed a sequence of events beginning with the State Department of Education's notification to the district's superintendent (at the start of each school year) who in-turn coordinated with the district's Planning, Research and

Evaluation Department to verify the data used in the designations and to start of the appeal process (where appropriate).

Ultimately, school principals and staffs were notified by the State of their AYP designation through the District and their school's respective directors which included a formal report of disaggregated student data for each of the student groups assessed, a summary of the other performance factors considered (e.g., student attendance, test participation rates, and graduation rates) and an overall score to gauge the progress of each school.

### District-level Approach to NCLB Implementation

The case study School District maintained a relatively *traditional* approach to the administration of federal programs and accountability systems. In the past, responsibility for student achievement was primarily spread across various levels of accountability. For example, prior to NCLB, a general type of question of central office programs was: is there high-quality professional development provided (current topics, good facilities, participants' satisfaction, etc)? NCLB builds on this question, and extends the question to "How do central office services result in increased school effectiveness (mainly quality of instruction and student proficiency)?" This shift in accountability prompts a needed shift in the purpose, roles, and the organization of central office services.

In the traditional departmental approach, schools are responsible for increasing scores in reading, yet the researcher found the district's central office is organized into separate departments. For example, Reading strategies could be provided through the deployment of services from Title I, Reading First, Curriculum and Instruction, Staff

Development, Secondary Language Arts, GEAR UP Curriculum Coaches, Lead Instructional Facilitators, and/or Language and Cultural Services which potentially contribute to an environment for fragmented interventions or duplicate services.

A high-quality professional development plan should include a focus on learning to build school capacity through a combination of external support and a cadre of campus reading leaders; is coordinated with district and state professional development; and provides teachers with a variety of aligned continuous learning opportunities (National Staff Development Council, 1999).

### District Planning Process

The challenge in the case study district was how to initiate NCLB concepts in a large number of schools without a fragmented approach. Challenges within the district identified a history of fad initiatives, changing leadership (e.g., five superintendents, including interims in the last six years), an over emphasis on site-based management, and traditional orientation of schools serving the central office programs instead of programs serving the school needs.

In an effort to address the unique needs of each school yet increase the focus on key NCLB requirements, the District began a process of distributed planning. This process included a rigorous needs assessment process, identification of evidence-based strategies that matched school needs, a set of planning templates and tools, peer review of plans for quality, and a firm submission date.

The following section reports the district analysis of Campus Improvement Plans submitted in May 2003. The ratings from each plan yielded nominal score data for each



domain. On this seven-point scale, “5” was selected as the point representing a “basic” level of implementation. This meant that, based on the analysis of the NCLB implementation in selected schools, the requisite components of the Title I program were evident in the plan.

Planning teams were notified at the training sessions that the peer review process would determine if the plan was approved or would require modifications. Table 8 indicates that less than one-third (27%) of the plans were ready for approval or needed only minor modifications.

Table 8: Plan Approval Designation

Designation	Frequency	Percent
Ready for Approval	4	6%
Needs Minor Modifications	14	21%
Needs Major Modifications	45	66%
No Submission	5	7%
<b>Totals</b>	<b>68</b>	<b>100%</b>

Table 9 lists a summary of all Peer Review campus plan scores ranked by average total score based on the two peer reviews. The following columns list the averaged scores of the two reviewers for each of the seven plan quality domains. This analysis provides a baseline measure of planning quality. After the Peer Review process was completed, principals were formally notified as to the status of their school’s plan. School planning teams were then provided additional technical assistance for the improvement of all plans. A target score of “5”, representing the basic elements of NCLB needed to accomplish comprehensive campus improvement plans was communicated as the expected goal for the revisions.

The first column in Table 9 identifies the plan status, the second column identifies each of the schools examined as a part of this exploratory case study (by numbers 1-68) and their respective category, the third category identifies each school's average total score for their overall plan quality, and the final columns summarize the average score for each of the seven Plan Quality Domains:

- *NCLB Planning Process (PL 107-110 § 1114.a.1)*: Does the plan show how the component parts will effectively upgrade the entire educational program of the school?
- *Needs Assessment (34 CFR Section 200.26)*: Does the needs assessment use available data to identify proficiency and program gaps to address the identified needs?
- *Budget Planning (PL 107-110 § 1112.e)*: Are available resources strategically allocated in ways that are aligned to needs, appropriate, and sufficient to improve the levels of proficiency of all students within the specified timelines?
- *Core Academic Program (34 CFR Section 200.27)*: Does the plan strengthen the school's core academic program so that by 2013-2014 all students (in aggregate and for each subgroup) will demonstrate academic skills at the "proficient" level or above on the State's assessment and be engaged in high quality teaching and learning?
- *Transition Strategies (PL 107-110 § 1112.B)*: Does the plan describe effective strategies for students to make transitions into the school and facilitate their success upon leaving the school?

- *Parental Involvement (34 CFR Section 200.28.c)*: To what extent does the plan include parents in collaboration focused on increased levels of mastery of high standards and delivery of engaging teaching and learning experiences?
- *Highly-qualified Staff (PL 107-110 § 1119.a.1)*: Is the plan for staffing and staff development sufficient to implement the strategies for increasing levels of proficiency?

Table 9: Peer Review Results

			Plan Quality Domains							
			Average Total Score	Planning Process	Needs Assessment	Budget Planning	Core Academic Program	Transition Strategies	Parental Involvement	Highly-qualified Staff
Approved	School									
	1	ES	6.14	6.5	6	6	6	6.5	6	6
	2	ALT	5.86	5	7	6	6	5	7	5
	3	ES	5.43	4.5	5.5	6	5.5	5	6	5.5
Minor Modifications	4	ES	5.29	5	6	5	5.5	5	5.5	5
	5	ES	5.14	5	7	5	6	5	5	3
	6	ES	5.07	5	6	3	6	5.5	5	5
	7	MS	5.07	6	6	3.5	5	5	5	5
	8	ES	5.07	5.5	4.5	4	5.5	5.5	5.5	5
	9	HS	4.86	5	6	5	5	5	5	3
	10	ES	4.71	5	5.5	5	5.5	2	5	5
	11	ES	4.64	5	5	4	4.5	4	5	5
	12	ES	4.36	5	2.5	4	5	5	4.5	4.5
	13	ES	4.29	5	4	3	5	3	5	5
	14	ALT	4.14	5	5	5	5	2	5	2
	15	ES	4.14	4	4.5	3	4.5	4.5	4	4.5
	16	ES	4.00	4	3.5	4.5	4	4	4	4
	17	ES	3.93	4	4	3	4.5	4	4	4
18	ES	3.93	4	3.5	4	4	4	4	4	
Not Approved	19	MS	3.79	3	4.5	3	3	4	5	4
	20	ES	3.79	5	5	3	3	4	3	3.5
	21	ES	3.71	4	3.5	3.5	3	4	4.5	3.5
	22	ES	3.64	4	5.5	3.5	4	3	2.5	3
	23	ES	3.64	3	3.5	2.5	4	4.5	3.5	4.5
	24	ES	3.43	4.5	2	3	4	4	3	3.5
	25	ES	3.36	2.5	2	3.5	4	3.5	3.5	4.5
	26	ES	3.29	3	4	3	3	3	4	3
	27	ES	3.21	3	5	3	4	2.5	2	3
	28	ES	3.21	3.5	4	3	2	3	3	4
	29	ES	3.21	3.5	2.5	3.5	3.5	1.5	4	4
	30	ES	3.21	3	3	4	4.5	2.5	2.5	3
	31	ES	3.14	3	2.5	4	4	2.5	3	3
	32	ALT	3.07	3.5	4	4	1	4	2	3
	33	ES	3.00	4	3	2.5	3	2	3.5	3
	34	ES	3.00	3	4	4	3	2	2	3
	35	ES	3.00	3	2.5	2.5	3	3	3.5	3.5
	36	ES	3.00	2.5	4	1	3.5	4	3	3
	37	ES	3.00	4.5	3.5	3	3	2.5	2	2.5

Legend: HS—High School  
MS—Middle School  
ES—Elementary School  
ALT—Alternative Education School

Table 9: Peer Review Results (continued)

		Plan Quality Domains							
School		Average Total Score	Planning Process	Needs Assessment	Budget Planning	Core Academic Program	Transition Strategies	Parental Involvement	Highly-qualified Staff
Not Approved	38 ES	3.00	3	3.5	3	2.5	3	3	3
	39 ES	3.00	4	1	4	3	3.5	3	2.5
	40 ES	3.00	4	4	3	3	2	3	2
	41 ES	2.86	2	1	4.5	3	2	3.5	4
	42 ES	2.86	2.5	2.5	5	3	1.5	3	2.5
	43 ES	2.71	2	1	3	4	2	5	2
	44 ES	2.71	3	2	4	3	2	2.5	2.5
	45 HS	2.64	5	1	3	2	3	3	1.5
	46 ES	2.57	2	1	3.5	2.5	3	2.5	3.5
	47 ES	2.50	2	1	2	4	2.5	3.5	2.5
	48 ES	2.50	3.5	2	3	3	2	2	2
	49 MS	2.43	1	3	3	1	4	3	2
	50 ES	2.36	3	5.5	4	1	1	1	1
	51 HS	2.36	2.5	2	2	2.5	2.5	3	2
	52 ES	2.14	2	4.5	4.5	1	1	1	1
	53 ES	2.14	1.5	2.5	2.5	2	1.5	1.5	3.5
	54 HS	2.07	1	4.5	1	2	1	2	3
	55 ES	1.79	1	1.5	3	2	1	2.5	1.5
	56 ES	1.71	1.5	1	2	2	1	2	2.5
	57 ES	1.57	1	3	3	1	1	1	1
	58 MS	1.29	1	1	1.5	1.5	1	2	1
	59 MS	1.29	1	1	2	2	1	1	1
	60 MS	1.07	1	1.5	1	1	1	1	1
	61 MS	1.00	1	1	1	1	1	1	1
	62 MS	1.00	1	1	1	1	1	1	1
	63 ES	1.00	1	1	1	1	1	1	1
Not Submitted	64 ALT								
	65 HS								
	66 ALT								
	67 ALT								
	68 HS								

Legend: HS—High School  
MS—Middle School  
ES—Elementary School  
ALT—Alternative Education School

## Summary of Influences

State and District entities serve as key influences in the overall context of school improvement. The study found that the State used primarily changes in mandates to communicate compliance with the NCLB act. For example, standard state forms for funding programs were revised to reflect the NCLB criteria. Additionally, many of the informational publications from the State Department of Education related to topics contained in NCLB or were simply re-publications of federal topics.

Capacity-building strategies for schools were limited primarily to statewide forms of information dissemination. These strategies offered information about NCLB in the form of publications, conference topics, videoconference presentations, and public television broadcasts. Technical assistance interactions were also limited to occasional workshops, telephone calls and e-mails. State funding for additional technical assistance has declined over the past ten years, virtually eliminating services such as professional development centers, field-based consultants, or regional training resources.

The case study District seemed to use a wider range of influence strategies. These strategies were implemented in a phased sequence, beginning with the District Office for Federal Programs. All federal programs were required to implement changes in program structure during the first year of NCLB policy. The district made specific changes in allowable expenses, teacher and paraprofessional hiring qualifications, and accountability structures. These practical operational procedures affected day-to-day operations, however did not address the fundamental improvement processes at each school. Issues

such as program coordination at schools and leadership for consolidated planning could not be addressed by revision of forms and budgets.

Table 10 describes the additional types of changes implemented by the District to foster change in schools. Neither the State nor the District implemented forms of inducement (recognition, rewards, awards) as part of the NCLB compliance process. Instead, the District provided extensive training for the school planning teams in topical areas such as conducting a needs assessment, understanding large-scale data, and using disaggregated data to make instructional decisions.

After an extensive program of school planning and technical assistance, the District adopted the planning process for all schools, regardless of their state designation status for school improvement. These actions seemed to represent a significant change in the systems used to promote school improvement within the District.

Table 10: Case Study Instruments of Influence

Influence	State	District
Mandates	<ul style="list-style-type: none"> <li>• Grant approval process</li> <li>• Expenditure approvals</li> <li>• District monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Plan approval process</li> <li>• Plan monitoring</li> <li>• Planning standards</li> </ul>
Inducements	<ul style="list-style-type: none"> <li>• School: limited</li> <li>• Individual: none</li> <li>• Program: none</li> </ul>	<ul style="list-style-type: none"> <li>• School: none</li> <li>• Individual: none</li> <li>• Program: none</li> </ul>
Capacity-building	<ul style="list-style-type: none"> <li>• Information dissemination</li> <li>• Limited technical staffing</li> <li>• Video conference sessions</li> </ul>	<ul style="list-style-type: none"> <li>• Needs assessment training</li> <li>• Leadership development</li> <li>• Team structures</li> <li>• School assistance</li> <li>• Continuous training</li> </ul>
System-change	<ul style="list-style-type: none"> <li>• Additional web information</li> <li>• Allowed consolidated planning option.</li> </ul>	<ul style="list-style-type: none"> <li>• District planning</li> <li>• Peer review</li> <li>• Aligned plan expectations</li> <li>• Instructional coaches</li> </ul>

### Patterns of Dynamic Capabilities

This study sought to explore the qualities of dynamic capability that were evidenced in a Federal program planning process in a large, urban public school district. Interviews and data analysis from the sample of high-performing and low-performing schools allowed the researcher to observe patterns of dynamic capability within the school improvement team planning process.

Winter (2003) discusses these patterns dynamic capability as “*a higher-level routine (or collection of routines) that, together with its implementing input flows, confers upon an organization’s management team a set of decision options for producing significant outputs of a particular type.*” The *No Child Left Behind* (NCLB) legislation’s accountability system provided these public schools with specific expectations for



performance over time. Exhibit 13 illustrates the patterns of dynamic capability observed in the sample of schools.

Exhibit 13: Patterns of Dynamic Capability

<u>Performance</u>	High	4 Schools <b>B</b>	2 Schools <b>C</b>
	Low	17 Schools <b>A</b>	8 Schools <b>D</b>
		Low	High
		<u>Dynamic</u>	<u>Capability</u>

Pattern A: Low Performance, Low Dynamic Capacity

The first pattern represented the type of school having a history of low performance, which is the primary focus of NCLB school improvement efforts. These schools have adopted few dynamic capacity routines that will assist in the process of meeting required proficiency expectations for their students.

Interview data indicated that these schools do not have effective planning routines or team structures. Respondents from the same school would often provide quite different responses to describe the structure of school improvement planning and goal development. For example, one school team leader drew an elaborate diagram of an inclusive team structure. Planning team members from the same school indicated that the

team leader had written the plan, with input from several additional staff. Such schools have been notified of the need for improvement, however, have not overcome the barriers that impede the adoption of effect improvement routines.

#### Pattern B: High Performance, Low Dynamic Capacity

The second dynamic capacity pattern occurred in schools that had a history of high performance. These schools were frequently characterized by fairly stable demographic trends in the student population. The schools often had a lower percentage of students identified under criteria for low socio-economic status, fewer language and racial minorities, few migrant students.

These schools, with higher performance, may not see a need to adopt dynamic capacities. Interviews revealed that this type of school did not make use of training for the District planning process, did not adopt performance benchmark assessments, and did not organize to strategically plan for implementing research-based strategies. The planning team leader stated, *“I am using the (deleted) planning process that we have been using for the last five years.”*

According to District demographic trends, this type of school has a high likelihood of experiencing shifts in the future. As the NCLB accountability system identifies schools for improvement by student subgroup, this school may see the need to adopt dynamic capacities that will address these needs and expectations.

#### Pattern C: High Performance, High Dynamic Capacity

Schools with high performance and high dynamic capacity have adopted routines to meet the challenges of diverse student populations. These schools also are keenly

aware of increased performance expectations from State and Federal accountability systems. Upon identifying a challenge, the school determines the practical implications upon current practices. Staff members are organized to study and understand the issues and to create solutions for effective practices. Unlike schools with low dynamic capacity that have mismatched technical assistance or externally imposed assistance, these schools seek technical assistance and use external resource with great effectiveness.

#### Pattern D: Low Performance, High Dynamic Capacity

The final pattern of schools could be described as “on the way up.” These schools, at the time of the study, had one or more areas in which student scores did not meet Adequate Yearly Progress (AYP). Student performance in these schools was low for many years, and often was 500 points or more below the Academic Performance Index (API) in multiple academic performance areas.

Team leaders in these schools had often taken extraordinary steps to adopt new dynamic capacity routines. Planning teams were maintained a continuous schedule of meetings throughout the school year. The team designated for writing school improvement plans frequently coordinated with sub-teams (grade-level teams or content area teams) to identify strategies, activities and resources.

These schools were clearly the most effective managers of technical assistance resources. The planning teams, after committing to a strategy, would schedule training, consultant visits, and collaboration efforts toward meeting specific goals. If training or meetings did not clearly help with progress, the team or staff would withdraw their participation. District efforts to “simplify” the needs assessment and planning process by decreasing planning requirement were viewed as unprofessional. A planning team leader

stated, “*Are they (central office) trying to make us wander in the dark? We need comprehensive plans, in depth needs assessment, and high-quality benchmark assessments. They never even asked us about the changes. We need these to show our progress, not just rely on guesswork.*”

### Leadership Influence and Dynamic Capabilities

Effective planning is given special emphasis in the NCLB legislation, since site plans provide one source of school accountability. The Title I staff’s leadership in the planning process accelerated growth of dynamic capabilities. Campus planning teams expressed appreciation for Title I staffs support through changes in the planning process. Specifically, schools found great use for the *Planning Guide*, Frequently Asked Questions, program examples, and team consultations.

Over the last decade the District was confronted with economic shortfalls, multiple changes in senior leadership, significant shifts in student demographics and declining student performance levels. Under the leadership of the new superintendent, the district has taken significant steps to refine key work processes and address the increasing proficiency expectations. This year, 58 of the 62 elementary schools made gains in at least one subject area. Schools targeted for restructuring under NCLB mandates increased scores in reading and math.

This study found that the Title I program played an important role in the District restructuring. Traditionally, Title I services have been implemented as a “parallel” program in schools. Instead, Title I services delivered required components through collaboration with district-level and school-level improvement efforts. Title I services focused on: improved instructional services, financial support aligned to improvement

goals, and accountability for implementation of effective practices and for student performance.

Although the instructional leadership at sites made implementation “real,” some schools did not take advantage of opportunities to attend training sessions or allocate the time required to develop a high quality plan within the required time frame. The chart below summarizes the results after the first full year (2002-03) of adaptive changes in the District during implementation across all campus plans by domain. The dark red line denotes the percent of plans meeting the “basic” level of plan implementation, as scored “5” by campus reviewers and identifies the percent of implementation for schools scoring below basic use and the average score by domain.

Exhibit 14: Level of Implementation by Percent



Although the overall scores were fairly consistent across domains, a small amount of variation was noticed between domains. Planning teams had greater difficulty

developing plans for a) Budgets, b) Transition strategies, and c) Highly qualified staff than with other areas. In reviewing the content of the plans, difficulties with budget planning often came with planning resources that were not aligned with identified goals. In the domain of Transition Strategies, plans often contained statements about facilitating student transitions; however, few plans had data to support their strategies.

### Needs Assessment

In addition to the efforts to adopt a unified planning framework, the District provided technical assistance for planning teams to better identify the needs of their students. One of the key challenges in turning around low-performing schools and a critical aspect of NCLB implementation is gaining consensus on the key areas of school needs and what should be changed. While the state accountability system provides clear definitions for success, most schools needing improvement were not chaotic, run down buildings where teachers lack materials and principal have lost control. On the contrary, a research visit to one elementary school provided an example of the pleasant and engaging experience of visitors to schools.

#### Field Notes:

Arriving a few minutes before the scheduled interview time, the Principal greets me warmly and offers a tour of the building. This principal started in the district as a teacher in the district more than 20 years ago, serving at six different schools. When I comment on her tenure, she recounts some of the many changes in the district. She smiles proudly as she comments about the process of winning a community partnership award and how she has even outlasted five superintendents in the last six years.

As we walk through the halls, students walk briskly and quietly toward the cafeteria. A teacher is waiting at the cafeteria door and chats briefly with the teacher that follows the last student who struggles with untied shoes.

We visit several classes, which are completing their morning literacy block. A teacher is working with a group of students conducting guided reading activities. Many schools use similar lesson formats. In a 90-minute period focused on reading and writing, students rotate through a structured set of activities with the teacher. The remaining students work independently on related activities. In the back of the classroom, a reading specialist is working with three students that are struggling with phonics skills and word recognition.

As we walk through the halls student artwork and writing are displayed on the walls. Classrooms seem to be orderly and behavior problems are resolved quickly. The teaching staff is a veteran group, averaging eleven years district experience. There are five new teachers in the building. To the casual observer, it might be difficult to see why this school was identified as “low-performing.”

Schools included in the study, both high performing and those designated as in need of improvement, were often able to provide verbal examples of success that would lead the visitor to conclude that the school was an effective school. Schools and districts can bring about student achievement and sustain that achievement if they are willing to examine their practices that impact student learning and embrace change.

As a means of prompting the close examination of practices, needs assessment questions and processes were developed for use by planning teams. Teams were instructed to provide discussion sessions related to the following needs assessment activity.

## Exhibit 15: Needs Assessment Questions for School Programs

**Instructions:** The school planning team will review the campus improvement plan and additional available data. Answer the following questions, providing a complete discussion of data used to make decisions about school improvement plan changes.

### **School Accountability Designation**

Briefly discuss your school's current API and AYP data, Organizational Health Inventory data and other relevant large-scale assessment gathered in the needs assessment process.

### **Improvement of Academic Content and Instruction**

Summarize the major changes needed related to school improvement in the areas of academic content and instructional strategies.

### **Strategies for Closing Achievement Gaps (Student Subgroups)**

After reviewing your needs assessment information, discuss the needs of students based upon disaggregated data. What are the needs of the subgroups? What strategies are included in your plan to address these needs? What are your goals for proficiency for each group?

### **Teacher Support System**

Based on your needs assessment, identify the *priorities* for professional development. Discuss *how* ongoing support strategies will be used to implement effective methods and practices. Include reference to your Campus Plan strategies (for example: peer to peer, electronic support system, expertise model), who will provide the strategy (instructional facilitators, CSR model, teachers, etc.) and the frequency of contact.

### **External Expertise and Technical Assistance**

How will external expertise be utilized in ways that will promote significant staff development, organizational change, and professional support for improvement strategies? In your discussion, include who will provide the technical assistance (CSR provider, contracted vendor, online learning, etc.); what are the approach and the expected outcomes.

### **Revised Resources**

Use the School Budget template and the staffing request to submit resource revisions. Please ensure that budget requests align to the priorities identified in your needs assessment and campus improvement plan. Sufficient resources should be allocated to make significant improvement in levels of student proficiency.



## Internal Selection

### Leadership

Effective leadership is a key characteristic of successful organizations. One component of such leadership is the ability to organize processes and resources into plans that coordinate efforts to reach intended results. Implementation planning sets a strategic direction for teachers, students, administrators, and parents. High quality plans allow each person to demonstrate leadership as they create solutions and demonstrate success.

In the book *Good to Great*, author Jim Collins describes leadership in organizations that have achieved dramatically increased levels of performance. He notes that effective leadership is not a “genius with a thousand helpers.” Instead, he reports a distinct pattern for effective organizations. He states, “Those who build great organizations understand that the ultimate throttle on growth for any great company is not markets, or technology, or competition, or products. It is one thing above all others: the ability to get and keep enough of the right people.”

Collins’ study of successful organizations characterized leaders as “humble people... with an incurable need to produce results.” Responding to this sense of urgency helps to focus the organization, and it energizes staff members with a similar vision of success. In the transition toward increased effectiveness, organizations and individuals must make tough decisions. Collins quotes:

*“ There are going to be times when we can’t wait for somebody.  
Now, you’re either on the bus or off the bus.” --Ken Kesey*

The implementation and successful completion of a planning process should put students at the center of all school and district services. Education practitioners are asked to use the highest level of professional skill to understand the needs of students, and to plan appropriate strategies supported by a clear understanding of what works best for their students. A clearly articulated planning process empowers teachers, administrators, and school partnerships to maximize resources to achieve high levels of learning.

### Teacher Leadership

Strong teacher leadership was apparent in each of the sample schools with stronger dynamic capabilities. Teacher leadership appeared to develop when three conditions were present. First, teachers had ample opportunities to provide input and make decisions about teaching and learning. Successful schools provided teachers with time to meet as grade-level or subject matter teams. Second, teachers engaged in various forms of informal action research. They used the results of their students' embedded, benchmark, large-scale assessments to allow the team to affirm successes and make appropriate adjustments to maximize their impact on student achievement. Third, teachers developed their own internal leadership structures. For example, team teaching, mentoring new teachers and collaborating to share lesson designs that supported each other to help improve student achievement.

### Principal Leadership

The value of the instructional leadership skills of principals at the building level cannot be over emphasized. Principals at schools with stronger dynamic capabilities were more likely to make time for teachers to collaborate and to provide them with

structured support. This included the principal's frequent attendance at grade-level or department meetings and the expectation that teachers provide frequent feedback on the meetings to let the principal know what they could do to help. As a result, the feedback from staff at successful schools indicated student work was regularly reviewed; including the use of rubrics and embedded assessments, modeled lessons, and monitoring to ensure professional development was integrated in the classroom.

When queried about what they did to improve student achievement at their respective schools, principals from schools with stronger dynamic capabilities identified specific programs, interventions, and embedded professional development strategies that contributed to accomplishing the goal. These principals were also comfortable using data and making changes when the data demonstrated that student achievement had not improved. Principals from schools with less dynamic capabilities exhibited less knowledge in using data and seemed far more compelled to maintain the status quo out of exasperation.

### Central Office Leadership

Although there were a multitude of professional development opportunities throughout the year for the schools examined in this study, the overall dynamic capabilities of schools were hindered by a lack of a focused and integrated district-wide professional development plan that emphasized pedagogy. There needs to be a more aligned professional development opportunity for all teachers (new hires and career teachers alike) to learn or re-learn proven research-based teaching strategies. Furthermore, schools that received training and fully understood disaggregated

assessment data by teacher and by individual student revealed a better likelihood of achieving the intended goals of successfully implementing their campus improvement plan.

An observation of principal assignments appeared not to match the individual strengths and weaknesses of candidates to the individual needs of a specific school, but seemed to focus more on personality traits and compatibility with school directors as a result of internal politics within a large bureaucracy.

There were no formally organized or structured processes in place to identify and develop potential candidates to fill critical principal vacancies. Processes varied significantly between learning communities and individual school directors. Without a formalized process and strategy to identify, develop, and select principal candidates consistently, the potential for adverse impact on schools that need help the most will continue to exist.

Principal assignments should afford opportunities for more successful and proven candidates to be assigned where the needs are greatest (e.g., specifically those schools designated for corrective actions and/or restructuring under NCLB). Previous experience in successful schools helps principals hold higher expectations for students and their staffs in schools with less dynamic capabilities. The assignment actions of the district in this study appeared to be hindered by a collective bargaining agreement that favored tenure and seniority over the unique needs of underperforming schools.

## Campus Planning Process

One of the vital coordinating tools for effectively implementing and monitoring Title I programs and services is the Campus Improvement Plan. This document provides a systematic process for integration of Title I services at each school. Effective planning is given special emphasis in the No Child Left Behind legislation, since site plans provide one source of school accountability. Additionally, plans provide a source of information for continuous improvement. While plans do not ensure effective implementation, program-funding agencies seem to agree that it would be foolhardy to rely on haphazard planning in order to achieve significant levels of improvement. The NCLB legislation provides guidance for school plans:

### Exhibit 16: NCLB School Guidance for School Planning

Citation: §1116(b)(3)(A) states that each school identified for improvement must develop or revise a school plan that:

1. Incorporates strategies based on scientifically based research;
2. Adopts policies and practices with the greatest likelihood of ensuring that all students become proficient;
3. Provides an assurance that the school will spend not less than 10 percent of its Title I, Part A funds for high quality professional development;
4. Specifies how Title I, Part A funds will be used to remove the school from improvement status;
5. Establishes specific annual measurable objectives;
6. Describes how the school will provide written notice about the identification to parents;
7. Specifies the responsibilities of the school, the LEA including the technical assistance to be provided;
8. Includes strategies to promote effective parental involvement;
9. The summer and during any extension of the school year; and
10. Incorporates a teacher-mentoring program.

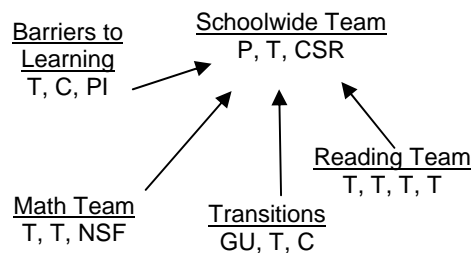
## Implementation

### Organizing for Improvement

In order for schools to develop dynamic capabilities they must organize in a manner to address the content of NCLB. Many organizing arrangements are possible; however, they must adopt a form that will accommodate the volume/diversity of decisions.

Building level teams are charged with the task of conducting campus improvement planning. The structure of the teams and the process for teamwork is developed as a building level capacity. Teams tended to organize themselves in one of two basic patterns. First, some teams focused on the major content goals of the plan and organized teams around those goals. Team members were frequently selected as representatives who collected information from other staff members.

#### Team Pattern 1: Content Focus <sup>1</sup>

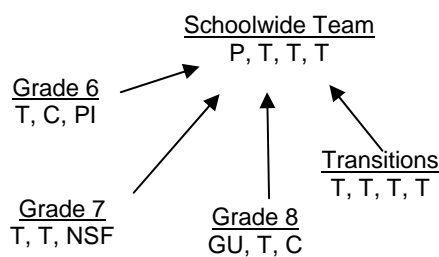


A second pattern that is evident in school planning teams focused on the existing structure of the school. These teams tended to involve all staff members from a grade level on the team. This team structure was frequently used to create ad hoc teams for components that were perceived not to be the domain of a specific grade level.

---

<sup>1</sup> T=Teacher, P=Principal, TI=Title I office staff, IF=Instructional Facilitator, CO=Central Office [specify], U=University partner, PI=parent involvement, C=Counselor, GU=GEAR UP, NSF=National Science Foundation Grant.

## Team Patten 2: Grade-levels Focus



Both team structures seemed to provide a means to reach a majority of the staff who were responsible for teaching and learning. Some schools were at an emergent stage of team development, others had sophisticated and multifaceted team structures. Key differences in the effectiveness, related to establishment of dynamic capabilities, seemed to lie in how teams were implemented.

Schools having higher-quality plans adopted the planning process and training into year-long routines of the school. At one middle school, for example, the schedule was changed to include tasks leading up to the annual planning requirements. Data were collected in advance, assessments were identified, and additional teachers and parents were included. The “language” used in the Campus Plan training was adopted and modeled with staff so that the entire building would begin using similar concepts related to planning, assessment, and resources. At another school, the principal worked with technical assistance providers to model these activities in preparation for planning, thus extending the knowledge of those working with teachers throughout the year.

Schools having lower-quality plans tended to view the planning process as an activity that was outside the domain of established routines. One such planning team leader noted that “this planning was an ‘assignment’ like in a class, and was finished when it was turned in.” Several team leaders offered complaints about the planning

process, claiming that it was “too hard and complex” or “too simple and narrow in scope”. One team leader added that she “didn’t think teachers would understand it, so, since she had a Master’s degree, she would write it herself.” In such situations, the team leader clearly had made no attempt to adopt or establish routines of effective planning.

### Technical Assistance

Schools have a wide variety of support structures and funding available for implementing improvement strategies. Technical assistance is defined in as “expertise that is external to the school staff or teaching team” to support implementation of the campus improvement plan. Technical assistance includes various types of consultation, workshops, facilitators, web-based resources and coaching processes.

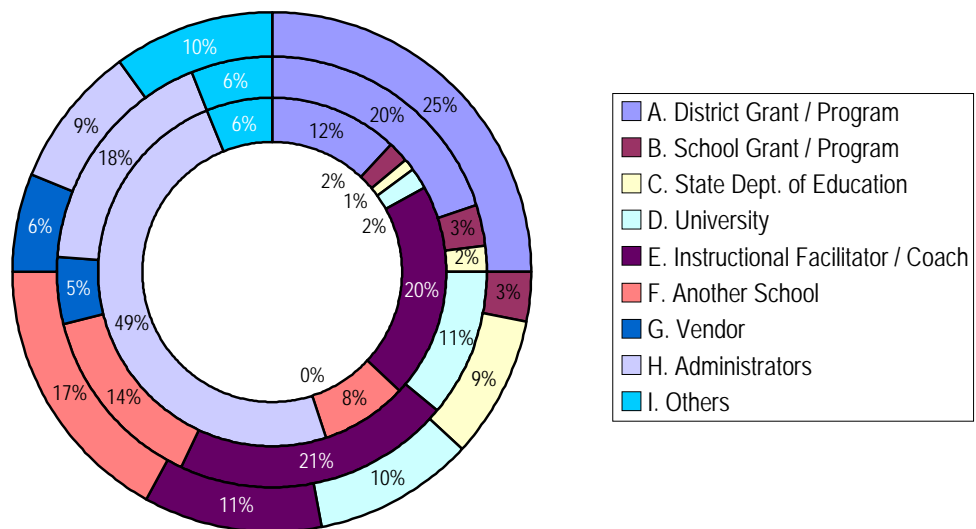
Interviews revealed that every school was using a wide range of technical assistance services. Schools with weaker plans and dynamic capabilities often used as much assistance as schools with more focus. However, staff in schools with lower quality plans frequently listed a combination large-group workshops and individually selected training. These schools often did not have a plan for implanting research-based strategies across a team or school-wide focus. Additionally, when asked about “who makes decisions about technical assistance”, respondents would attribute decisions to the principal, the central office, a vendor, or the state department. In other words, these schools took more direction for change from external sources rather than the school planning team.

Schools with stronger dynamic capabilities approached technical assistance decisions from a very different perspective. These schools often used a combination of



external assistance in combination with local staff. Often, principals set high expectation for staff professionalism, problem identification, and decision-making. Teams were expected to select technical assistance based on data to support staff development. Instead of external direction, instructional leaders expected teams and groups to understand and articulate problems and solutions. External expertise (CSR technical assistance providers, vendors, and central office program staff) was then used to address specifically identified needs.

Exhibit 17: Technical Assistance for Team Decisions



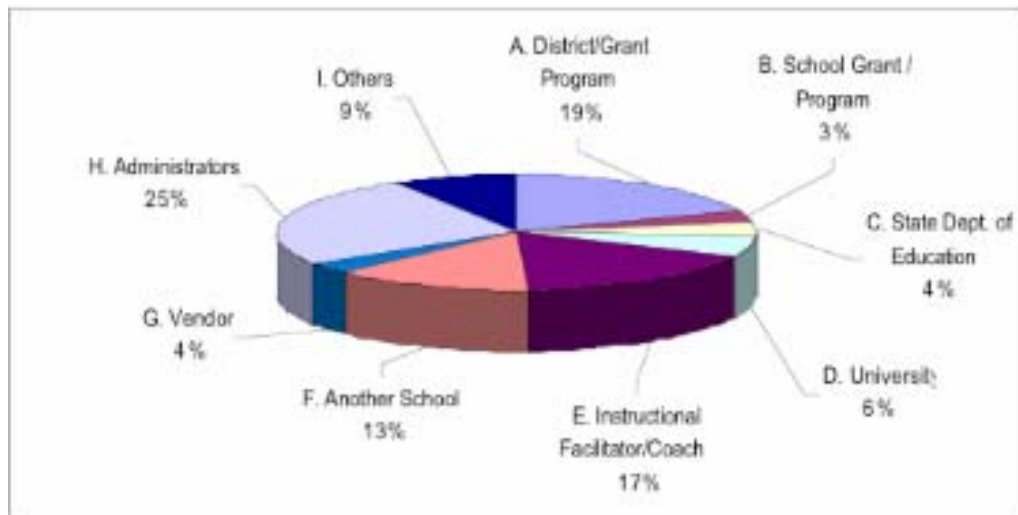
Note: n = 132

The inner circle in the graph represents the first choice of survey respondents in selecting Technical Assistance; the second ring denotes the second choice, and the third ring reflects the 3<sup>rd</sup> choice. The analysis of this study shows the patterns/configuration of influence that planning teams report as useful in Technical Assistance for team decisions. Some of the more prominent roles of technical assistance providers included building and central office administrators, district/grant program coordinators, building based instructional facilitator resources, and other school staffs within the district. Schools use

multiple roles for technical assistance in addressing campus improvement planning and implementation issues and there is not a “one source” approach to the diverse challenges in an urban public school environment. Furthermore, data from the respondents suggest technical assistance roles serve different purposes (e.g., administrative approval, content, knowledge, and pedagogical expertise).

The planning process serves to align and focus the delivery of technical assistance provided to schools in support of NCLB policy implementation by enhancing the dynamic capabilities of planning teams.

Exhibit 18: Technical Assistance that Builds Dynamic Capacity of Teams



Note: n = 132

Table 11: Rank Order Frequency Selecting Technical Assistance Providers

<u>Rank</u>	<u>Technical Assistance Role</u>	<u>Percent</u>
1	H. Administrators	25
2	A. District/Grant Program	19
3	E. Instructional Facilitator/Coach	17
4	F. Another School	13
5	B. School Grant / Program	3
6	I. Others	9
7	D. University	6
8	C. State Dept. of Education	4
9	G. Vendor	4

**Table 12: Campus Visit Survey Results—Assessment Training Summary**  
**Respondents Summary of Assessment Training** **Percent**

Using assessments to diagnosis individual student needs/plan instruction.	88%
District-level assessments.	91%
Data Analysis using class, grade-level or school level data.	67%
Coaching/Dialoguing with colleagues. ....	28%
Intervention Strategies based on assessments.	44%
Other.	16%

Note: n = 132

### Retention

### Monitoring Progress

The monitoring process was conducted quarterly and annually. The monitoring process was designed to support the District’s Strategic AIMS for continuous improvement through the efforts of the school Directors in each of the six respective learning communities. Additionally, the monitoring process was aligned to help schools address other major district reforms, such as the Organizational Health Indicators (OHI) in areas relating to goal focus, communication, and coordinated planning.

### School Monitoring

As a part of these ongoing improvement activities, School Planning teams met and reported the current status of student performance and the implementation of effective educational practices, as adopted in the Campus Plan. Schools have adapted this activity to their school organizational needs, including structures such as advisory councils, content area teams, parent/teacher organizations, learning communities, action research, and comprehensive school reform. A copy of the completed report was submitted to the school directors and to the Federal Programs Department.

## Federal Programs Monitoring

Rethinking the relationship between monitoring practices and school effectiveness is essential to the success of students and schools in this era of increased accountability. This reevaluation must focus on both how we assess students **and** how we *use* data to improve programs and services. Key to the process of effective knowledge utilization is the practices of monitoring of implementation plans and effective use of assessment.

Research informs us that students make long-term success only when they want to succeed and when they feel capable of doing so. Similarly, research on school performance indicates that school staff can increase academic performance significantly when they feel capable and supported. These schools are characterized by results-based planning, open and effective strategies for using data, and a coherent and systematic process for technical assistance and professional development.

This study found that Site Planning Teams and District Staff are emphasizing a systematic implementation process to align educational efforts to the requirements of No Child Left Behind legislation. These plans were designed to implement and support the implementation of effective educational practices and to show continuous progress toward proficiency of high academic standards. There was evidence to describe how the plans were monitored across the district for the most recent school year. The Campus Improvement Plan monitoring process was used to facilitate data collection for the following areas:

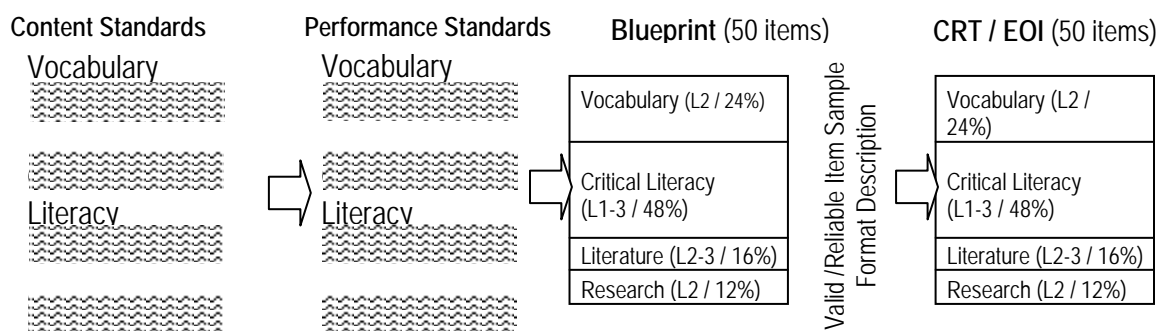
1. *Interim Progress Reports of Student Proficiency*
2. *Level of Campus Improvement Plan Implementation*
3. *Technical Assistance Documentation*

## Student Proficiency Benchmarks

The *No Child Left Behind Act* (2001) emphasizes the use of data to provide effective feedback for making timely decisions. The Campus Plan builds upon this concept of data-based decisions by requiring schools to identify the specific needs of students in each school. Although not consistently implemented, school staff matched the most effective instructional strategies to address the specific needs of students. After a period of instruction, progress was being assessed formatively.

Academic Content and Performance Standards were being attempted to be used to assess and monitor academic progress. Effective design and implementation of school-level and district –level assessments must be aligned to the state standards. The following illustration shows how a school should use State standards to monitor and adjust their instructional program.

**Exhibit 19: Example of Reading Grade 5 Communication Format**



District benchmark assessments are administered periodically to show progress toward performance standards. In contrast to embedded assessments that test mastery of sub-skills or units, standards benchmarks should follow the same design specifications as the CRT/EOI performance tasks.

- Same number of items per standard.
- Same percent of total content.
- Same depth of knowledge / cognitive level.
- Same testing conditions and modifications.

Schools that use this type of data can accurately affirm successes and make appropriate adjustments to instructional strategies and programs in order to maximize their impact on student achievement. Another part of the study asked school staff to report the types of assessments used in the planning process: The survey item included definitions of the three types of data, and asked for respondents to list the names of assessments that were used. After listing the assessments, respondents were asked to classify assessments by one of the three defined types.

### Utilizing Feedback

A dynamic capabilities framework assumes that there is some sort of basis (routines and/or ongoing processes) for making an informed response or needed change. NCLB calls this “data-based decision making.” Thus, it is important to examine how data are used in dynamic adaptation processes. The main framework for assessments contains three main categories; large-scale, benchmark, embedded assessment aligned to State standards.

The *No Child Left Behind Act* (2001) emphasizes the use of data to provide effective feedback for making timely decisions. The campus improvement framework included three major types of student proficiency feedback.

Table 13: Campus Visit Survey Results—Data Utilization

Assessment Type	Percent	Median. Responses	Misclassifications
<b>Large-scale Assessments:</b> Assessments with large-scale score comparability (norms) such as ITBS, SAT-9, Supera, Terra Nova, PPVT, etc...	92%	2	3%
<b>Benchmark Assessments:</b> Any local assessments that are a) administered at regular intervals [quarterly] and b) are aligned to the content (%) and cognitive levels of the Oklahoma PASS assessments.	1%	0	78%
<b>Embedded Assessments:</b> Any assessment that is embedded into the instructional process. These assessments should be aligned to standards and should provide feedback about learning to teachers, students, and parents. Examples of embedded assessment activities include: portfolios, checklists, exemplar notebooks, self-scoring rubrics, and student-led conferences	97%	4	17%

Note: n = 132

All planning team interviewees indicated extensive use of large-scale assessments. These data were provided by the state and have become important indicators in determining if schools have made Adequate Yearly Progress. One participant noted about large scale assessments, “the state CRT data is useful for tracking our progress in the past, however it is not practical for planning for the future...requirements to use this as the only source of data in our plans is like trying to drive your car by only looking in your rear-view mirror. We need data that provides dashboard gauges and a front windshield.” Interview participants listed many types of embedded assessments. Throughout the participating schools, these forms of assessment were primarily used in relationship to textbooks, computer programs, or stand alone lessons, with only a few respondents discussing the relationship to standards (content and cognitive level).

The information in Table 14 is a description of the campus planning standards that were scored by the respondents (e.g., campus planning team committee members to

include teachers, building principals and instructional facilitators). This is important note because it served to help triangulate the information results from multiple roles and perspectives. The respondents were asked to what extent their teams where using standards as planning routines for their respective school sites. The results from respondents are indicators of the degree of variation in their responses to the campus planning standards. Most of these planning standards had other data that supported the results and could be substantiated through specific interview responses.

However, there was a clear discrepancy in the campus planning standards in the areas related to the use of benchmark assessments in Table 14 (items 6 and 10) and Table 13, Data Utilization where according to the definitions provided in earlier trainings only one percent of the respondents indicated a use of benchmark assessments.



Table 14: Campus Visit Survey Results—Planning Standards

Campus Planning Standards	Implementation				
	Low				
	1	2	3	4	High
	Mean				SD
1. <b>Student Needs</b> are clearly identified. Staff members understand major underlying reasons for student groups.	4.30				0.95
2. <b>Staff Development Needs</b> are clearly identified. Specific staff learning goals are established and prioritized.	4.01				1.02
3. <b>Evidence-based strategies</b> are identified for each content area. Documents showing research basis are on file.	3.49				1.42
4. <b>Accurate annual proficiency targets</b> are identified for each content area.	4.22				1.00
5. A <b>Rigorous Curriculum</b> is planned based upon content standards, performance standards, and assessment blueprints for each content area.	4.19				1.14
6. <b>Benchmark assessments</b> , aligned to content emphasis and cognitive levels, are adopted for each content area.	4.07				1.22
7. Teams [content area, grade levels] identify and implement a <b>Common Approach</b> for improvement strategies and activities.	3.78				1.22
8. <b>Aligned Resources</b> and partnerships demonstrate appropriate support for each goal	3.73				1.22
9. School teams <b>Monitor Strategies Quarterly</b> for level of implementation.	3.54				1.36
10. School teams <b>Monitor Student Proficiency Quarterly</b> using a standards benchmark assessment.	3.72				1.37
11. Clear understanding of <b>Reading/Language Arts Content</b> (e.g. National Reading Panel, NCTE, AP English)	3.91				1.45
12. Clear understanding of <b>Mathematics Content</b> (e.g. National Council of Teachers of Mathematics, TIMMS)	3.77				1.50
13. Clear understanding of <b>Science Content</b> (e.g. National Science Education Standards, Mathematical Education of Teachers)	3.45				1.39
14. Team <b>Data Analysis Practices</b> are widely used and can predict performance on Large-scale assessments.	3.33				1.39
15. Research-based strategies for <b>Parental Support for Learning</b> are identified, adopted, and implemented.	3.17				1.40

Note: n = 132

## Conclusions

This chapter presented the study's findings resulting from the analysis of data. The purpose of study was to examine the affects of NCLB policy implementation in an urban public school district from the spring of 2002 through the 2004-2005 school year.

Table 15: Matrix of Findings and Sources for Data Triangulation

	Source of Data <sup>2</sup>			
	I	O	Q	D
<b>Category 1: State influence to Build Dynamic Capabilities</b>				
a. State Department of Education influences were primarily in the form of mandates and information.			X	X
b. The State Department of Education was not identified as serving a primary role in the development of dynamic capability.	X	X		
c. The State accountability system called attention to the need for changes in dynamic capability.	X	X		
<b>Category 2: District influence to Build Dynamic Capabilities</b>				
• The District influences were a combination of mandates, capacity-building, and system change.	X	X	X	X
• District capacity-building strategies had the greatest role in the development of dynamic capacity.	X	X	X	X
• District strategies for improvement resulted in growth in dynamic capacities in schools.	X	X	X	
<b>Category 3: Growth in Dynamic Capabilities</b>				
a. District, State and School staff initially showed low awareness of differences between schools—particularly between “low performance/low dynamic capability” and “low performance/high dynamic capabilities.”	X	X		X
b. School planning teams were able to adapt current routines when provided feedback such as the peer review process and technical assistance.	X		X	X
c. School-level instructional leadership was a key factor for growth in dynamic capabilities.	X		X	
d. Primary roles in facilitating growth in dynamic capabilities were: administrators, federal program staff, academic facilitators and other schools.			X	

<sup>2</sup> Note: I=Interview, O=Observation, Q=Questionnaire, D=Document

Table 15 describes a summary of the findings from the various qualitative sources of data that were identified in the study. Major findings are listed in the left-hand column followed by a mark, indicating the data sources in which key information was found.

### Chapter Summary

This chapter presented the study's findings resulting from the analysis of data. The purpose of study was to examine the affects of NCLB policy implementation in an urban public school district from the spring of 2002 through the 2004-2005 school year. Extant data, describing the district and state sources of information related to policy, planning and program implementation, was analyzed and summarized as policy themes throughout the timeframe of this exploratory case study.

The next chapter, Chapter five, will present a summary of the study and will discuss conclusions based on the results of the analysis of data, relating the findings to the development of dynamic capabilities, the role of Policy in fostering dynamic capabilities, Systems that support dynamic capabilities and propose recommendations for further study.

## CHAPTER FIVE

### Summary, Conclusions, Implications and Recommendations

This chapter presents a review of the study and a summary of the major findings from the analysis of the data. Conclusions and implications about the study's findings are then presented along with their relationship to the professional literature. Next, implications are proposed for practitioners who would find the results of this study useful in extending their understanding of dynamic capabilities and education policy, planning and program implementation.

### Review of the Study

The purpose of this study was to examine the *No Child Left Behind Act* in high poverty schools and the impact of a decentralized approach on campus improvement planning processes with respect to the fidelity of program implementation in a large urban public school district. The study first introduced the historical context of compensatory education and the current focus of *No Child Left Behind*. The study then identified a variety of factors impacting the implementation of NCLB in any large-scale fashion using dynamic capabilities. This includes factors such as socio-economic variables, cultural imperatives, individual human perceptions and adherence to teaching modalities that are out of sync with the modern student cohorts of the new millennium.

## Research Questions

This study explored the following research questions that were addressed descriptively and analytically:

1. How does the *No Child Left Behind Act* prompt change in school planning teams within an urban district, utilizing a decentralized approach?
2. What is the role of District and State influences when implementing NCLB in Title I funded schools?
3. What changes in dynamic capabilities are evident in school planning teams?

In order to study the policy-related organizational patterns of dynamic capabilities within schools, it was necessary to identify and describe a specific policy context in which the case study schools operated. To identify representative schools, the researcher selected one large urban district, as a case study, that had a large number of schools that were required to respond to state and federal policies. This allowed the researcher to ensure that schools included in the case study had experienced similar influences from the state and federal policies. None of the schools were presumed to be equivalent in student demographics, staff characteristics, or size. However, by limiting the case study to a single district, the researcher was able to examine schools required to respond to a single policy initiative that was implemented within a single district context.

This study was conducted in a large-urban public school district that made significant efforts to assist all schools developing campus improvement plans to accelerate student proficiency of academic standards and meet the requirements of *No*

*Child Left Behind*. The population for the study was composed of certified personnel who participated in the campus improvement planning processes within the district. Approximately 80 percent of the 39,740 students attending schools in the district studied are served by Title I programs and services. These services were offered at 48 elementary, 13 middle, 7 high schools, and 5 alternative and supplemental programs.

The primary source of data for the study came from semi-structured interviews of participating school planning team members. A site visit protocol was used to document field notes for each interview. Using a systematic qualitative approach, a narrative analysis was accomplished from the field notes using a coding procedure to make interpretations. The protocol was structured around questions identified in the literature related to distributed planning and decision-making processes.

This study examined the affects of NCLB policy implementation in an urban public school district from the spring of 2002 through the 2004-2005 school year using extant data to describe the district and state sources of information related to policy, planning and program implementation. The physical artifacts in this study included documentation evidence that might be gathered during a site visit. Some of which included school improvement tools such as, campus improvement planning documents, data notebooks, computer generated output products, and other such physical evidence. School-level data was collected during the 2004-2005 school year since it represented a reasonable timeframe for the policies to have an impact on school processes.

Perceptions of supportive campus improvement planning practices were assessed using The Campus Visit Interview Protocol and Survey was developed as exploratory instruments to determine the degree to which supportive administrative practices within

four content categories during the implementation of the *No Child Left Behind Act*: 1) campus planning, 2) data utilization, 3) leadership for planning, and 4) technical assistance.

## Findings

This section presents the major findings for the overarching research question: How is the *No Child Left Behind Act* implemented in schools within an urban district, utilizing a decentralized approach? The discussion of the major findings is presented for each of the research sub-questions and is organized around the influence of a decentralized approach to planning processes and dynamic capabilities. The finding focused on campus improvement planning processes, Title I programs, and technical assistance offered through the educational support services of the District and the State.

### Role of Policy in Fostering Dynamic Capabilities

The requirements of the *No Child Left Behind Act* places increased expectations for student proficiency in every school. These requirements, found in State and Federal program policy, are based on four keystone principles: accountability, choice, parental involvement, and the use of scientifically based research. Local implementation of NCLB components requires schools to increase their planning capabilities and service delivery so that all students will demonstrate proficiency in core academic standards by the 2013-2014.

However, a policy with measures and consequences does not automatically prompt changes in practices that necessarily facilitate the intent of the policy. While to some extent since the initial start of NCLB in 2001-2002 there is clear evidence of

implementations in schools, there are still vestiges of institutional cultures within the district and the state departments of education where barriers to effective implementation still exist. For example, the spirit and intent of the policy are not always congruent with the realities of the challenges at hand.

More specifically, the NCLB Federal Programs Consolidated Application approval process at the state level is archaic in regards to timeliness and appears to be unresponsive to the cash flow impediments imposed by an “outdated claims reimbursement mechanism” that has failed to factor in the district’s fiscal constraints. What this means is that the State Department of Education is now exploring ways to streamline approval processes that expedite NCLB allocation resources to the district before the start of the school year so that districts and campuses would have the benefit of a full-year to implement strategies. Conversely, because of its fiscal woes the district has become far too reliant on federal resources to accomplish educational services that should be funded through the General Fund revenue.

NCLB policy has provided the “pressure” for improvement for states, districts, and schools in changing the status quo by generating tension and external influence to challenge organizational cultures that far too often were unwilling or unable to change. Initially, schools wanted to “hide” behind the averages of student performance and safe harbor instead of setting goals for improvement or proactive routines to ensure all students are proficient as required in *No Child Left Behind*. As a district, what this means is that the language used to communicate student achievement must move beyond the rhetoric of averages which are often aggregated and unintentionally or intentionally disguise real gaps that exist in student achievement for the various student groups.



The district and schools have been challenged by NCLB policy implementation with respect to the sequence for accessing additional NCLB resources from the State Department of Education. As a coping mechanism it was evident the district used campus improvement plan addendums to tie together planning and documentation requirements to minimize the redundancy of the State's application sequence for school improvement designations and Comprehensive School Reform resources for eligible schools.

Finally, the role of policy in fostering dynamic capabilities must include changes at the State and District level that help schools to move beyond business as usual in teaching and learning outcomes. We must rethink the manner in which educational support services are provided to ensure there is efficiency in timeliness and alignment of activities that are not fragmented, duplicative, and unresponsive to the campuses that need help the most. There was little or no indication at this time that the State Department of Education was able or willing to restructure its staff from the practices of the past to fully support 95 schools designated for improvement or the more than 500 public school districts throughout the State.

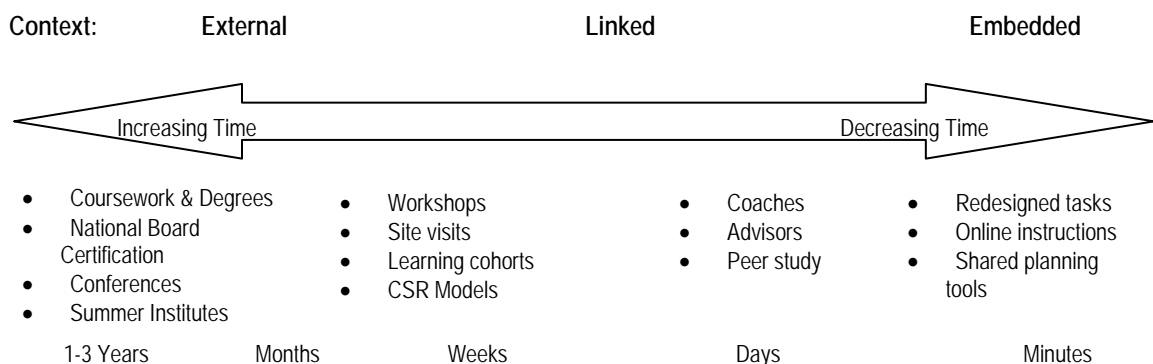
#### Systems that Support Dynamic Capabilities

With the increasing demands on school staff, the rapid rise of technology-oriented support strategies is rapidly becoming the focus of many technical assistance providers. Districts and campuses simply do not have the resources of time, travel funds and substitute staffing to totally rely on traditional training and human support systems.

Research on situated learning (Clancey, 1995; Brown, Collins, Duguid, 1989) suggests that alternatives to traditional professional development programs may be needed to supplement strategies that address today’s performance issues. Situated learning is learning that occurs while doing—typically in short, recurring cycles. Other researchers (Lave & Wenger, 1991; Brown, 1989) found that relevant contexts and interaction with others provide meaningful and integrated learning experiences. Such learning occurs quickly and deeply because knowledge must be integrated in a context of interpersonal accountability. Learning, embedded in context, required fewer repetitions than “out of context” experiences.

School planning teams and technical assistance providers might, for example, identify a need to increase teacher knowledge in areas such as strategies for teaching fluency, engaging parents living in poverty, or in the use of benchmark assessments. Traditional professional development often recommends workshops, conferences and advanced certifications to address such learning needs. When plotted on a continuum of support (Raybould, 2003), it is clear that these strategies take teachers to external contexts and may be the most time and cost-intensive strategies.

**Exhibit 20: Continuum of Support Services**



The continuum of support expands the range of options that could be included in a support system. Options that can be embedded in the classroom allow the shortest implementation timeframe. For example, adoption of a standards-based lesson planning software could decrease the time and cost of sending staff members to workshops on the same topic. More notably, the legislation compels practitioners to refocus their perspectives and, in some cases, to completely revise their efforts in the school-improvement process to embed on-the-job application of staff development opportunities with respect to teacher effectiveness.

Table 16: Type of Training compared with Teacher Effectiveness

<b>Teacher Effectiveness</b>			
<b>Training Steps</b>	<b>Knowledge Mastery</b>	<b>Skill Acquisition</b>	<b>On-the-Job Application</b>
Theory	Middle to High 85%	Low 15%	Very Low 5 – 10%
Theory and Demonstration	High 85%	Low to Middle 18%	Very Low 5 – 10 %
Theory, Demo Practice/Feedback	High 85%	High 80%	Very Low 50 – 15%
Theory, Demo Practice/Feedback & Coaching	High 90%	High 90%	High 80 – 90%

Adapted from Bruce Joyce, Beverly Showers & Michael Fullan (2002) *Student Achievement through staff development* (3<sup>rd</sup> Ed)

Evidence exists that schools with stronger dynamic capabilities approached technical assistance decisions from a very different perspective. These schools often used a combination of external assistance in combination with local staff. Often, principals set high expectation for staff professionalism, problem identification, and decision making. Teams were expected to select technical assistance based on data staff development. Instead of external direction, instructional leaders expected teams and

groups to understand and articulate problems and solutions. External expertise (CSR technical assistance providers, vendors, and central office program staff) was then used to address specifically identified needs.

With the increasing demands on school staff, the rapid rise of technology-oriented support strategies is rapidly becoming the focus of many technical assistance providers. Schools simply do not have the resources of time, travel funds and substitute staffing to rely on traditional training and human support systems.

The design of a support system results in a set of strategies that will provide practical approaches to increase performance. Ideally, the support system should give ongoing assistance to the staff as they do their job (see Exhibit 21). Learning strategies should complement the goals and team plans. Effective ways of working should be available for reference. Finally, the support processes should foster collaboration as the team works interdependently toward goals.

Exhibit 21: Model of Site-level System of Support



## Implications

The information gleaned through this study appears to have many implications for practice. This section presents two audiences for which the findings have particular relevance. The first group includes public school districts that are in the midst of NCLB policy, planning and program implementation in high poverty schools. The second group includes practitioners who are responsible for developing training programs for administrators. These implications will be discussed in the section.

### District-level Staff

#### Planners

The findings and conclusions of this study have primary relevance for school districts that have embarked on a multi-site (decentralized) approach to school improvement or are considering a similar approach to education reform. Such districts could use this information to gather data from their own educational support staff and central office administrators, principals, and teachers to assess the extent to which these important practices are being used to support policy, planning, and program implementation in districts. This information could then serve as a basis for the district planners to examine and develop new roles and planning processes to address capacity in their district.

The *No Child Left Behind Act of 2001* promises to have a significant impact on assessment and instructional practices to include training for campus planning teams, needs assessment, and aligned staff development. NCLB imposes new testing requirements on states and sets demanding accountability standards

for schools, districts, and states with measurable yearly progress objectives for all students.

### Superintendents

The superintendent and those who participate in district planning are responsible for an overall coherent strategy for deployment of personnel and the utilization of resources that will accomplish organizational goals. In addition to strategies for instruction, districts must take into consideration staffing configurations, contracts, hiring timelines, community relations, and many other core structures comprising school services.

Thus, one of the greatest challenges to superintendents and district planning teams is to adopt simplistic solutions instead of simple and effective strategies. The great scientist, Albert Einstein, was noted as saying “every process should be as simple as possible, but not simpler!” Simplistic solutions, while easy to accomplish, actually foster complexity and chaos in schools. Conversely, the task of simplifying the improvement process often rests on the utilization for approaches that have widespread support of research and effective practice.

Superintendents must be politically astute and skilled at sustaining a coherent strategy for reform in pursuing a range of specific school-based improvements while tending to a number of competing local priorities. Kilgore (2005) points out that superintendents must find the proper balance between the

efficiencies and idiocies of standardization and its' impact on capacity building in school reform implementation.

The results of this study suggest important information for the superintendents and the senior staff in setting up conditions within the district to implement coherent school-improvement strategies. Particularly important is the articulation of an overall strategic direction for the district. This strategic plan should not be one that dictates what schools should improve (e.g., event driven or an over reliance on processes); instead, the plan should identify how school improvement will happen, for what purpose, and with what structural changes.

### School Boards

The *No Child Left Behind Act* requires that if a school district accepts and uses "Title I" federal funds, it must meet several new requirements of the legislation. The results of this study also suggest that school boards must be knowledgeable with the basic framework of NCLB and local implementation efforts.

Deciphering which policies may be affected will be a challenging task, complicated by the fact that not all districts will be equally affected depending on which federal funds they receive and/or the federal programs they may be eligible for. While the NCLB policy implications for school boards and districts are varied and wide, as starting points included are: discipline, facilities, homeless students, LEP (Limited English Proficient Students), Paraprofessional and

Teacher Qualifications, student records, special education students, and school improvement planning.

As with any major federal legislation impacting school districts, local school boards must address not only their legal responsibilities inherent in the law, but also recognize that implementing NCLB will require changes in the strategic building blocks of the district. Some examples include vision and mission, the adoption of coherent goals, policies formulated for supportive administrative practices, gap analysis, benchmarking, strategic programming and oversight with a focus to support the achievement of all students (K. Ballard, personal communication, March 31, 2005). School board members might begin by examining principal and teacher transfer policies, recruitment and retention initiatives, curriculum design, and school improvement strategies to ensure districts are aligned with the federal requirements of NCLB.

Through a continuous process of collaboration among and between the board, superintendent, parents, teachers, and community, schools should be able to reach the highest possible levels of staff and student performance. Since school board members have extensive interaction with the community, it will be important for school board members to be able to communicate results of the NCLB policy implementation locally to patrons while seeking their support to build consensus and a community-wide commitment for improvement.



### Campus Planning Teams

School staffs could use this research as a framework to look at school-improvement planning and implementation practices that involve collaboration with the educational support services staff at the central office. Some of the most relevant areas to consider are related to team structures for mobilizing, managing resources, linking staff development to campus improvement plan goals, and communicating with key stakeholders.

Planning teams could also use this research to develop clear expectations for monitoring and evaluating the level of implementation for their campus improvement plan interventions. The planning teams and educational support staff at the central office should have a clearly articulated system for working with achievement data that helps improve teaching and learning for all students.

Effective planning requires the ability to organize processes and resources into plans that coordinate efforts to reach intended results. Plans serve as a means of communicating high expectations for each part of the organization. Campus plans set the strategic direction for teachers, students, administrators, and parents. The campus improvement planning process starts with a comprehensive needs assessment that focuses primarily on the identification of gaps in student learning and in school services. Plan implementation should be organized at three levels to provide effective coordination of activities and services: district-level, school services, and partnerships.

## Exhibit 22: Campus Improvement Plan Components

Reform Strategies	Curriculum choices and instructional approaches that provide learning opportunities for all students. They are based on research and provide effective means of increasing student achievement. They increase the amount and quality of learning time.
Professional Development	In-service and other opportunities for teachers, principals, teaching assistants, pupil services personnel, and other staff members, as well as parents to acquire knowledge and skills. These may include whole school, special group, or individualized initiatives.
Parent Involvement	Opportunities for parents (guardians) to be an active part of and supportive of the school. Opportunities for parents and students to work together on academic and school related activities. Opportunities for parents to play a constructive part in developing and implementing the school improvement plan.
Transition Strategies	Program and activities that provide assistance for preschoolers to kindergarten or first grade, as well as assistance for students moving from elementary to middle, or junior high to high school.
Teachers in Decision Making	Opportunities for teachers to be included in the planning processes that address selection of program changes, instructional materials and especially student assessments.
Safety Net	Programs and activities designed to provide additional and timely interventions for all students not succeeding in their designated program.

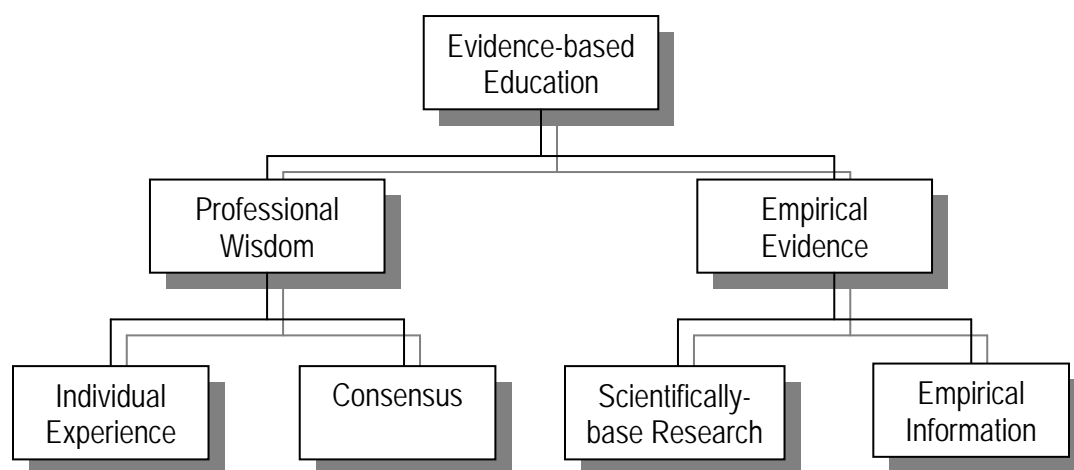
Source: Adapted from: Implementing School-wide Programs, An Idea Book on Planning. U.S. Department of Education, 1998.

Evidenced based education (Exhibit 13) is closely linked to the local application of dynamic capabilities for campus planning teams in the identification and selection of strategies that have the greatest potential for effective implementation. Evidenced based education involves the integration of professional wisdom with the best available empirical evidence in making decisions about how to deliver instruction. Empirical data on performance is used

to compare, evaluate and monitor progress. Professional wisdom involves the judgment acquired through experience and consensus (Whitehurst, 2002). Used together, professional wisdom and empirical evidence form the framework for increasing dynamic capabilities affecting classroom practices and student outcomes.

Without professional wisdom education practitioners are hindered from adapting to local circumstances or operating effectively in areas where empirical evidence is unavailable. Without empirical evidence campus planning teams are ineffective at resolving competing interventions, avoiding fads and eliminating personal bias.

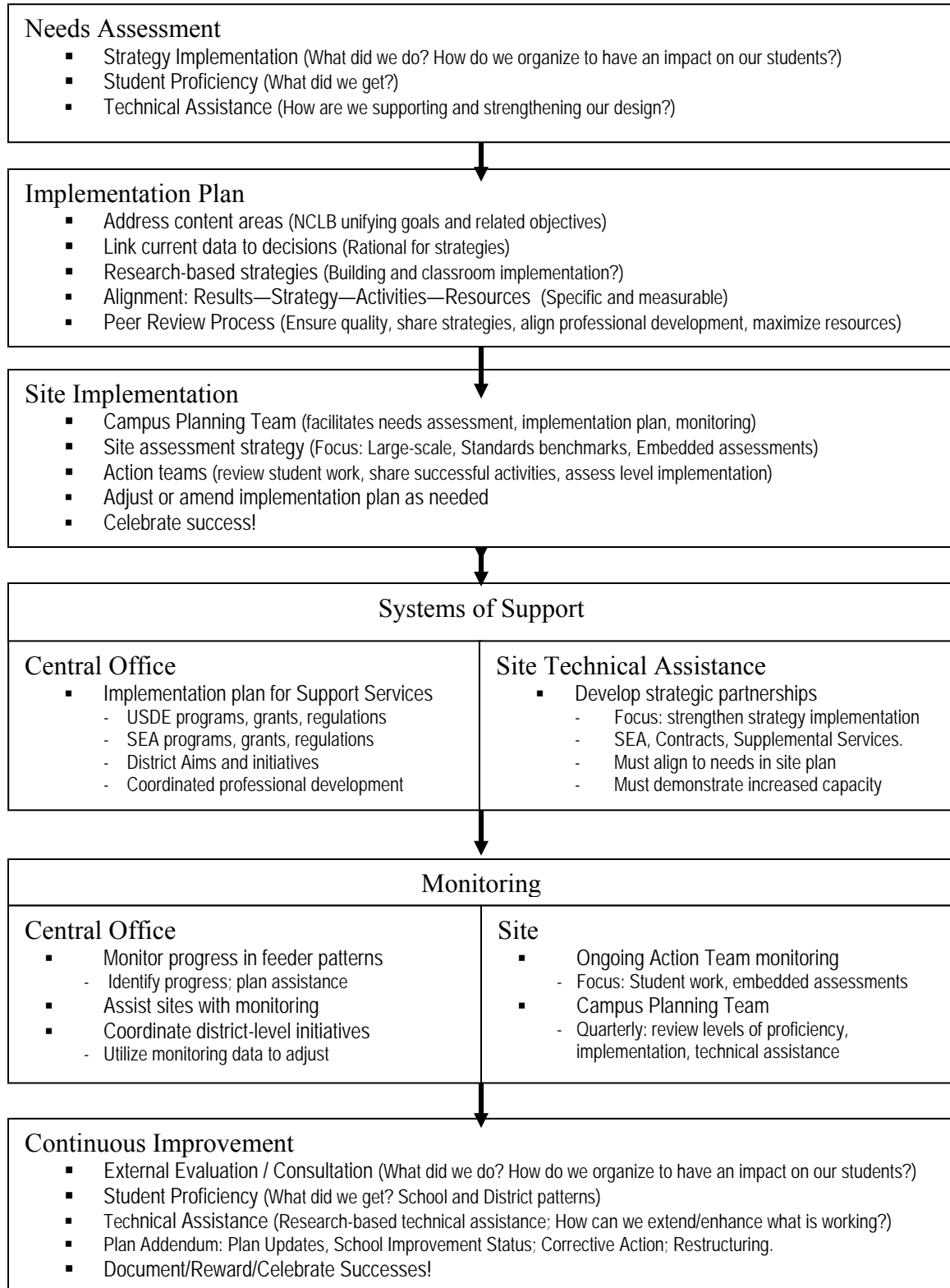
Exhibit 23: Evidence-based Education



Campus improvement planning requires collaboration with planning team members and the central office staff for technical assistance to build capacity and strengthen sustainability. The critical components of the campus improvement planning process are identified in Exhibit 24. School plan monitoring occurs throughout the year at the school-and district-level for making adjustments.

Campus planning team processes must be rooted in accountability and data driven continuous improvement.

#### Exhibit 24: Campus Improvement Planning Process



NCLB requires regular assessments to mark progress and identify student weaknesses in core academic subjects. These assessment results must be reported in the aggregate as well as disaggregated (separated) by individual student groups (socio-economic variables or disability status, gender, race and ethnicity).

Campus planning teams should use assessment information to help teachers inform classroom decisions and provide the best possible instruction for student learning so that all students succeed. Effective teachers understand the importance of discerning which students are learning and which are not, and then modifying instruction to meet the individual learning needs of students.

While testing is an important part of measuring progress, the results of this study affirms the importance of using data from test results by practitioners at all levels to drive instruction. Campus planning team members and instructional leaders must seek opportunities to use data from assessments as a tool for monitoring and modifying instructional strategies to assist teachers in identifying weaknesses to improve the quality of instruction.

#### Staff Development

The next implication relates to those who are responsible for developing and implementing teaching and learning training interventions in the district. In order to support school-based improvement it is very important to first provide training to the role of various groups within the district that would enable practitioners to successfully implement programs and interventions that

strengthen the dynamic capabilities of a school. These role groups should include new teachers and administrators, principals, educational support staff at the central office, and school board members, as well as teachers.

It is also important to work with administrators to ensure that there are adequate personnel at each school who have the competencies to guide and assist the school through the school-improvement process. This may include training a cadre of instructional facilitators, principal peer mentors, or school-improvement coaches to support implementing new practices.

Due to the fact that educators have not always made wise decisions regarding the content and format of staff development, the NCLB legislation requires that only those strategies and methods proven effective by the standard of evidenced based research should be included in school reform programs. Furthermore, NCLB specifically defines scientific, research-based programs (or empirical evidence) as: (1) grounded in theory; (2) evaluated by third parties; (3) published in peer-reviewed journals; (4) sustainable; (5) replicable in schools with diverse settings; and (6) able to demonstrate evidence of effectiveness (U.S. Department of Education, 2002). Consequently, staff development practitioners must become more skilled as consumers of research information and at using research tools such as the Educational Resources Information Center (ERIC), a clearinghouse which provides information and the Comprehensive School Reform Clearinghouse on education related topics.

## Unions

As a result of NCLB, public schools face increased scrutiny and accountability as *all* students are expected to demonstrate proficiency on state tests while teachers are required to take teacher test to qualify for teaching positions and principals are held individually accountable for their schools' performance. Contract constraints on hiring, firing, transfers, salaries, performance evaluation, and other issues are set by the collective bargaining agreement.

Labor and management relationships in the past have often been adversarial with interests at competing ends of the spectrum. As such, too often the outcomes of negotiated agreements are impeded by a lack of flexibility. Although negotiated agreements have brought contract provisions that provide much needed professional gains for teachers, such as higher wages and benefits, protections against administrative abuse and discrimination, they have been particularly challenging for urban districts seeking to implement NCLB. Some examples found in this research study included combative deliberations and the placement of teachers in positions based on seniority rather than on teaching qualifications.

*No Child Left Behind* requires improved performance from public schools and mandates consequences for schools officially designated for “school improvement” which can potentially create challenges between the letter of the law and the letter of the local contract. NCLB has forced labor and management

representatives to work closer together and find common ground for the mutual benefit of all concerned.

The negotiated agreement is not a “one way deal” with winners and losers, the agreement is intended to spell out both labor and management responsibilities to each entity. Although the local American Federation of Teachers President hasn’t been particularly supportive of NCLB because of perceived shortfalls in funding, he spoke candidly about the added benefit of compelling all parties to work collaboratively with an emphasis on student achievement (E. Allen, personal communication, April 11, 2005).

If *No Child Left Behind* is to succeed as a national education reform in urban, rural and suburban districts alike, then the adversarial relationship of the past among union leaders, teachers and administrators must be based on a new social framework that focuses on mutual effort, respect, and teamwork to affirm the labor—management relationship in earnestly addressing negotiated teaching and learning practices that positively impacts student achievement.

#### State Departments of Education

Many states conduct orientation training sessions and yearly in-service for new superintendents, central office educational support services staff, principals, and school board members. As such, this research could be used to acquaint decision makers with newly validated practices designed to support school-based improvements and national education policy implementation. State agencies



could also use this information as a platform for dialogue to improve competency requirements and certification criteria for school administrators.

More specifically, this research study assumes that huge gains in student performance can be made with a coordinated strategy between state agencies and local schools. However, there is not a “one size fits all” model of technical assistance that is needed as evident in the findings of this study with the patterns of dynamic capabilities discussed earlier in this study.

NCLB brings major changes in two ways. First, the agenda for school improvement has been intensified with greater regulatory control over school accountability processes. Second, the center of influence appears to have shifted from the local level. State agencies, districts, and schools are now under immense pressure to respond to federal mandates. However, state agencies have not necessarily restructured or organized themselves to manage the increased demand for services from schools designated for improvement; nor have they re-aligned the distribution of federal resources in any significant difference from the practices of the past. Using the patterns of dynamic capabilities as a gauge, schools designated for improvement have a wide variety of unique needs that can not be addressed effectively through desk top monitoring, video conferencing, and infrequent technical assistance visits.

The researcher found that State assessment data comes back to districts too late in the school year to be used effectively for instructional purposes. High-stakes accountability systems should be modified with the idea of distributing accountability throughout the system. If more resources were directed to districts

to help provide ongoing, student-level diagnostic and formative assessments, students could receive the extra help they need before they fall further behind.

Nonetheless, under each State's single system of accountability there are promising features of NCLB that can serve to address common challenges facing educational practitioners at the local and state level. First, the problems of equity with clear provisions for careful scrutiny of student achievement for low income and minority children. As such, school-wide averages are no longer acceptable as sufficient evidence of successful performance. Second, educational leaders must be more attentive to the recruiting and retention challenges for qualified teachers. Third, school improvement can no longer be random acts that are not aligned to the overarching improvement aims and goals of the district. School leaders at every level must redefine school improvement processes as ongoing opportunities for continuous improvement of current conditions and as actions plans to improve teaching and learning.

### Suggestions for Further Research

The results of this study suggest other research which could be conducted to increase the understanding of dynamic capabilities in education policy, planning and program implementation in urban districts with high poverty schools.

1. This study was designed as an qualitative exploratory study and identified implications for changes in school, district, and state level practices for planning teams. However, scholars and practitioners would benefit from

similar knowledge gleaned from a wider variety of schools and districts.

A large-scale study could be conducted across multiple types of districts that might include rural, suburban and huge urban districts in different parts of the nation. The purpose of the study could be used to measure statistically, the growth in dynamic capabilities and the impact of education policy, program implementation and supportive administrative practices. Contrasting populations might include districts designated for improvement under NCLB, charter schools, and/or incorporated schools.

2. Given the reauthorization of NCLB, the issue of dynamic capabilities will continue to increase in importance for campus level planning teams. In the current study, the researcher found that district and state planners made little distinction between schools with high versus low dynamic capabilities. This lack of distinction could produce inefficiencies in funding expenditures and focus toward policy implementation. Future studies should gather more specific information that would distinguish variables between low dynamic capabilities and low performing schools, but particularly the impact of education policy instruments in urban schools. These studies would result in finding key practices to determine the most effective design of technical assistance, support services and education policy sanctions.
3. The current study builds on previous research indicating that central office staff plays a key role in successful policy implementation and school improvement processes. Additional studies should focus on the specific

roles within the central office. This study could examine the central office administrator's responsibility for such roles as curriculum and instruction, financial services, instructional technology, and special education, to determine the impact of their role in supporting the implementation of national education policy reform. One component of this study could document changes as a result of implementing school-based improvement. Another component could compare the impact of each role and the consequences of different policy instruments.

## REFERENCES

- Adler, P. S., & Borys, B (1996). Two types of bureaucracy: Enabling and coercive. *Administrative Science Quarterly*. 41 61–89.
- Alexander, K. & Alexander, M.D. (2001). *American Public School Law*, 5<sup>th</sup> edition. Belmont, CA: Wadsworth/Thompson Learning.
- Argyris, C., & Schon, D. (1978). *Organizational Learning*. Addison-Wesley, Reading, MA.
- Babbie, E. (1989). *The practice of social research*. (5<sup>th</sup>), Belmont, CA: Wadsworth Publishing. 235-259.
- Bass, M.M., Cascio, W.J., & O'Connor, E.J. (1974). Magnitude estimation of expressions of frequency and amount. *Journal of Applied Psychology*. 34. 313-320.
- Berends, M., Kirby, S. N., Naftel, S., & McKelvey, C. (2001). *Implementation and performance in New American Schools: Three years into scale-up*. Santa Monica, CA: RAND.
- Berman, P. & McLaughlin, M.W. (1976). Implementation of educational innovation. *Educational Forum*. 40, 345-370.
- Berman, P. & McLaughlin, M.W. (1978). *Federal Programs Supporting Educational Change, Vol. III: Implementing and Sustaining Innovations*. Santa Monica, CA: RAND.
- Bodilly, S., Keltner, B. Purnell, S., Reichardt, R., & Schuyler, G. (1998). *Lessons from New American Schools' scale-up phase*. Santa Monica, CA: RAND
- Bogden, R.C., & Biklen, S.K. (1992). *Qualitative research for education*. (2), Needham Heights, MA: Allyn and Bacon.
- Brown v. Board of Education, 347 U.S. 483, 74S. Ct 686 (1954).
- Brown, J. S., Collins, A and Duguid, P. (1989). "Situated cognition and the culture of learning." *Educational Researcher* vol. 18, no. 1:32–42.
- Brown, J. S., & Duguid, P. (1991). Organizational learning and communities of practice: Toward a unified view of working, learning and innovation. *Organizational Science*. 2 40–57.

- Brown, S., L.; Eisenhardt, Kathleen, M. (1997), *The art of continuous change: Linking complexity theory and time paced evolution in relentlessly shifting organizations*, ASQ, 42 (1), 1-34.
- Bruce Joyce, Beverly Showers & Michael Fullan (2002). *Student Achievement through staff development (3rd Ed)* Alexandria, VA: Association for Supervision and Curriculum Development.
- Bryk, A., Lee, V. & Holland, P. (1993). *Catholic schools and the common good*. Cambridge, MA: Harvard University.
- Clancey, W.J. (1995) A tutorial on situated learning. *Proceedings of the International Conference on Computers and Education (Taiwan)* Self, J. (Ed.) Charlottesville, VA: AACE. 49-70, 1995
- Code of Federal Register, (2003). NCLB—Improving the Academic Achievement of the Disadvantaged; 34 CFR Part 200; final regulations; correction [OESE] Web site: <http://www.ed.gov/legislation/FedRegister/finrule/2003-1/010803a.html>.
- Coleman, J. S. & Hoffer, T. (1987). *Public and private high schools: The impact of the community*. New York: Basic Books.
- Collins, J. (2001). *Good to great: why some companies make the leap...and other don't*. 1st ed. New York, NY: Haper Collins.
- Darling-Hammond, L. (2000). Teacher quality and student achievement: A review of state policy evidence. *Education Policy Analysis Archives*, 8(1), 1–50. Available: <http://epaa.asu.edu/epaa/v8n1>.
- Dede, C. (2000). *The role of emerging technologies for knowledge mobilization, dissemination, and use in education*, [On-line]. Available: <http://www.virtual.gmu.edu>
- Dillman, D.A. (1991). The design and administration of mail surveys. *Annual Review of Sociology*. 17. 225-249.
- DuFour, R., & Eaker, R. (1998). Professional Learning Communities at Work: Best practices for enhancing student achievement. Alexandria, VA: Association for Supervision and Curriculum Development.
- Elmore, R. (1996). Getting to scale with good educational practice. *Harvard Education Review*, 66 (1), 1-26.

- Feagin, J., Orum, A., & Sjoberg, G. (Eds.). (1991). *A case for case study*. Chapel Hill, NC: University of North Carolina Press.
- Fowler, F.C. (1996, April). *Meaningful Competition? A study of student movement under interdistrict open enrollment*. Paper presented at the annual meeting of the American Education Research Association, New York.
- Fowler, F.C. (2000). *Policy Studies for Education Leaders*. New Jersey: Prentice-Hall, Inc.
- Fox, R.J., Crask, M.R., & Kim, J. (1988). Mail survey response rate: A meta-analysis of selected technique for inducing response. *Public Opinion Quarterly*. 52. (4), 467-491.
- Fullan, M.G. (1991). *The new meaning of educational change*. New York: Teachers College Press.
- Gamoran, A., Nystrand, M., Berends, M., & LePore, P. C. (1995). An organizational analysis of the effects of ability grouping. *American Educational Research Journal*, 32(4), 687-715.
- Garet, M., Porter, A. C., Desimone, L., Birman, B. F., and Yoon, K. S., (2001). What makes professional development effective? Results from a national sample of teachers. *American Education Research Journal* 38(4), 915-945.
- Hassel, B., & Steiner, L (2000). *Strategies for scale: Learning from two educational Innovations*. (Occasional Paper 1-00). Cambridge, MA: Harvard University. The John F. Kennedy School of Government.
- Hawley Miles, K., & Hornbeck, M. (2000). Rethinking district professional development spending. *New American Schools Strategy Brief: Resource Reallocation*, 3.
- Hippler, H.J., Schwarz, N. (1987). Response effects in surveys. In H.J. Hippler, N. Schwarz, S. Sudman, *Social information processing and survey methodology*. New York, NY: Springer.
- Holsti, O. (1969). *Content analysis for the social sciences and humanities*. Reading, MA: Addison-Wesley.
- Huberman, A.M. & Miles, M.B. (1984). *Innovations up close*. New York: Plenum Press.
- Jensen, J.H. (1985). Effects of questionnaire layout and size and issue: Impact on response rates in mail surveys. *Perceptual & Motor Skills*. 61. 139-142.
- Karlsen, G. E. (2000). Decentralised centralism: Framework for a better understanding of governance in the field of education. *Journal of Educational Policy*, 15 (5), 525-538.

- Kilgore, S. (2005). Comprehensive solutions for urban reform. *Educational Leadership*, 44-47.
- Krippendorff, K. (1980). Content analysis: An introduction to its methodology. Beverly Hills, CA: Sage.
- Lauglo, J. (1995). Forms of decentralisation and their implications for education. *Comparative Education*, 31 (1), 5-29.
- Lave, J., and E. Wenger. 1991. *Situated learning: Legitimate peripheral participation*. Cambridge, UK: Cambridge University Press.
- Massell, D. (1998). *State strategies for building local capacity: Addressing the needs of standards-based reform*. Philadelphia, PA: Consortium for Policy Research in Education, University of Pennsylvania.
- Mazemanian, D.A. & Sabatier, P.A. (1989). *Implementation and public policy*. Lanham, M.D.: University Press of America.
- McDonnell, L., & Elmore, R. (1987). Getting the job done alternative policy instruments. *Education Evaluation and Policy Analysis*, 9 (2), 133-152.
- McDermott, K. (2000). Barriers to large-scale success of models for urban school reform. *Educational Evaluation and Policy Analysis*, 22 (1), 83-89.
- McLaughlin, M.W. (1976). Implementation as mutual adaption: Change in classroom organization. *Teachers College Record*, 77, 339-351.
- McLaughlin, M.W. (1987). Learning from experience: Lessons from policy implementation. *Educational Evaluation and Policy Analysis*, 9, 171-178.
- McLaughlin, M. (1991). The RAND Change Agent Study: Ten years later. In A. (Ed), *Education policy implementation* (pp.143-155). Albany, NY: State University of New York Press.
- Miles, M. & Louis, K.S. (1990). Mustering the will and skill for change. *Educational Leadership*, 47(8), 57-61.
- Mirel, J. (1994). School reform unplugged: The Bensenville New American School Project, 1991-93. *American Educational Research Journal*, 31, 481-518.
- Murphy, J. (1990). *The education reform movement of the 1980s*. Berkeley, CA: McCutchan.
- Murphy, J.T. (1971). Title I of ESEA: The politics of implementing federal education reform. *Harvard Education Review*, 41, 35-63.



- Nakamura, R.T. & Smallwood, F. (1980). *The politics of policy implementation*. New York: St. Martin's Press.
- National Commission on Excellence in Education. (1983). *A Nation at Risk: The imperative for educational reform*. Washington, D.C.: Government Printing Office.
- National Research Council, (1999). *Testing, teaching, and learning: A guide for states and school districts*. Washington, DC: National Academy Press.
- Neal, R. (1991). *School-based management*. Bloomington, IN: National Educational Service.
- Newmann, F. M., and Associates (1996). *Authentic achievement: Restructuring schools for intellectual quality*. Jossey-Bass Inc, San Francisco, CA.
- Newmann, F., Smith, B., Allenworth, E. & Bryk, A. (2001) Instructional Program Coherence: What it is and why it should guide school improvement policy. *Educational Evaluation and Policy Analysis*. 23 (4). Pp. 297-321.
- Oakes, J., Gamoran, A., & Page, R. N. (1992). Curriculum differentiation: Opportunities, outcomes, and meaning. In P. W. Jackson (Ed.), *Handbook of research on curriculum* (pp. 570-608). Washington, DC: American Educational Research Association.
- Odden, Allan. ((2000a). The costs of sustaining educational change through comprehensive school reform. *Phi Delta Kappan*, 81 (6), 433-438.
- Odden, A. (2000b). How to rethink school budgets to support school transformation. [On-line]. Available: <http://www.naschools.org/contentViwer.asp?>
- Peterson, P., Rabe, B., & Wong, K. (1986). *When federalism works*. Wasington, D.C.: Brookings Institution.
- Peterson, P., Rabe, B., & Wong, K. (1991). *When federalism works*. Wasington, D.C.: Brookings Institution.
- Puma, M.J., Karweit, N., Price, C., Ricciuti, A., Thompson, W., Vaden-Kiernan, M. (1997). *Prospects: Final report on student outcomes*. Bethesda, MD: Abt Associates.

- Purkey, S.C., & Smith, M.S. (1983). Effective schools: a review. *Elementary School Journal*. 83. 427-452.
- Raybold, B. (2003) Performance Support Engineering: An Emerging Development Methodology for Enabling Organizational Learning. *Performance Improvement Quarterly*, 8(1) 7-22.
- Ring, P. & Van de Ven, A. (1994). Developmental process of cooperative interorganizational relationships. *Academy of Management Review*. Vol. 19 (1), pp. 90-118.
- Sarason, S.B. (1996). *Revisiting "The culture of the school and the problem of change."* New York: Teachers College Press.
- Schlenker, E. A., & Beckstrom, S. (1993). Chapter 1 schoolwide project study: Final report. Hampton, NH: RMC Research. (ED 365 768)
- Schon, D.A. (1983). *The reflective practitioner*. Basic Books, New York
- Schorr, L. (1997). *Common purpose: Strengthening families and neighborhoods to rebuild America*. New York, NY: Teachers College Press.
- Sebring, P. B. & Bryk, A. (2000). School leadership and the bottom line in Chicago. *Phi Delta Kappan*, 8(6), 440-443.
- Senge, P.M. 1990. *The Fifth Discipline: The art and practice of the learning organization*. Doubleday, New York, NY.
- Slavin, R. & Madden, N. (1999). *Disseminating Success for All: Lessons for policy and practice*. [On-line] Available: <http://www.successforall.net>
- Stake, R. (1995). *The art of case study research*. Thousand Oaks, CA: Sage Publications.
- Snyder, T.D. & Shafer, L.L. (1996). *Youth Indicators*, 1996. Washington, D.C.: U.S. Department of Education, National Center for Education Statistics.
- Taylor, D., & Teddlie, C. (1999). Implementation Fidelity in Title I Schoolwide Programs. *Journal of Education for Students Placed at Risk*, 4(3), 299-319.
- Teece, D., Pisano, A., & Shuen, A. (1997). Dynamic capabilities and strategic management. *Strategic Management Journal*. 18, 509-533.

- The New Title I: Changing Landscape of Accountability, Thompson Publishing Group, Inc., Washington, DC 2006.
- Tyack, D. & Cuban, L. (1995). *Tinkering toward utopia*. Cambridge, MA: Harvard University Press.
- Tyack, D. & Tobin, W. (1994). The grammar of school: Why has it been so hard to change? *American Educational Research Journal*, 31, 453-479.
- U.S. Department of Education. (1993a). Reinventing Chapter 1: *The current Chapter 1 program and new directions*. Washington, DC: Author.
- U.S. Department of Education. (1993b). *Targeting formula and resource allocation Issues: focusing funds where the needs are greatest*. Washington, DC: Author.
- U.S. Department of Education. (1999). *Promoting results, continuing challenges: The final report of the national assessment of title I*. Washington, DC: Author.
- U.S. Department of Education, Office of Elementary and Secondary Education, *No Child Left Behind: A Desktop Reference*, Washington, DC 2002.
- U.S. Department of Education, (2004). Title I Grants to Local Education Agencies. Retrieved January 26, 2005, from FY 2005 Budget Summary Web site: <http://www.ed.gov/about/overview/budget/budget05/summary/>.
- U.S. Department of Education (2004). Implementing Schoolwide Programs. Retrieved July 19, 2004, [http://www.ed.gov/pubs/Idea\\_Planning/index.html](http://www.ed.gov/pubs/Idea_Planning/index.html)
- Vygotsky, L.S. (1978). *Mind in Society: The development of higher psychological processes*. Cambridge, MA: Harvard University Press.
- Weick, K.E. (1983). The collapse of sensemaking in organizations: The Mann Gulch Disaster. *Administrative Science Quarterly*, 38, 628 -652.
- Whitehurst, Grover J., 2002. *Evidenced-based Education (EBE)*. Presentation used at U.S. Department of Education Regional Meetings. Retrieved from <http://www.ed.gov/nclb/methods/whatworks/eb/edlite-slide001.html>.
- Winter, S. (2003). Understanding dynamic capabilities. *Strategic Management Journal*, 24: 991-995.
- Winter, S., & Szulanski, G. (2000). Replication as strategy. *Organizational Science*. 12, 730-743.
- Yin, R. (1979). *Changing urban bureaucracies: How new practices become routinized* Lexington, MA: Lexington Books.

Yin, R. (1984). *Case study research: Design and methods* (1st ed.). Beverly Hills, CA: Sage Publishing.

Yin, R. (1994). *Case study research: Design and methods* (2nd ed.). Thousand Oaks, CA: Sage Publishing.

Zollo, M. & Winter, S. (2002). Deliberate learning and the evolution of dynamic capabilities.  
*Organizational Science*. Vol. 13, No. 3, May–June 2002, pp. 339–351

## APPENDICES

Campus Improvement Planning Template.....	146
School Improvement Plan Addendum.....	163
Evidence-based Strategy Review.....	173
Peer Review Protocol.....	176
Quarterly Monitoring Report.....	185
Campus Visit Survey .....	189

NO CHILD LEFT BEHIND

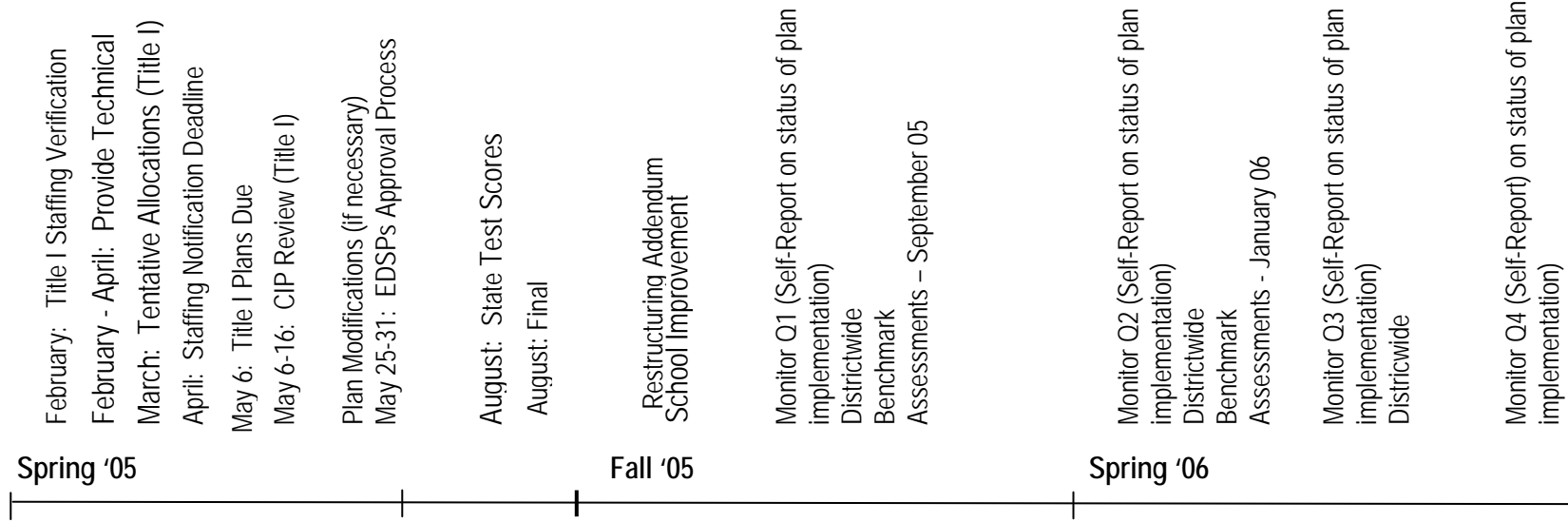
---

*School Name (add)*

2005-2006

Campus Improvement  
Plan

# Campus Improvement Plan Timeline



## Campus Improvement Plan

### Complete   Documentation

\_\_\_\_\_ Campus Planning Team

\_\_\_\_\_ Academic Trend Summary

\_\_\_\_\_ Campus Planning Template

\_\_\_\_\_ Campus Budget and Staffing  
Attachments

- ☐ Budget Summary Report (Excel worksheet)
- ☐ Budget Justification (Excel worksheet)
- ☐ Staffing (Excel worksheet)

A Glossary of Terms has been attached to assist in completing the Campus Improvement Plan



*Campus Planning Team*

2005-2006

This Campus Improvement Plan has been developed with the involvement of the community to be served and individuals who will carry out the plan. The planning process should be used to align all major programs at your site to improve teaching and learning. The planning team assumes responsibility for planning and implementing the campus improvement plan and should represent a variety of participants from the school and the community. Note: In addition to District requirements for all schools to use the campus improvement planning process, these forms are also required by all Title I schools.

Instructions: Print each committee member's full name and obtain signatures.

1. TEACHER
2. TEACHER
3. TEACHER
4. TEACHER
5. TEACHER
6. SUPPORT STAFF
7. PARENT
8. SERVICE PROVIDER*
9. INSTRUCTIONAL FACILITATOR *
10. READING COACH *
11. STUDENT* *

School: \_\_\_\_\_

**Signatures:**

\_\_\_\_\_  
Principal

Date \_\_\_\_\_

\_\_\_\_\_  
Executive Director of Student Performance

Date \_\_\_\_\_

\*If currently assigned to your site

\*\*If appropriate

## A. Needs Assessment: Trend Data

### Core Academic Program

**Instructions:** Write the Campus academic annual API or Percentage in the chart below. For each academic year, compare the State baseline (shaded cells).

	2002	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
	-	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Reading API	648	648	790	790	790	790	932	932	932	1074	1074	1358	1500
School Trend													
Mathematics API	622	622	768	768	768	768	914	914	1060	1060	1206	1352	1500
School Trend													
Students %Tested	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%
School Trend													

### Local Performance Measures

	2002	2002-	2003-	2004-	2005-	2006-	2007-	2008-	2009-	2010-	2011-	2012-	2013-
	2003	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Attendance Rate	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%
School Trend													
Dropout (Secondary)	%	%	%	%	%	%	%	%	%	%	%	%	%
School Trend													
Graduation (Secondary)	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%
School Trend													

### Oklahoma School Accountability Data Report

Attach a copy of the State report.

### District Statistical Profile Summary

Attach a copy of the most current District Profile for your campus.

## B. Needs Assessment: School Program

Attach a copy after working with your EDSP.

## C. Parental Involvement

Attach a copy of the Parent/School Compact, how this was disbursed and signed by parents and a summary of the CSMpact.

1. Parent Engagement and Outreach
2. Strategies to support teaching and learning.

**NCLB GOAL 1:** To strengthen the school's core academic program [Reading & Mathematics] so that by 2013-2014 all students (in aggregate and for each subgroup) will demonstrate **academic skills** at the "proficient" level or above on the State's assessment and be engaged in high quality teaching and learning.

**District AIM 1:** Learning Focus

Goal 1: Adhere to consistent, rigorous, relevant academic PASS standards.

Goal 2: Provide extended, research-based learning opportunities to meet student needs for skills mastery.

## *Campus Planning Template*

### 1. Reading

**Relationship of Data to Goals:** Selection of goals must be based upon an identified instructional need and must be corroborated by data. Discuss how the selected strategies will a) close any disparities between noted student groups, and b) increase the number and percentage of students who will score at or above the "proficient" level by academic year 2013-2014.

Current data indicates...

Learning Community (Feeder Pattern) Goal:

**Rationale for Strategies:** Effective strategies are matched to the needs of learners. In this section, discuss a) why the students are performing at the current levels on assessments, and b) how the selected strategies are matched to the current instructional needs and represent scientifically based teaching practices.

Scientific research indicates...

School Goal	<u>Results</u>	<u>Intervention Strategy</u>	<u>Activities</u>		<u>Resources</u>
	Measure		Frequency	Documentation	
	<b>Current Data</b> ___ # Proficient ___ % Proficient  <b>Annual Target</b> ___ # Proficient ___ % Proficient	a.	a.1.  a.2		
		b.	b.1  b.2		

The following areas should be included in the "Strategy" column: ☐ Transitions ☐ Student Engagement

CAMPUS IMPROVEMENT PLAN

2005-2006

**NCLB GOAL 1:** To strengthen the school's core academic program [Reading & Mathematics] so that by 2013-2014 all students (in aggregate and for each subgroup) will demonstrate **academic skills** at the "proficient" level or above on the State's assessment and be engaged in high quality teaching and learning.

**District AIM 1:** Learning Focus

Goal 1: Adhere to consistent, rigorous, relevant academic PASS standards.

Goal 2: Provide extended, research-based learning opportunities to meet student needs for skills mastery.

2. Mathematics

**Relationship of Data to Goals:** Selection of goals must be based upon an identified instructional need and must be corroborated by data. Discuss how the selected strategies will a) close any disparities between noted student groups, and b) increase the number and percentage of students who will score at or above the "proficient" level by academic year 2013-2014.

Current data indicates...

Learning Community (Feeder Pattern) Goal:

**Rationale for Strategies:** Effective strategies are matched to the needs of learners. In this section, discuss a) why the students are performing at the current levels on assessments, and b) how the selected strategies are matched to the current instructional needs and represent scientifically based teaching practices.

Scientific research indicates...

School Goal	<u>Results</u>	<u>Intervention Strategy</u>	<u>Activities</u>		<u>Frequency</u>	<u>Documentation</u>	<u>Resources</u>
	Measure						
	<b>Current Data</b> ___ # Proficient ___ % Proficient  <b>Annual Target</b> ___ # Proficient ___ % Proficient	a.	a.1.				
			a.2				
		b.	b.1				
			b.2				

The following areas should be included in the "Strategy" column: ☐ Transitions ☐ Student Engagement

**NCLB GOAL 6:** To extend academic success by maintaining **safe, healthy and engaging learning** environments.

**District AIM 5: Safe and Nurturing Learning Environment**

Goal 1 Provide safe, secure, inviting, orderly and well-maintained facilities.

Goal 2 Expect and reinforce appropriate/positive behavior of employees and students.

**District AIM 1: Learning Focus**

Goal 3 Create and sustain an environment embracing diversity that fosters leadership and accountability for all employees and students.

**3. Student Engagement**

<b>Relationship of Data to Goals:</b> Selection of goals must be based upon an identified instructional need and must be corroborated by data. Discuss how the selected strategies will a) close any disparities between noted student groups, and b) increase the number and percentage of students who will score at or above the "proficient" level by academic year 2013-2014.							
Current data indicates...							
Learning Community (Feeder Pattern) Goal:							
<b>Rationale for Strategies:</b> Effective strategies are matched to the needs of learners. In this section, discuss a) why the students are performing at the current levels on assessments, and b) how the selected strategies are matched to the current instructional needs and represent scientifically based teaching practices.							
Scientific research indicates...							
School Goal	<u>Results</u>	<u>Intervention Strategy</u>	<u>Activities</u>		<u>Frequency</u>	<u>Documentation</u>	<u>Resources</u>
	Measure						
	<b>Current Data</b> ___ # Proficient ___ % Proficient  <b>Annual Target</b> ___ # Proficient ___ % Proficient	a.	a.1.				
			a.2				
		b.	b.1				
			b.2				

**NCLB GOAL 4:** To align staff capacities, school processes, and professional development activities to implement **effective methods and instructional practices** that are supported by scientifically based research.

**District AIM 1: Learning Focus**

Goal 2 Provide extended, research-based learning opportunities to meet student needs for skills mastery.

**District AIM 3: Organizational Health**

Goal 2 Create and sustain an organizational culture embracing collaboration and cooperation.

Goal 3 Create and sustain an environment that fosters leadership at all levels.

Goal 4 Create and sustain high expectations for all employees and students.

GOAL 5 CREATE AND SUSTAIN AN ENVIRONMENT THAT RECOGNIZES THE NEEDS OF ALL EMPLOYEES AND STUDENTS.

**District AIM 4: Effective Workforce**

Goal 1 Recruit and retain a highly effective and competent workforce.

Goal 2 Value continuous improvement and celebrate successes.

4. Professional Development

<b>Relationship of Data to Goals:</b> Selection of goals must be based upon an identified instructional need and must be corroborated by data. Discuss how the selected strategies will a) specifically address any disparities between noted student groups, and b) significantly increase the number of students who will score at or above the "proficient" level by academic year 2013-2014.						
Current data indicates...						
Learning Community (Feeder Pattern) Goal:						
<b>Rationale for Strategies:</b> Effective professional development supports implementation of effective strategies for teaching and learning. In this section, discuss a) current level of strategy implementation, and b) how the selected professional development design is matched to the current instructional needs and represents scientifically based teaching practices.						
Staff Development for Research Based Strategies include...						
<u>Results</u>	<u>Research-based</u>	<u>Activities</u>			<u>Resources</u>	
School Goal	Measure	<u>Strategy</u>	Staff Development / Technical Assistance	Frequency	Documentation	
	Current Data	a.	a.1 a.2			
	Annual Target					

**NCLB GOAL 1:** To strengthen the school's core academic program [Reading & Mathematics] so that by 2013-2014 all students (in aggregate and for each subgroup) will demonstrate **academic skills** at the "proficient" level or above on the State's assessment and be engaged in high quality teaching and learning.

**District AIM 1: Learning Focus**

Goal 1: Adhere to consistent, rigorous, relevant academic PASS standards.

Goal 2: Provide extended, research-based learning opportunities to meet student needs for skills mastery.

5. Parental Involvement / Priorities for Change

<b>Relationship of Data to Goals:</b> Selection of goals must be based upon an identified instructional need and must be corroborated by data. Discuss how the selected strategies will support efforts to a) close any disparities between noted student groups, and b) increase the number of students who will score at or above the "proficient" level by academic year 2013-2014.						
Current data indicates...						
Learning Community (Feeder Pattern) Goal:						
<b>Rationale for Strategies:</b> Effective strategies are matched to the needs of learners. In this section, discuss a) why the parent are currently participating, and b) how the selected strategies will support increased involvement, based upon effective practices.						
Scientific research indicates...						
<u>Results</u>		<u>Intervention</u>	<u>Activities</u>			<u>Resources</u>
School Goal	Measure	<u>Strategy</u>	Key Outreach Processes	Frequency	Documentation	
	Current Data	a.	a.1. a.2			
	Annual Target					

# Glossary

---

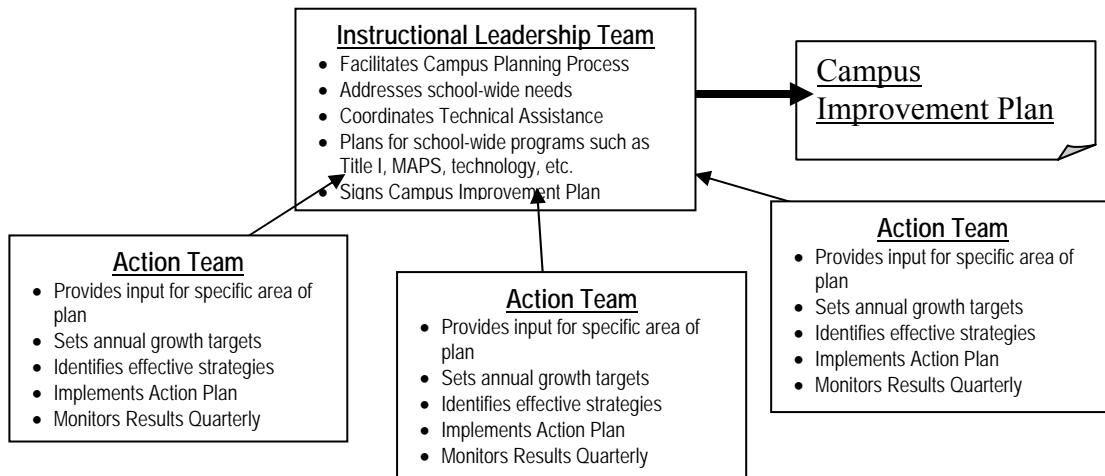
## *Timeline*

An annual timeline of key planning activities is provided for informational purposes. Planning teams should be aware of due dates for planning, funding allocations, and assessments.

## *Campus Planning Team*

Members of the school Instructional Leadership Team must sign the Campus Improvement Plan. This team serves as the facilitating and coordinating team for school-wide initiatives. Thus, the team should be composed of instructional leaders who represent programs adopted by the school, such as Title I, Comprehensive School Reform, MAPS for Kids, GEAR UP or other programs as appropriate. A high-quality plan empowers staff for action and leadership at all levels.

Many schools then organize Action Teams to help gather data and provide input into specific sections of the Campus Improvement Plan. These action teams could address topics in the plan such as Reading, Mathematics, Student Transitions, Parental Involvement, or Student Engagement.



## *Needs Assessment: Trend Data*

### 1. Core Academic Program

Write the scores from annual *api* calculations in the appropriate column for each year.

### 2. Local Performance Measures

Write the school trend data, provided by the State Department of Education, in the appropriate column for each year.

### 3. Oklahoma School Accountability Report

Attach a copy of the report provided by the State Department of Education. Include the summary report and the disaggregated data report.

### 4. District Statistical Profile Summary

Attach a copy of the report available through the District's PRE Department.



### *Needs Assessment: School Program*

The Executive Directors for Student Performance will lead the tasks for assisting principals in the completion of the Needs Assessment activities for their respective feeder pattern. Include a summary of these activities in the campus plan. The needs assessment should:

- a. Identify gaps in student learning and gaps in levels of proficiency between student groups,
- b. Staff development needs that will aid teachers in addressing the student learning gaps.

The school planning team will review the campus improvement plan and additional available data. Answer the following questions, providing a complete discussion of data used to make decisions about school improvement plan changes.

#### School Accountability Designation

Briefly discuss your school's current API and AYP data, Organizational Health Inventory data and other relevant large-scale assessment gathered in the needs assessment process.

#### Improvement of Academic Content and Instruction

Summarize the major changes needed related to school improvement in the areas of academic content and instructional strategies.

#### Strategies for Closing Achievement Gaps (Student Subgroups)

After reviewing your needs assessment information, discuss the needs of students based upon disaggregated data. What are the needs of the subgroups? What strategies are included in your plan to address these needs? What are your goals for proficiency for each group?

#### Teacher Support System

Based on your needs assessment, identify the priorities for professional development. Discuss how ongoing support strategies will be used to implement effective methods and practices. Include reference to your Campus Plan strategies (for example: peer to peer, electronic support system, expertise model), who will provide the strategy (instructional facilitators, CSR model, teachers, etc.) and the frequency of contact.

#### External Expertise and Technical Assistance

How will external expertise be utilized in ways that will promote significant staff development, organizational change, and professional support for improvement strategies? In your discussion, include who will provide the technical assistance (CSR provider, contracted vendor, online learning, etc.); what are the approach and the expected outcomes.

#### Revised Resources

Use the School Budget template and the staffing request to submit resource revisions. Please ensure that budget requests align to the priorities identified in your needs assessment and campus improvement plan. Sufficient resources should be allocated to make significant improvement in levels of student proficiency.

### *Parental Involvement*

The Executive Directors for Student Performance will provide needs assessment activities for parental involvement. Include a summary of these activities in the campus plan. This section should address the following two areas.

a. How will you involve parents in the campus improvement planning process?

The new legislation called No Child Left Behind requires schools to involve parents in the development and review of the Title I program.

- Include a parent on the Title I planning team
- Request input from parents for continuous improvement
- Provide regular feedback related to student mastery of standards
- Teacher Qualification Notices: Parents Right to Know
- Include parents in the annual program review

b. How will we equip parents to support their child's learning?

Provide parents expectations for learning in a user-friendly format

- Make accommodations for language barriers
- Teachers communicate regularly with home
- Ensure parents understand their new role in NCLB as consumers of education
- Train parents (example: Parent Expectation Student Achievement [PESA])

### *Campus Planning Template*

#### 1. Goals

The key element of a high-quality plan is the development of effective goals. Relevant goals have been placed in the planning template to demonstrate the alignment of school efforts with district and national goals.

- a. NCLB Goals: Overarching goals of the No Child Left Behind Act (2001) that must be addressed in Campus Plans.
- b. District AIMS: Goals adopted by the Board of Education for alignment of plans at the district, school, and classroom level.
- c. Learning Community (**Feeder Pattern**) Goal: Goals developed from the unique needs of students and staff within specific feeder patterns.
- d. School Goal: A school-level goal related to each area of the Campus Improvement Plan.

### Examples:

1. Reading: To increase the percentage of students who demonstrate proficiency in Reading.
2. Mathematics: To increase the percentage of students who demonstrate proficiency in Mathematics.

### 2. Intervention Strategies and Activities

Each school has a unique population of students and a unique set of teachers that will provide teaching and learning opportunities. Teams select strategies that match the needs of students. These strategies are research-based, and will significantly increase the number of students who will become proficient in mastering high standards.

Intervention Strategies	Activities
An "approach" or research-based method.	"Scheduled events or sequence of events."
Increased cognitive level in lessons.	Thinking maps, nonlinguistic representations, similarities and differences.
Increased time for practicing fluent reading.	After school program; book buddies, before-school book talks, parent reading program.
Students taking increased ownership and self-guided learning.	Quality tools, cooperative learning, 100 facts charting, generating and testing hypotheses, student-led conferences.
Increase school-to-home communications.	School newsletter, parent conferences, provide parents standards by grade-level, in user friendly terms.

Activities are the events, or sequence of events, scheduled during the year to implement the corresponding strategy.

### 3. Measures for Results and Processes

**Results Measures:** The measure of progress toward reaching goals. Teams should list the current data (including date) for each goal. Then a reasonable annual target should be identified.

#### Examples:

**Student Mathematics:** Current data—17% of student are proficient or above. Annual Target—25% of the students will be proficient this year.

**Professional Development:** Current data—25% of the Instructional Staff are implementing at least six "Quality Tools" in weekly lessons. Annual Target—80% of the Instructional Staff will be trained and implement the six basic "Quality Tools" in weekly lessons.

Process Measures: The measure of Activity completion. Teams should identify **documentation** methods for tracking completion of activities. Documentation measures completion of events

Examples:

**Student Mathematics:** For the Activity of “student-led conferences”, the teachers might document academic progress using student portfolios and conference notes.

**Professional Development:** For the Activity of “Thinking Maps Workshop”, the documentation for staff development would be the event sign-in sheet.

#### 4. Frequency

Frequency is reflected as the amount of time or number of activities in a given period. For example, total number of instructional minutes per week or specific number of parent conferences to occur per semester or annually.

#### 5. Resources

Resources are the people, materials, and programs who are responsible for conducting the activities detailed within the Campus Plan. These programs should match the items listed in the “Resources” column on the planning form. The first column in the table should list various programs. Following the program title should be a descriptor of the program such as student enrollment, number of volunteers, grade ranges covered, or some other meaningful information.

Below are listed various types of programs that might be included. Following each program is a descriptor:

**Federal/State programs:** Targeted Title I, Indian education, Title II, Bilingual assistants, Special Education teachers, Instructional Facilitators, and Oklahoma SDE.

**Volunteers:** PTA/PTO, Community tutors/mentors.

**Partnerships:** District or State demonstration site, Research study site, Business partnership.

**Grants:** Reading First, Comprehensive School Reform, Technology Grant.

**Specialized Materials:** Computer-based learning system, Leveled books library, Textbook series (grades in use).

**Assessment programs:** Benchmark assessments, Diagnostic assessment, Psychometric staff.

### Web Resources

National Research Council (2003) *Engaging Schools: fostering high school students' motivation to learn*. Washington, DC: Author.

<http://www.nap.edu/books/0309084350/html/>

U.S. Department of Education *No Child Left Behind*. Washington, DC:

<http://www.ed.gov>

Oklahoma State Department of Education. <http://www.sde.state.ok.us>

Help for Schools School Improvement Knowledgebase Information:

<http://www.helpforschools.com>

What Works Clearinghouse to Review NCLB Researched Based Strategies.

<http://www.w-w-c.org>

The Education Trust provides information and documentation about what works in mathematics education: <http://www.edtrust.org>

Eisenhower National Clearinghouse is a searchable web-site that contains current research on effective math and science educational practices: <http://www.enc.org>

**NCLB GOAL 1:** To strengthen the school's core academic program [Reading & Mathematics] so that by 2013-2014 all students (in aggregate and for each subgroup) will demonstrate **academic skills** at the "proficient" level or above on the State's assessment and be engaged in high quality teaching and learning.

**District AIM 1: Learning Focus**

Goal 1: Adhere to consistent, rigorous, relevant academic PASS standards.

Goal 2: Provide extended, research-based learning opportunities to meet student needs for skills mastery.

**EXAMPLE: Reading**

<b>Relationship of Data to Goals:</b> Selection of goals must be based upon an identified instructional need and must be corroborated by data. Discuss how the selected strategies will a) close any disparities between noted student groups, and b) increase the number and percentage of students who will score at or above the "proficient" level by academic year 2013-2014.						
Current data indicates... The needs assessment benchmark tests revealed that only 16% of the students were reading fluently at their respective grade levels. Teachers reviewed the reading series and lesson plans from last year, comparing the content to the research-based content listed in the National Reading Panel findings. The teachers identified "fluency" as an area of the curriculum that needed to be strengthened. Benchmark assessments will be administered on a quarterly basis to track progress.						
<b>Rationale for Strategies:</b> Effective strategies are matched to the needs of learners. In this section, discuss a) why the students are performing at the current levels on assessments, and b) how the selected strategies are matched to the current instructional needs and represent scientifically based teaching practices.						
Scientific research indicates... The National Reading Panel [NRP] (2002) cites fluency as a "gateway" skill that leads from basic word skill instruction to advanced comprehension skills. Students that do not read independently at a sufficient rate are often limited in their progress in understanding text passages (Adams, 2001). These students focus on decoding words so much that they lose part or all of the sentence meaning. Several studies in the NRP indicate that classroom instruction in word skills should be combined with repeated practice of reading at an independent level. Students can use books that are coded by level to quickly identify books that are appropriate reading material (not too hard, not too easy).						
<u>Results</u>		<u>Intervention Strategy</u>	<u>Activities</u>		<u>Resources</u>	
School Goal	Measure			Frequency	Documentation	
To increase the percentage of students who demonstrate proficiency in Reading.	<b>Current Data</b>	a. Direct instruction for word skills.	a.1. Provide at least <b>20 minutes</b> of class instruction time per day related to improving word skills.	100 minutes per week.	Lesson Plans	Classroom Instruction
	<b>Annual Target</b>		a.2 Provide at least <b>four (4) 20 minute reading activities per week</b> to support fluency in word skills.	80 minutes per week	Lesson Plans	Classroom Instruction
	16 % Proficient					
	22 % Proficient					

## NO CHILD LEFT BEHIND

---

*School Name (add)*

2004-2005

# Campus Plan Addendum: School Improvement

TITLE I DEPARTMENT: SCHOOL PLANNING COMMITTEE  
2004-2005

CAMPUS IMPROVEMENT PLAN ADDENDUM

Designated Status: "School Improvement"

Summary: Campus Improvement Plan Addendum

**Instructions:** The purpose of the Plan Addendum funding is to accelerate and enhance the current school improvement efforts. The school planning team will review the Title I campus improvement plan. Check each item as it is reviewed. Make revisions as appropriate on the campus improvement plan. Then indicate whether each item contained no change or was revised with an addendum.

Area	No-change	Addendum
<u>Specific Needs Identified (Needs Assessment)<sup>1</sup></u>		
▪ Core Academic: Reading		
▪ Core Academic: Mathematics		
▪ Student engagement		
▪ Transitions		
▪ Parent involvement		
▪ Instructional methods		
▪ High-quality staff		
<u>Academic Issues addressed (Strategies and interventions)<sup>2</sup></u>		
▪ Core Academic: Reading		
▪ Core Academic: Mathematics		
▪ Student engagement		
▪ Transitions		
▪ Parent involvement		
▪ Instructional methods		
▪ High-quality staff		
<u>Specific Measurable Objectives(Current Status and Target Goals)<sup>3</sup></u>		
▪ Core Academic: Reading		
▪ Core Academic: Mathematics		
▪ Student engagement		
▪ Transitions		
▪ Parent involvement		
▪ Instructional methods		
<u>Budget and Resources</u>		
▪ High-quality staff		
▪ Staff Development (10% +)		
▪ Staffing Plan		
▪ Instructional Program		
▪ Technical Assistance		

<sup>1</sup>Includes student gaps, program gap, conclusions

<sup>2</sup>Includes evidence of basis of effectiveness; researched based strategies and interventions

<sup>3</sup>Includes clear objective, current status and identified benchmark assessments



TITLE I DEPARTMENT:  
SCHOOL PLANNING COMMITTEE  
2004-2005

**APPROVAL SIGNATURES**

School: \_\_\_\_\_

Designated Status: School Improvement

Note: This form is required by all Title I schools. The purpose of this form is to demonstrate the committee's support of strategies, activities, and staffing for the school Title I Campus Improvement Addendum. Each member listed below should participate in the review of school and student needs, in providing expertise for plan development, and in supporting the implementation process, and approve the allocation of resources.

Instructions: Print each committee member's full name and obtain signatures.

1.	TEACHER
2.	TEACHER
3.	TEACHER
4.	TEACHER
5.	PARENT
6.	STUDENT <sup>1</sup>
7.	SUPPORT STAFF
8.	EXTERNAL EXPERT <sup>2</sup>
9.	INSTRUCTIONAL FACILITATOR <sup>2</sup>
10.	EDUCATIONAL SUPPORT SERVICES <sup>1</sup>
11.	SERVICE PROVIDER <sup>1</sup>

Signature of Principal \_\_\_\_\_ Date \_\_\_\_\_

Executive Director \_\_\_\_\_ Date \_\_\_\_\_

<sup>1</sup> Optional

<sup>2</sup> Required (if assigned to School)

## Key Questions

**Instructions:** The school planning team will review the campus improvement plan and additional available data. Answer the following questions, providing a complete discussion of data used to make decisions about school improvement plan changes.

### 1. Causes of Designated “School Improvement” Status

Why was the school identified for “school improvement” status? In your discussion, use current API and AYP data and other information gathered in the needs assessment process.

Sample Elementary was identified for School Improvement for the following reasons:

Student Group	Math	Reading	Test	Attendance	Total
Regular	754	452*			632
ELL					295
IEP					133
All	539*	121	92%		386

<sup>1</sup> Safe Harbor

### API Performance Targets for 2003-2004

API Domain	Target API	School API (2003-04)
Attendance	664	892
Mathematics	648	539 <sup>1</sup>
Reading	622	121
Percent Tested	95%	100%

<sup>1</sup> Safe Harbor

### API Performance Targets for 2003-2004

Student Group	3 <sup>rd</sup> Math	3 <sup>rd</sup> Reading	5 <sup>th</sup> Reading	5 <sup>th</sup> Math
Regular	618	807*	322	712
ELL	-- <sup>2</sup>	--	--	--
IEP	--	--	--	--
All	219*	219	345	460

<sup>2</sup> The State did not report API scores due to the confidentiality regulations.

Note: The performance targets of that schools must use to measure progress toward making Adequate Yearly Progress (AYP) were approved by the Federal Government based on four measures of student performance in 11 separate subgroups set in federal law. Not meeting the performance targets in any one of the following measures will cause a school to fall short of adequate progress measures.

The four measures for each school site are:

- Reading test score index
- Mathematics test score index
- Percent of students tested annually in reading and mathematics, and
- Either attendance rate or graduation rate.

## 2. Improvement of Academic Content and Instruction

Summarize the major changes needed related to school improvement in the areas of academic content and instructional strategies.

### 3. Strategies for Closing Achievement Gaps (Student Subgroups)

After reviewing your needs assessment information, discuss the needs of students based upon disaggregated data. What are the needs of the subgroups? What strategies are included in your plan to address these needs? What are your goals for proficiency for each group?

Student Group	Needs Area	Strategies	Goals
Regular	Reading		Current # ____ % ____ Target # ____ % ____
Regular	Math		Current # ____ % ____ Target # ____ % ____
ELL	Reading		Current # ____ % ____ Target # ____ % ____
ELL	Attendance		Current # ____ % ____ Target # ____ % ____

### 4. Teacher Mentoring

Based on your needs assessment, identify the priorities for professional development. Discuss how teacher mentoring will be used to support the plan for implementation of effective methods and practices. Include reference to your plan and reference your strategy (for example: peer to peer, cognitive coaching, expertise model), who will provide the strategy (instructional facilitators, CSR model, teachers, etc.) and the frequency of contact.

### 5. External Expertise and Technical Assistance

How will external expertise be utilized in ways that will promote significant staff development, organizational change, and professional support for improvement strategies? In your discussion include who will provide the technical assistance (CSR provider, contracted vendor, online learning, etc.); what are the approach and the expected outcomes.

### 6. Revised Resources

Use the School Budget template and the staffing request to submit resource revisions. Please ensure that budget requests align to the priorities identified in your needs assessment and campus improvement plan. Sufficient resources should be allocated to make significant improvement in levels of student proficiency.

### 7. Two Year Timeline

Develop a brief calendar that indicates your timeline for implementation for the next two years. Listed below are examples of the items that could be placed on the calendar. Below these items the calendar months are listed.

Needs Assessment  
School Improvement Team Meeting  
Staff Development  
Benchmark assessments  
Parent meetings  
Notices to parents

**TITLE I SCHOOL IMPROVEMENT ADDENDUM**  
**School Improvement Timeline (Year 1)**

Provide the information requested below to describe how your Campus Improvement Plan will be amended... (Use additional pages as necessary.)

Month	Goal # <sup>3</sup>	Strategy # <sup>1</sup>	Description of Added Activities
September 04			
October 04			
November 04			
December 04			
January 05			
February 05			
March 05			
April 05			
May 05			
Summer 05			

<sup>3</sup> Note: "Goal #" and "Strategy #" refer to the numbering used in your approved Campus Improvement Plan. For example, if you are amending your second strategy of your first goal, notation would read "Goal 1, Strategy 2". If adding a new strategy, include "New:" in the column for description of activities.

**TITLE I SCHOOL IMPROVEMENT ADDENDUM**  
**School Improvement Timeline (Year 2)**

Provide the information requested below to describe how your Campus Improvement Plan will be amended... (Use additional pages as necessary.)

Month	Goal #	Strategy #	Description of Added Activities
September 05			
October 05			
November 05			
December 05			
January 06			
February 06			
March 06			
April 06			
May 06			
Summer 06			

<sup>1</sup> Note: "Goal #" and "Strategy #" refer to the numbering used in your approved Campus Improvement Plan. For example, if you are amending your second strategy of your first goal, notation would read "Goal 1, Strategy 2". If adding a new strategy, include "New:" in the column for description of activities.

**TITLE I SCHOOL IMPROVEMENT ADDENDUM**  
**Manpower for (Name) Elementary as of (date)**  
**PROJECTED ALLOCATION**

**Project Code: 515**

Position Name	%Dist	FTE	Position	Pers #	Employee Name	Senior Date	Annual Salary	Benefits*	FTE 04-05
<b>Additional Positions Funded in 2004-2005 Campus Improvement Plan</b>									

Verification of Principal \_\_\_\_\_

Date \_\_\_\_\_

Signature

EDSP Approval \_\_\_\_\_

Date \_\_\_\_\_

Signature

**Return to the Title I Office**

***Projected Allocation FY 04-05:***

If adding a new Paraprofessional in an instructional support capacity - he/she must have 48 hours of college credit or have passed the ParaPro Test test if *new* to the District or *new* to the position. All new positions/add/deletes must have a Personnel/Employee transaction form completed through the Human Resource Office ASAP.

Note: New staffing positions are limited to the duration of the "School Improvement" funding contained in this Annual Campus Improvement Plan Addendum. Continuation of positions are subject to availability of funds.

**\*Benefits:**

**Certified - 33.27%**

**Support Staff -**

**38.04%**

**All Stipends - 24%**

# **TITLE I SCHOOL IMPROVEMENT ADDENDUM** **Site Level Budget Justification**

Project  
 Code: **515** Site: \_\_\_\_\_

District: \_\_\_\_\_

County/District  
 Code

Name

Site Code

Provide the information requested below for each amount budgeted in the OCAS Summary Budget. (Use additional pages as necessary.)

Function	Object	Expenditure Description and Itemization				Subtotals	
1000	100	Name	Position and Grade		FTE	Salary	
							\$0.00
1000	200	Benefits					
							\$0.00
1000	300	Professional Services					
							\$0.00
1000	600	Itemize all projected purchases for Materials					
							\$0.00
2213	100	Itemize Staff Training					
							\$0.00
1000	100	List any additional codes & explanations here					
							\$0.00
Site Total							\$0.00

# TITLE I SCHOOL IMPROVEMENT ADDENDUM BUDGET SUMMARY

School:

School Number:

FY:

04-05

Allocation \$

	Instruction	Guidance Services, Testing	Health Services	Improvement of Instruction, Professional Development	Educational Medial Service	School Administrative Services Office of the Principal Services	Vehicle Operation Services	In-service Training Services (non- instructional staff) 2573	Other Support Services, Parental	
	1000	2120	2130	2210	2220	2410	2720	2573	2190	TOTAL
1. 100 Salaries										
2. 200 Benefits										
3. 300 Profession al Technical										
4. 400 Property Services										
5. 500 Other Purchases , Services										
6. 600 Supplies										
7. 700 Property										
8. 800 Other										
9. 900 Other Uses of Funds										
TOTAL										



## NO CHILD LEFT BEHIND

---

*New Horizons for Programs and Services*

2004-2005

# NCLB: Evidence-based Strategy Review

*Evidence-based Strategy Review*

Reviewer:

School:

Date:

- Instructions:
1. Review program, related research and materials.
  2. Consider standards of evidence-based practice  
<http://www.ed.gov/rschstat/research/pubs/rigoroussevid/index.html>
  3. Place a check in the appropriate column to indicate your findings. If information is unclear, check the question mark.
  4. Summarize your findings of evidence, comments, and questions.
  5. Attach program materials and research to this form.
  6. Attach profile for school considering the use of this program

Program:

1. Program Description		
a. Is there a clear description of the <b>program objectives</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	Evidence, Questions and Comments
b. Is there a clear description of the <b>instructional strategies and activities</b> that are central to this program?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
c. Is the program clearly based on established <b>learning theory</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
2. Implementation		
a. Has the program been implement in a variety of schools that differ by <b>school size and demographics</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	Evidence, Questions and Comments
b. Is there a clear description of the <b>implementation process</b> including <ol style="list-style-type: none"> <li>i. Frequency and length of implementation</li> <li>ii. Grouping sized</li> <li>iii. Staffing requirements</li> <li>iv. Support requirements</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
c. Was there an <b>evaluation</b> of implementation at sites?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
d. Is there an example of <b>in-district implementation</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
e. Does the effect on student achievement <b>vary with the level</b> of implementation?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
3. Effect on Student Achievement		
a. Are there <b>multiple studies</b> ?(at least 5) evaluating the impact of <u>this program</u> (not related components) on achievement?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	Evidence, Questions and Comments
b. Are there <b>current studies</b> that are central to this program?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
c. Do the studies show <b>significant positive effect size</b> on student achievement?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
d. Is the <b>positive effect</b> consistent across meaningful variables (grade levels, student groups)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
4. Research Quality		
a. Does the study use <b>systematic, empirical methods</b> to analyze data, including a report of procedures and methods?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	Evidence, Questions and Comments
b. Are data gathered using <b>reliable instruments</b> that are valid for the population and topic studied?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
c. Does the study use <b>experimental or quasi-experimental designs</b> (comparable control groups, control for group differences, addresses alternative explanations)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
d. Has the research been accepted and published by a <b>peer review process</b> (scientific journal, formal expert review)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	

5. Replicability		
a. Is the program described in <b>enough detail</b> to allow for implementation in your school	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	Evidence, Questions and Comments
b. Was the program <b>implemented in similar schools</b> that are similar to your school (size, location, demographics)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
c. Is the program clearly based on <b>appropriate grade ranges</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
d. Are all <b>costs clearly detailed</b> for implementation?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
e. Are the <b>costs reasonable</b> for projected outcomes?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
f. Are there <b>available school resources</b> to effectively implement the strategies?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
g. Is there <b>technical assistance capacity</b> to effectively implement the strategies (staff, expertise, distance)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
h. Is the program clearly based on <b>appropriate grade ranges</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	
6. Summary		
a. Review your analysis of the program strategies related to the above questions. In the comments column, record <b>your assessment</b> of the evidence presented for this program.  Do you feel that there is enough evidence to make a recommendation at this time?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	Evidence, Questions and Comments
b. Based on the evidence detailed above, what is <b>your recommendation</b> for this program. Should the program be considered for implementation at the proposed school?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> ?	Evidence, Questions and Comments

## NO CHILD LEFT BEHIND

---

*New Horizons for Programs and Services*

2004-2005

Campus Improvement Planning:

Peer Review Protocol

## PEER REVIEW PROTOCOL

EDUCATIONAL SUPPORT SERVICES  
PEER REVIEW PROTOCOL SUMMARY SHEET  
2003-2004

## Instructions:

1. Reviewers read the School Plan without consulting with their paired partner [Questions may be addressed to other staff].
2. Reviewers identify evidence for each domain based upon the written plan.
3. Scores are marked for each domain, based upon the implementation criteria.
4. Individual reviewer scores are transferred to the Summary Sheet.
5. Scores are reviewed for discrepancies [scores separated by more than one point (example: 3 and 5)].
6. For discrepancies, review evidence and adjust scores to within one point. [Scores separated by more scores do not need to be changed or result in the same score; however they must be within one point].
7. Reviewers write specific feedback for the School Planning Team.
8. When discrepancies are resolved, Readers sign and date the form.
9. Either reviewer may request a second-level review. [Check the box by signatures and state specific reason for a second review or state specific questions about the plan.]
10. All materials are returned to Educational Support Services [plans, score sheets, summary sheets].

School: \_\_\_\_\_

	Planning Process	Needs Assessment	Budget Planning	Core Academic Program	Transition Strategies	Parental Involvement	Highly- qualified Staff
	1	2	3	4	5	6	7
Reader A							
Reader B							

## Reviewer Signatures

Reviewer A
<div style="display: flex; justify-content: space-between;"> <span>Signature</span> <span>Date</span> </div>
REVIEWER B
<div style="display: flex; justify-content: space-between;"> <span>Signature</span> <span>Date</span> <span>Second Level Review Requested</span> </div>
OTHER
OTHER

Reviewer: \_\_\_\_\_ School: \_\_\_\_\_

**1 . N C L B P L A N N I N G P R O C E S S**

**Legislation:** A local education agency may consolidate and use funds under this part with other Federal, State, and local funds, in order to upgrade the entire educational program of a school. (PL 107-110 § 1114.a.1)

**Key Question:** Does the plan show how the component parts will effectively upgrade the entire educational program of the school?

**References:** Planning Guide: I-5, 6; II-all;

Definitions	
	7—Renewal: The school plans show how the schoolwide efforts are reviewed, refined and coordinated for maximum impact.
	6—Implementation: The school plan includes strategies such as <input type="checkbox"/> schoolwide benchmark assessments, <input type="checkbox"/> horizontal and vertical curriculum mapping <input type="checkbox"/> schoolwide student
	5—Basic use: <input type="checkbox"/> The school has a school team that meets regularly to review and plan. <input type="checkbox"/> Plan includes schoolwide strategies.
	4—Training: The plan contains some schoolwide activities for a limited number of grades or content areas.
	3—Preparation: The plan mentions schoolwide activities, but does not indicate a schoolwide focus.
	2—Orientation: The school has interest in schoolwide strategies and approaches to improvement.
	1—Non-use: No evidence of plans or strategies to upgrade the entire school.
Evidence:	
Feedback:	

## 2 . N E E D S   A S S E S S M E N T

**Legislation:** A school operating a schoolwide program must conduct a comprehensive needs assessment of the entire school. (34 CFR 200.26)

**Key Questions:** Does the needs assessment use available data to identify proficiency gaps and identify program gaps to address the identified needs. The following graphic illustrates the needs assessment process.



**References:** Planning Guide: Section 2; Planning Form example pp. 1-11; FAQ 2 [disparities]; FAQ 3 [def. "proficiency"], FAQ 5 [measures], FAQ 7 [timeline].

Level	Definitions
	7—Renewal: Needs assessment addresses each grade, multiple topics, and describes refined and practical processes for identifying and solving ongoing areas of concern.
	6—Implementation: Needs assessment report shows a thoughtful process of analysis that is <input type="checkbox"/> addresses each of the NCLB goals <input type="checkbox"/> aligns student needs and program needs, and is likely to be understood and used by persons identified in the plan.
	5—Basic use: Data is used to identify needs according to the Oklahoma Core Curriculum Test (OCCT) in the required levels for the school (such as 3 <sup>rd</sup> , 5 <sup>th</sup> , 8 <sup>th</sup> , and EOI).
	4—Training: Data is analyzed in a way that identifies gaps for one group or one level. All content areas related to NCLB goals are not addressed.
	3—Preparation: Appropriate student and program data is included. [School report card, OCCT, ITBS, Terra Nova, Supera, SAT9, Benchmark data [Scantron, EdVision].
	2—Orientation: Needs assessment activities are present, however, there is no evidence of required data used to identify needs [gaps].
	1—Non-use: No evidence of needs assessment process or report. No needs assessment report of conclusions.
Evidence:	
Feedback:	

**Legislation:** Schools will allocate sufficient resources to increase program effectiveness, eliminate duplication, and reduce fragmentation of the instructional program. (PL 107-110 § 1112.e)

**References:** Planning Guide: I-5, 6; II-3, II-10, II-13; Planning Form: 12-19, last column; FTE form; Proposed Site Budget, Budget Summary; FAQ 10 [programs]

Evidence:

Budget Total: \$ \_\_\_\_\_ .00

Allowable Ranges

Staff Development \$ \_\_\_\_\_ .00 x .05 = \_\_\_\_\_ [min.]; SD \$ \_\_\_\_\_ x .10 = \_\_\_\_\_ [max.]

Parental Involvement \$ \_\_\_\_\_ .00 x .01 = \_\_\_\_\_ [min.]

Recurring Costs \$ \_\_\_\_\_ .00 x .65 = \_\_\_\_\_ [max.]

Discretionary Costs \$ \_\_\_\_\_ .00 x .25 = \_\_\_\_\_ [max.]



4 . CORE ACADEMIC PROGRAM

---

**Legislation:** Using data from the comprehensive needs assessment, schools will describe how the school will improve academic achievement. (34 CFR. 200.27)

**Key Question:** Does the plan strengthen the school's core academic program so that by 2013-2014 all students (in aggregate and for each subgroup) will demonstrate academic skills at the "proficient" level or above on the State's assessment and be engaged in high quality teaching and learning.

**References:** Planning Guide: Page II-6; Planning Form: p. 9 section 3.1 and pp. 12-15; FAQ 3 [site goals for proficiency], FAQ 4 [strategy vs. activity], FAQ 5 [measures], FAQ 7 [timeline]

Level	Definitions
	7—Renewal: Core academic program is measured with benchmark assessments. Plan specifically addresses the needs of each grade level.
	6—Implementation: Plan describes how the school will improve with <input type="checkbox"/> scientifically-based research citations for strategies <input type="checkbox"/> a clear rationale describing relationship of strategy to student population as described in the needs assessment.
	5—Basic use: Plan describes how the school will improve with <input type="checkbox"/> All NCLB objectives <input type="checkbox"/> Measures [FAQ 5] <input type="checkbox"/> Strategies [FAQ 4] <input type="checkbox"/> Activities <input type="checkbox"/> Timeline [FAQ7] <input type="checkbox"/> Implementation of assessments.
	4—Training: Information is provided for each component in the planning form. Approximately 25% of the plan contains clear and consistent content (see definitions of: objectives, measures, strategies, activities, rationale).
	3—Preparation: The plan addresses goals for academic progress, but does not contain : objectives, measures, strategies, activities, or a rationale.
	2—Orientation: The plan describes educational activities. NCLB goals are changed or missing. Plan shows little relationship to proficiency gaps or program needs.
	1—Non-use: Core academic program goals for NCLB are not addressed.
Evidence:	
Feedback:	

**Legislation:** A school plan will coordinate programs, including plans for transitions of participants. (PL 107-110 § 1112.B)

References: Planning Form: p. 16; FAQ 9 [decision guide]

Evidence:

Feedback:

## 6 . P A R E N T A L I N V O L V E M E N T

**Legislation:** A school must involve parents in the planning, review, and improvement of the schoolwide program. (34 CFR. 200.28.c)

**Key Question:** To what extent does the plan include parents in collaboration focused on increased levels of mastery of high standards and delivery of engaging teaching and learning experiences.

**References:** Planning Guide: II-2; Planning Form: p. 1 [team members], p.10 section 3.1[needs], p. 17 [objectives], Site Budget: Goal 3; Parent Compact form, FAQ 8 [two types].

Level	Definitions
	7—Renewal: Plan clearly describes parental strategies for partnership. The plan is evaluated and expanded annually.
	6—Implementation: The plan includes <input type="checkbox"/> needs assessment of parents <input type="checkbox"/> communication of assessment information to parents <input type="checkbox"/> strategies for specific needs [ ex: language barriers]
	5—Basic use: The plan includes: <input type="checkbox"/> parent membership on planning team <input type="checkbox"/> outreach activities to provide information to parents about NCLB [3.1] <input type="checkbox"/> strategies to engage parents in support for learning [3.2]
	4—Training: Data and parent needs are identified, but plan is not aligned to support NCLB goals.
	3—Preparation: Parents data are included in the plan, but the plan does not identify needs and resources. [or conversely] Parent strategies are planned without any supporting data.
	2—Orientation: Parents are identified in the plan, but there is no description or data about involvement.
	1—Non-use: Plan does not address parental involvement.
Evidence:	
Feedback:	

## 7. HIGHLY QUALIFIED STAFF

**Legislation:** Each local agency receiving assistance under this part shall ensure that all teachers hired and teaching in a program supported with funds under this part are highly qualified.. (PL 107-110 § 1119.a.1).

**Key Question:** Is the plan for staffing and staff development sufficient to implement the strategies for increasing levels of proficiency?

**References:** Planning Form: pp. 7-9, p. 10 [needs statement], p. 19 [objectives], Site Budget: Objective 4-5; FAQ 11 [data], FAQ 12 [strategies]; FAQ 4-5: [measures].

Level	Definitions
	7—Renewal: School has plans for multiple strategies to maintain highly qualified staff, such as: high-performance teams, peer-coaching, teacher induction process, hiring based on gaps, implementation process [example: RPTIM model].
	6—Implementation: The staffing plans <input type="checkbox"/> relates to implementation of strategies [ex: Goals 1, 2, and 3] <input type="checkbox"/> the staff development content is research-based <input type="checkbox"/> scope and timing support implementation [not just workshop attendance].
	5—Basic use: The plan includes <input type="checkbox"/> a profile of school staffing [professional, paraprofessional] <input type="checkbox"/> an assessment of staffing needs related to proficiency gaps or program needs <input type="checkbox"/> development activities aligned to identified needs <input type="checkbox"/> FTE request.
	4—Training: Data are presented, but not related to staffing strategies. Staffing strategies seem to be high quality, but are show no relationship to the needs assessment.
	3—Preparation: Needs assessment activities are present, however, there is no evidence of a process used to identify staffing needs [gaps in: certification, job to skill match, ].
	2—Orientation: Staffing requests are planned related to general goals.
	1—Non-use: Staffing needs and strategies are not addressed.
Evidence:	
Feedback:	

## NO CHILD LEFT BEHIND

---

*School Name (add)*

2004-2005

# Campus Improvement Plan: Quarterly Review

CAMPUS IMPROVEMENT PLAN (CIP) COMMITTEE  
2004-2005

**CIP REVIEW COMMITTEE SIGNATURES**

School: \_\_\_\_\_ Quarter: ☐1 ☐2 ☐3 ☐4  
Designated Status: School Improvement

Note: The purpose of the Plan Addendum funding is to accelerate and enhance the current school improvement efforts. The purpose of this review is to help monitor support of strategies, activities, and staffing for the Campus Improvement Plan and Addendum. Each member listed below should participate in the self assessment process by reviewing each component of the plan implementation. The committee should then report a) progress in student results, b) progress of strategy implementation and c) reflections/what could be done differently.

Instructions: Print each committee member's full name and obtain signatures.

12. TEACHER
13. TEACHER
14. TEACHER
15. TEACHER
16. PARENT
17. STUDENT <sup>1</sup>
18. SUPPORT STAFF
19. EXTERNAL EXPERT <sup>2</sup>
20. INSTRUCTIONAL FACILITATOR <sup>2</sup>
21. EDUCATIONAL SUPPORT SERVICES <sup>1</sup>
22. SERVICE PROVIDER <sup>1</sup>

Signature of Principal \_\_\_\_\_ Date \_\_\_\_\_

Executive Director \_\_\_\_\_ Date \_\_\_\_\_

<sup>1</sup> Optional

<sup>2</sup> Required (if assigned to School)

CAMPUS IMPROVEMENT PLAN (CIP) COMMITTEE  
2004-2005  
**QUARTERLY SELF ASSESSMENT**

School: \_\_\_\_\_ Quarter: ☐1 ☐2 ☐3 ☐4

**1. Reading / Language Arts**

		Implementation <sup>4</sup>						
		Low			High			
16.	<b>Needs</b> are clearly identified for each grade level, and student group. Staff utilizes benchmark assessments and barriers to learning.	1	2	3	4	5	6	7
17.	<b>Evidence-based strategies</b> are implemented for this content area. Documents showing review and adoption process are available.	1	2	3	4	5	6	7
18.	<b>Annual proficiency targets</b> are specified for this content area (Examples: Target for <i>api</i> , % proficient).	1	2	3	4	5	6	7
19.	A <b>Rigorous Curriculum</b> is implemented, based upon performance standards, and has significant impact on student learning.	1	2	3	4	5	6	7
20.	<b>Benchmark assessments</b> are administered and are aligned to State performance standards. (Add current information below).	1	2	3	4	5	6	7
Grade-level								
%Proficient								
21.	Research-based strategies for <b>Transitions</b> are identified, adopted, and implemented. (incoming students, grade-level transitions, continuation)	1	2	3	4	5	6	7
22.	Research-based strategies for <b>Parental Support for Learning</b> are identified, adopted, and implemented.	1	2	3	4	5	6	7

**2. Mathematics**

		Implementation <sup>4</sup>						
		Low			High			
a.	<b>Needs</b> are clearly identified for each grade level, and student group. Staff utilizes benchmark assessments and barriers to learning.	1	2	3	4	5	6	7
b.	<b>Evidence-based strategies</b> are implemented for this content area. Documents showing review and adoption process are available.	1	2	3	4	5	6	7
c.	<b>Annual proficiency targets</b> are specified for this content area (Examples: Target for <i>api</i> , % proficient).	1	2	3	4	5	6	7
d.	A <b>Rigorous Curriculum</b> is implemented, based upon performance standards, and has significant impact on student learning.	1	2	3	4	5	6	7
e.	<b>Benchmark assessments</b> are administered, aligned to content and cognitive levels. (Add current information below)	1	2	3	4	5	6	7
Grade-level								
%Proficient								
f.	Research-based strategies for <b>Transitions</b> are identified, adopted, and implemented. (incoming students, grade-level transitions, continuation)	1	2	3	4	5	6	7
g.	Research-based strategies for <b>Parental Support for Learning</b> are identified, adopted, and implemented.	1	2	3	4	5	6	7

<sup>4</sup> Use the "Level of Implementation" Rubric definitions provided in the Campus Improvement Plan. 1=Non-Use, 2=Orientation, 3=Preparation, 4=Training, 5=Basic Use, 6=Implemented, 7=Renewal.

### 3. Staff Development

		Implementation <sup>1</sup>						
		Low			High			
a.	<b>Staff Development Needs</b> are clearly identified. Specific staff learning goals are established and prioritized.	1	2	3	4	5	6	7
b.	<b>Evidence-based strategies</b> are identified for staff development. Strategies focus on learning, implementation, and monitoring.	1	2	3	4	5	6	7
c.	Specific <b>Technical Assistance Activities</b> and ongoing follow-up support are conducted, and support implementation plans.	1	2	3	4	5	6	7
d.	A <b>Rigorous Curriculum</b> is planned, based upon performance standards, and has significant impact on student learning.	1	2	3	4	5	6	7
e.	Time for <b>Team Planning and Learning</b> is regularly scheduled, and focuses on implementing improvement strategies.	1	2	3	4	5	6	7

### Planning Team Reflection

1. Plus/What we have done well.

2. Delta/What we could do differently.

### Quarterly Review Follow-Up

- ☐ Establish the next CIP Quarterly Review Meeting. Date \_\_\_\_\_ Time \_\_\_\_\_
- ☐ Describe how this CIP Quarterly Review information will be shared with stakeholders:
- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Staff Meeting | <input type="checkbox"/> School Newsletter      | <input type="checkbox"/> Web Page              |
| <input type="checkbox"/> PTA/PTO       | <input type="checkbox"/> Conferences/Open House | <input type="checkbox"/> Other; Describe _____ |
- ☐ Send a copy of this document, data, and meeting minutes to the Title I Office through the Executive Director for Student Performance for your feeder pattern.



## NO CHILD LEFT BEHIND

---

*New Horizons for Programs and Services*

2003-2004

# Campus Visit Interview Protocol

# Table of Contents

---

<b>SECTION 1: CAMPUS PLANNING .....</b>	<b>192</b>
A. PLANNING INTERVIEW QUESTIONS .....	192
B. PLANNING PARTICIPANT SURVEY .....	193
<b>SECTION 2: DATA UTILIZATION .....</b>	<b>194</b>
A. DATA UTILIZATION INTERVIEW QUESTIONS .....	194
B. PLANNING PARTICIPANT SURVEY .....	195
<b>SECTION 3: LEADERSHIP FOR PLANNING .....</b>	<b>196</b>
A. PLANNING INTERVIEW QUESTIONS .....	196
B. PLANNING PARTICIPANT SURVEY .....	197
<b>SECTION 4: TECHNICAL ASSISTANCE.....</b>	<b>198</b>
A. INTERVIEW QUESTIONS .....	198
B. PARTICIPANT SURVEY .....	199

# Site Visit Plan

---

Date \_\_\_\_\_

School \_\_\_\_\_ EDSP \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Principal \_\_\_\_\_ School Phone \_\_\_\_\_

## Structured Interview

### a. Campus Planning Team Leader

*(60 minutes) Interview a person providing school leadership related to the Campus Improvement Plan. This person could have a role such as principal, lead teacher, curriculum coordinator, or academic coach.*

Time \_\_\_\_\_ Name \_\_\_\_\_ Role \_\_\_\_\_

## School Staff Surveys

### b. Planning Team Member

*(30 minutes) Survey a person who **served on the Campus Improvement Planning Team**. This person could have a role such as principal, teacher, curriculum coordinator, or academic coach.*

Time \_\_\_\_\_ Name \_\_\_\_\_ Role \_\_\_\_\_

### c. Staff Member

*(30 minutes) Survey a person who **teaches full time in one of the core academic areas**.*

Time \_\_\_\_\_ Name \_\_\_\_\_ Role \_\_\_\_\_

### d. Staff Member

*(30 minutes) Survey a person who **teaches full time in one of the core academic areas**.*

Time \_\_\_\_\_ Name \_\_\_\_\_ Role \_\_\_\_\_

### e. Staff Member

*(30 minutes) Survey a person who **teaches full time in one of the core academic areas**.*

Time \_\_\_\_\_ Name \_\_\_\_\_ Role \_\_\_\_\_

## Campus Planning

### *A. Planning Interview Questions*

[Question frame] “In this section we will be discussing Planning Processes for your school. The NCLB law for education requires that each school has a systematic plan for how the school will improve.

Please describe how your school approached the Campus Improvement Planning process to increase the number of proficient students (in the last 12 months).

◇ . How does your school organize staff to develop an effective plan?

◇ . How does your school gain school-wide commitment for the plan?

◇ What are the main barriers your team faces in developing an effective plan?

◇ What extent of change does the content of the plan represent for your school?

Circle one.

Documents what we are already doing.		Extends and builds on practices that we are already doing.		The plan is a major shift from past practices in most content areas.
1	2	3	4	5

Explain:

## B. Planning Participant Survey

Consider the following capabilities used in the campus planning process. Mark each item, indicating the extent to which the majority of educators at your school routinely will use the standards in planning. Use your knowledge of your patterns of action during planning, mark each item according on the following scales.

**Likelihood**—What is the **likelihood of successful implementation** for the following standards, based upon observations of your school utilization of the Campus Improvement Planning processes. Low=unlikely to occur; High=reasonably certain of implementation.

**Impact**—What would be the **impact on the effectiveness** of your school, assuming full and successful implementation for the following practices. Low=minimal support for effectiveness; High=value-added to your school effectiveness.

**DK**—Means that you “don’t know” or don’t have enough information to rate this item. Mark only if it applies.

Likelihood					Campus Planning Standards	Impact					DK
Low	High					Low	High				
1	2	3	4	5	<b>Student Needs</b> are clearly identified. Staff members understand major underlying reasons for student groups.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	<b>Staff Development Needs</b> are clearly identified. Specific staff learning goals are established and prioritized.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	<b>Evidence-based strategies</b> are identified for each content area. Documents showing research basis are on file.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	<b>Accurate annual proficiency targets</b> are identified for each content area.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	<b>A Rigorous Curriculum</b> is planned based upon content standards, performance standards, and assessment blueprints for each content area.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	<b>Benchmark assessments</b> , aligned to content emphasis and cognitive levels, are adopted for each content area.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	Teams [content area, grade levels] identify and implement a <b>Common Approach</b> for improvement strategies and activities.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	<b>Aligned Resources</b> and partnerships demonstrate appropriate support for each goal	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	School teams <b>Monitor Strategies Quarterly</b> for level of implementation.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	School teams <b>Monitor Student Proficiency Quarterly</b> using a standards benchmark assessments.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	Clear understanding of <b>Reading/Language Arts Content</b> (e.g. National Reading Panel, NCTE, AP English)	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	Clear understanding of <b>Mathematics Content</b> (e.g. National Council of Teachers of Mathematics, TIMMS)	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	Clear understanding of <b>Science Content</b> (e.g. National Science Education Standards, Mathematical Education of Teachers)	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	Team <b>Data Analysis Practices</b> are widely used and can predict performance on Large-scale assessments.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	Research-based strategies for <b>Parental Support for Learning</b> are identified, adopted, and implemented.	1	2	3	4	5	<input type="checkbox"/>
1	2	3	4	5	Team <b>Data Analysis Practices</b> are widely used and can predict performance on Large-scale assessments.	1	2	3	4	5	<input type="checkbox"/>

## Data Utilization

### *C. Data Utilization Interview Questions*

[Question frame] “In this section we will be discussing Planning Processes for your school. The NCLB law for education requires that each school has a systematic plan for how the school will improve.

Please describe how the majority of educators in your school approach using data in the Campus Improvement Planning process to increase the number of proficient students (in the last 12 months).

### *D. Planning Participant Survey*

1. What reading assessments do you use with your students? When is each used?  
What type? (LS=Large Scale, BA=Benchmark Assessment, EM=Embedded in Instruction)

Type	Frequency	Assessment Name

Have you received specific assessment training in any of the following areas:

**Check all that apply**

<input type="checkbox"/> Using assessments to diagnosis individual student needs/plan instruction. If yes, please describe....
<input type="checkbox"/> District-level assessments. If yes, please list:
<input type="checkbox"/> Data Analysis using class, grade-level or school level data. If yes, please describe....
<input type="checkbox"/> Coaching/Dialoguing with colleagues. If yes, please describe....
<input type="checkbox"/> Intervention Strategies based on assessments. If yes, please describe....
<input type="checkbox"/> Other (Please describe):

## LEADERSHIP FOR PLANNING

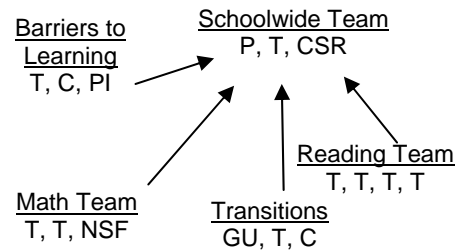
### *E. Planning Interview Questions*

[Question frame] “Leadership provides a framework for ‘how things get done’. Anyone in the school can provide some type of leadership to support the development of a high-quality Campus Plan.”

Draw a graphic representation for how your school organized the leadership for planning. Use the following key<sup>5</sup> and examples

◇ How does your school **organize staff** to develop an effective plan?

Example: This example shows how four teams were organized to work with the Schoolwide strategy team.



◇ **Explain** what your graphic means?

◇ List the basic **sequence of events** to develop your plan?

---

<sup>5</sup> T=Teacher, P=Principal, TI=Title I office staff, IF=Instructional Facilitator, CO=Central Office [specify], U=University partner, PI=parent involvement, C=Counselor, GU=GEAR UP, NSF=National Science Foundation Grant.

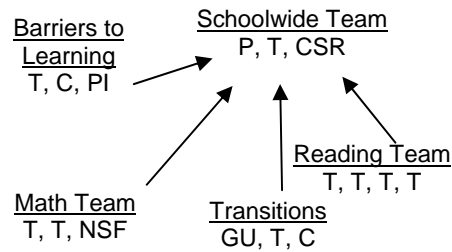


## *F. Planning Participant Survey*

Draw a graphic representation for how your school organized the leadership for planning. Use the following key<sup>6</sup> and examples

◇ How does your school **organize staff** to develop an effective plan?

Example: This example shows how four teams were organized to work with the Schoolwide strategy team.



---

<sup>6</sup> T=Teacher, P=Principal, TI=Title I office staff, IF=Instructional Facilitator, CO=Central Office [specify], U=University partner, PI=parent involvement, C=Counselor, GU=GEAR UP, NSF=National Science Foundation Grant.

## TECHNICAL ASSISTANCE

### *G. Interview Questions*

[Question frame] “In this section we will be discussing Technical Assistance for your school. For the purpose of this interview, Technical Assistance (TA) is defined as any expertise that is external to the classroom teacher or teaching team. This definition includes consultation, facilitation and training. For example, you might have someone housed at your building, such as an instructional coach, peer coach, or you might use expertise from outside of your building such as a consultant, university staff, or web-based professional resources that provide technical assistance.

Approximately what percent of students are proficient in...

\_\_\_\_\_ % Reading / Language Arts / English

\_\_\_\_\_ % Mathematics

\_\_\_\_\_ % Science”

As the educators at school seek to increase the number of proficient students, describe how Technical Assistance is currently used (in the last 12 months).

◇ How does your school make **decisions** about which TA to use?

◇ What type(s) of TA seems to “get results” for increasing **student** proficiency?

◇ What type(s) of TA seems to help **teachers** learn strategies, content, and practices?

◇ What type(s) of TA seems to be **less helpful** for increasing student proficiency?

## H. Participant Survey

1. Who gives your staff the most useful information, when your school planning team seeks to identify effective strategies and implement practices to increase student proficiency? Mark your first three choices

### Roles or organizations for Technical Assistance Providers

[ 1=the first person you would ask, 2=the next person, 3=another person you would ask].

<input type="checkbox"/> A. District Grant/Program [Title I, NSF, GEAR UP, etc]	<input type="checkbox"/> D. University [consultant, certification, program]	<input type="checkbox"/> G. Vendor [training for computers, textbooks, etc.]
<input type="checkbox"/> B. School Grant/Program [e.g. School Reform Model]	<input type="checkbox"/> E. Instructional Facilitator / Reading Coach	<input type="checkbox"/> H. Administrators [principals and central office]
<input type="checkbox"/> C. State Dept. of Education [Video Conference, meeting]	<input type="checkbox"/> F. Another School or district staff or partnership	<input type="checkbox"/> I. Other; please specify.

2. Consider the professional development in which the educators at your school participated over the last 12 months. In what areas have the majority of educators at your school received

**Instructions:** Using the roles listed above, write letters in the columns to indicate the frequency (how much) of technical assistance for the majority of teachers in your building. Example:

Once or twice per year	1-2 times per semester	2-3 times per month	During this school year, a school staff member or external consultant...
	G, B	E	1. Provided individualized and classroom-based follow-up with teachers to learn research-based practices.

Your Observations:

Once or twice per year	1-2 times per semester	2-3 times per month	During this school year, a school staff member or external consultant...
			1. Provided individualized and classroom-based follow-up with teachers to learn research-based practices.
			2. Met with small groups of teachers to discuss curriculum, student assessment or intervention strategies.
			3. Facilitated grade level team meetings.
			4. Facilitated staff meeting discussions about instruction.
			5. Modeled use of assessments, collection and analysis of data for designing instruction and interventions.
			6. Modeled instructional practices or assessments with students in classrooms.
			7. Facilitated and encouraged teachers to observe other teachers in their classrooms.
			8. Assisting teachers in aligning their teaching strategies with appropriate standards, curriculum and assessments.
			9. Instructional strategies and early interventions, limited English proficient, special education, and/or migrant students.
			10. Using benchmark assessments to monitor student progress toward proficiency of learning standards.
			11. Other: (describe)