ABSTRACT
        Intended to aid schools, colleges, and departments of
education in the implementation of inservice teacher education
programs or in the expansion of existing programs, this monograph
presents current research findings on the role of the university in
teacher inservice education. It outlines a step-by-step process for
making such programs an integral part of the university's purpose and
suggests that greater involvement can be effected by considering the
problem as one of institutional change rather than merely as a
question of faculty development. (Author/LH)

UNIVERSITY ROLES IN INSERVICE EDUCATION:

PLANNING FOR CHANGE

Lou M. Carey

David D. Marsh

Published by

The American Association of Colleges for Teacher Education

One Dupont Circle

Washington, D.C.

in collaboration with

Teacher Corps

U.S. Office of Education

Washington, D.C.

February 1980

# FOREWORD

        The American Association of Colleges for Teacher
Education is pleased to offer this significant publication
to its member institutions. Whether your school, college,
or department of education is currently implementing a new
program of inservice education, expanding an existing program,
or seeking ways to assist public school personnel, this
monograph will be a valuable and practical guide. Besides
surveying research findings on university involvement in
inservice, the authors present a step-by-step process for
making such programs an integral part of the university's
mission.

        AACTE continues to support the collaborative governance
model which is the heart of the Teacher Corps program. Schools,
colleges, and departments of education have an important role
in the planning and delivery of inservice education programs.
This role should be recognized and incorporated into other
federal and state legislation that mandates inservice programs
for public school personnel.

        This monograph is particularly appropriate as a reflection
of current AACTE concerns. Our 1979 Annual Meeting was devoted
to an examination of inservice education in all its facets. The
1980 meeting is organized around the topic of leadership in the
profession. And as the authors of this monograph make clear,
the commitment of SCDE leaders is crucial to the success of any
inservice effort.

Edward C. Pomeroy
Executive Director
February 1980

This monograph does not necessarily reflect the viewpoint
of the American Association of Colleges for Teacher Education
(AACTE). AACTE is printing this monograph to stimulate discussion,
study, and experimentation among educators.

ii

## TABLE OF CONTENTS

# CHAPTER I

## OVERVIEW

This monograph is concerned with the role which institutions of higher education (IHEs) can play in the inservice education of public school personnel. The issue is an especially urgent one for several reasons. Public schools are increasing their efforts in inservice teacher education to serve a maturing teacher population in a context of declining budgets and increased external demands. At the same time, factors within schools, colleges, and departments of education (SCDEs) are propelling them toward expanded involvement in inservice education. SCDEs are revising their institutional mission in light of declines in preservice and doctoral student enrollments, tightened budgets, demands for new research, and related factors.

Yet greater university involvement in inservice education has led to several dilemmas. For example, while SCDEs have been asked to help build these inservice efforts, their contributions have not always been welcome. It has also been difficult for universities to establish financially and programmatically stable inservice programs with local school districts.

Another confusing factor is the way new pieces of federal and state legislation have delineated inservice programs. In many cases, SCDEs have not been included in the collaborative design for such "soft money" projects as the Teacher Center legislation, the State Master Plan requirements for the Education of All Handicapped Children Act (PL 94-142), and many state-funded inservice efforts. Finally, the prospect of increased involvement in inservice education has caused SCDEs to become concerned about the skills of their faculty members and the possibilities of organizational and bureaucratic constraints.

This monograph provides a perspective for projecting greater university involvement in inservice teacher education. The major premises of the monograph can be summarized as follows:

1. University involvement in inservice education should be based on views about effective inservice education

1

for public school personnel and roles which SCDEs can
play in these efforts.

2.  Increasing university involvement in inservice education
    is best seen as a problem of institutional change rather
    than only as a problem of faculty development or program
    development.

3.  Greater university involvement in inservice education can
    best be organized in the stages for implementing planned
    changes in organizations:  initiation, design, implementa-
    tion and maintenance.

These premises have emerged during two years of research and con-
ceptual development on this issue.  The results of this developmental e'-
fort are presented in the subsequent chapters of the monograph.

University Roles in Inservice Education:
Implications From Research About
Effective Program Features

The first premise underlying the monograph is that university in-
volvement in inservice education ought to be based on views about realis-
tic and effective inservice education for public school personnel and
about roles which SCDEs can play in these programs.  There is a growing
body of literature about effective ingredients of different types or modes
of inservice education.

Howey and Joyce (1978) provide the following typology of staff
development modes:

1.  Job-embedded.  It can be embedded in the job, with the
    emphasis on actual performance in the classroom.  Analy-
    sis of television tapes of one's teaching is an example.

2.  Job-related.  It can be closely related to the job, but
    not take place while teaching is going on.  For example,
    a team of teachers can take an after-school workshop on
    team-teaching.

3.  General Professional.  It can consist of experiences to
    improve general competence, but not be tailored to

2

specific needs as closely as the above experiences. For example, science teachers can take workshops on the teaching of biology.

4. Career/Credential. It can be organized to help an individual obtain a new credential or prepare for a new role. A teacher can prepare to be a counselor, for example.

5. Personal. It can facilitate personal development which may or may not be job-related. For example, a teacher might study art history for personal enrichment which might or might be immediately evident in his or her teaching. (p. 25)

It is likely that the context and criteria for effectiveness of inservice education will vary by mode. For example, job-embedded or job-related development will be greatly influenced by the organizational context of the school. For these modes of inservice, staff development meets an immediate need of teachers and is judged effective if it solves specific problems of teaching in the school setting. Conversely, the career/credential mode helps teachers develop new generic skills in preparation for an unknown employment context. For this mode of s  f development, effectiveness will be judged in other terms.

Currently, job-embedded and job-related inservice education are in greatest demand by school personnel (Joyce, Howey & Yarger, 1978). At the same time, these modes of staff development have sufficient financial resources to help underwrite the cost of IHE participation. Patterns of financial support for IHE involvement in other modes of inservice, such as through hard money dollars in university budgets, are unlikely to be forthcoming in the near future. In short, both the current demand by public school personnel and the financial viability of job-embedded and job-related staff development are encouraging SCDEs to concentrate on these modes of inservice education.

Job-embedded/related modes of inservice have several characteristics which planners of university involvement will need to consider. First, these modes are often constrained by funding patterns, collaborative governance, and school district needs. School districts may not consistently receive funding for such programs. Colloborative governance arrangements for the use of these funds often lead to highly decentralized planning and implementation. Consequently, it is difficult

3

12

for universities to secure stable funding and predictable programs for their involvement in these forms of inservice. Funding arrangements often must be negotiated with school personnel associated with a specific soft-money project rather than with traditional decision makers at the district or county level.

Second, a growing research literature can guide the design of these staff development programs. Useful research findings on staff development design characteristics is found in Lawrence (1971), Edelfelt (1975), Joyce, Howey, and Yarger (1978), and McLaughlin and Marsh (1978). While it is not possible to summarize all this research here, several examples from the literature illustrate its importance for the design of staff development programs. For example, McLaughlin and Marsh (1978) report that consultants and other outside experts frequently inhibit effective staff development in school settings by "upstaging" indigenous planning and problem-solving. Consequently, if university staff members are to be effective as part of job-embedded or job-related inservice programs, they will need to become part of an ongoing problem-solving and planning process in the school setting.

Other research suggests that training packages alone are not successful; teachers need considerable assistance in applying new skills within their classrooms. Joyce and Showers (1979) have synthesized the research on factors critical to effective training efforts. They have identified the following major components of effective training:

1. Presentation

2. Modeling

3. Practice

    a. simulation
    b. natural setting

4. Feedback

    a. structured
    b. open-ended

5. Coaching for Application

McLaughlin and Marsh (1978) discuss the implications for staff development of the Rand Change Agent Study. Similar to Joyce and Showers, they report that, "skill-specific training activities have only transient effect because, by themselves, they do not support staff learning and teacher change" (p. 77). Staff support activities are necessary to make the skill-specific training viable. In particular:

> . . . The study examined the contribution of classroom assistance by resource personnel, . . . project meetings, and teacher participation in project decisions. Taken together as a support strategy, these activities (when they were seen as useful by the school staff) had a major positive effect--as did staff training--on the percentage of project goals achieved and on student performance. But in contrast to staff-training activities, these support activities also had strong positive and direct effects on the longer-term project outcomes--teacher change and continuation of project methods and materials. Well-conducted staff-support activities not only reinforce the contribution of staff training, but they also make their own important contribution to promoting teacher change and to supporting staff assimilation of project practices. (p. 77)

Research reviewed by Lawrence (1974) and conducted by Freiberg, Townsend and Ashley (1978) reports similar findings.

Structural characteristics of inservice education in the school district are also important to designers of collaborative inservice efforts. Birdsall, Honig, and Marsh (1975) have delineated features of school district and regional technical assistance that a panel of inservice experts felt would help schools to develop effective school-based inservice programs. For example, school district features include:

1. The local board, the superintendent, and the top administrative staff of the district should make a strong policy commitment to instructional improvement.

2. The district organization, operation, and resource allocation should reflect that developmental commitment including:

5

. Planning, design, and evaluation processes

. Principal leadership

. District authorization and legitimization

. Technical assistance to sites

. Incentive structures

. Best use of personnel and programmatic resources

. Establishing a variety of effective training activities geared to site and class needs

. Monitoring, evaluation and revision of programs

3.  The district should use community, regional, and college level resources in its staff development activities. (pp. 3-7)

Under each of these features, Birdsall, Honig and Marsh identified a number of questions designed to help planners discuss and provide for these structural aspects of inservice programs.

Several studies support the importance of structural factors as influencing staff development programs. McLaughlin and Marsh (1978) discuss structural characteristics of schools and school districts which used staff development as a successful strategy in implementing new programs. Joyce, Bush, Marsh and McKibbin (1979) report research on the "ecology" or climate in which staff development takes place, concluding that this context can have a major impact on program success. Finally, Sarason (1971) describes numerous ways in which the culture of a school influences the process of change.

In short, planners of collaborative inservice programs must closely examine the factors which influence program success: constraints associated with funding and governance, design characteristics, and the structural characteristics of participating schools and school districts. It appears from this research that universities must be a part of a long-term developmental process. It also appears that schools, colleges, and departments of education must work within the collaborative governance structures to develop programs which both enhance the ecology of staff

development and provide specific skills for teachers. One-shot work-
shops and short-term consultant relationships will usually not be ef-
fective.

## Roles for SCDEs in Job-embedded
## and Job-related Programs

The roles which SCDEs can take in job-embedded and job-related
inservice programs are now at issue. Kersh (1978) describes roles for
faculty members involved in inservice programs for school personnel as
follows:

. Roles and tasks associated with governance and funding
functions (including the following role descriptions:
organization developer, policy negotiator, charter writer,
committee member, program initator/planner, policy advi-
ser).

. Roles and tasks associated with management functions (in-
cluding the following role descriptions: team leader, proj-
ect manager, contract administrator, linker, referrer, re-
source retriever).

. Roles and tasks associated with the delivery of service
(including the following: instructional roles, instruc-
tional media and design roles, and technical assistance
roles).

. Roles and tasks associated with assessment, evaluation, and
dissemination (including the following role descriptions:
data collector, documenter, needs assessor, program evalu-
ator, outside observer). (pp. 20-26)

The Kersh monograph provides a useful description of each of these
various roles.

It is useful to discuss both institutional roles and indivi-
dual faculty roles. These will vary by the mode of inservice being
considered, as illustrated above, and by the type of university in-
volved in the program. There are several benefits to thinking in terms
of institutional roles. It allows the SCDEs to relate institutional
roles to their long-term mission. It also helps the institution to

7

plan for internal role differentiation; some faculty members can work
in research while others assist in personnel development. This collabo-
rative arrangement makes the best use of faculty skills and interests.

In summary, SCDEs seeking greater involvement in inservice educa-
tion will likely become more involved in the job-embedded and job-related
modes. These programs are typically managed by decentralized, collabora-
tive governance and are funded from external soft-money sources. Conse-
quently, university involvement must be tailored to fit within these
constraints and opportunities.

For university involvement in inservice programs to be successful,
it must also be based upon research findings about effective staff de-
velopment. Aspects of this research include the limited viability of
outside consultants, training packages, and one-shot training; the im-
portance of classroom application as a phase in training; the factors
which lead to successful transfer of training into classrooms; and finally,
the influence of structural factors on the success of staff development
programs.

Having examined the field context in which universities will be
operating, we will now focus on the institutional context.

## The Nature of the Problem

Bergquist (1978) has stated that all segments of the American
educational community face extraordinary challenges associated with both
change and stabilization. He argues that "a level of responsiveness
and creativity rarely seen in any social institution is required" if
these challenges are to be met. Bergquist views the balance between
change and stabilization as follows:

> On the one hand, there is a need for change: new cur-
> ricula, specialized programs, scheduling and funding
> patterns, attitudes, skills and knowledge. On the
> other hand, there is a need for stabilization: reflec-
> tion on the institution's primary mission, celebration
> and reaffirmation of the valuable and distinctive, and
> the identification and implementation of the humane and
> equitable personnel selection, retention, and dismissal
> procedures. (p. 18)

The problem of balancing change and stabilization is especially acute for SCDEs that are considering involvement in inservice education. But how are we to view the problem of change?

The second premise underlying this monograph is that university involvement in inservice education is best seen as a problem of institutional change rather than only as a problem of program or faculty development. If faculty development becomes the major issue, concern centers around improving faculty skills and motiviation. And the implication is that faculty members lack these skills or, at best, that the skills they have need updating.

A recent issue of the Journal of Teacher Education addresses the general issue of faculty growth within schools of education. None of the contributing authors consider faculty development to be the problem of individual faculty members. Instead, Gideonse (1978) maintains that staff development cannot afford to be viewed as an isolated need or activity. Instead, it must be related to budget, faculty review and evaluation, and linked to program review and priority setting within the institution. Gideonse summarizes his perspective on faculty development by arguing, "This all suggests that if staff development (for IHE personnel) is to be addressed successfully, it will have to become a frame of mind, applied to a variety of ongoing management and governance concerns. It must not be allowed to become an isolated phenomenon standing more or less free and clear of the rest of the business of operating institutions. It is not a concern that can merely be added onto other concerns; it must become thoroughly integrated into the warp and woof of ongoing institutional processes." (p. 2) Mathis (1978) and Bergquist (1978) both argue that faculty development must be nested in the context of redefining institutional missions and developing strategies to achieve these missions. As these writers attest, greater university involvement in the inservice education of public school personnel cannot be achieved through faculty development narrowly construed. While an increase in faculty skills may be a part of a new university role in inservice education, these skills cannot be developed in isolation.

A second perspective about increasing university involvement interprets the problem as a program development issue. Program development implies setting new long-range goals to accommodate additional programs and planning strategies to meet these goals. This perspective is one which seems to underly a recent monograph on university faculty development for inservice education in the schools. In the monograph, Kersh (1978) summarizes the recommendations of a national task force:

1.  Before embarking on a comprehensive faculty development planning effort aimed at instructional improvement, the faculty and administration of a college of education are advised to reexamine the college statement of mission and goals in the context of (a) the institution as a whole, (b) the local schools and community, and (c) the state. To set a higher priority on goals other than school service (such as research and theory development) may be necessary and justified. Research and theory development are valid alternatives for many colleges of education and are essential to us all.

2.  Most would agree that colleges and public schools share the common goal of helping each individual realize his or her full potential. However, we recognize that the nature of the contributions made toward that goal by colleges of education and by the public schools have been fundamentally different in the past and should continue to be different in the future. At the same time, we assert the current need for collaboration with the schools and for faculty development to better prepare colleges of education to meet the needs and expectations of school personnel.

3.  The college of education, with the support of the central college/university administration, is advised to establish a locus of administrative and faculty support for inservice education and related school service activities. Both short- and long-range planning of faculty development for inservice activities should be an integral part of the assignment.

4.  Faculty development for inservice education can be a springboard for reconceptualizing and modifying the entire set of teacher education programs offered by the college of education. At the very least, college-based undergraduate and graduate teacher preparation programs should be modified so as to improve their articulation with school-based inservice education programs. At best there may be an extensive reconceptualization of the curriculum, of the programs for building the knowledge base, and of the mechanisms for working collaboratively with other school agencies.

10

19

5. The faculty development program should be based on a clear knowledge of the needs and expectations of the school personnel involved--and the school personnel should be included in the deliberations and the planning.

6. The person/group responsible for faculty development programming should become familiar with the variety of roles and tasks of college-based faculty in inservice education, and with the great variety of materials, procedures, and practices which are currently available or known.

7. Teacher educators are advised to join together, and, also with school personnel if feasible, to influence state-level decision-making regarding school support in positive ways. They must assert the need to include the resources of higher education institutions in state-supported school staff development programs. State-level efforts should be made known to the American Association of Colleges for Teacher Education and other appropriate national associations which are working to influence the Congress and public and private granting agencies in similar ways.

8. Teacher educators also are advised to join together, again with school personnel if possible, to foster a broader financial base--specifically, program budgets to support school service and research activities as well as the usual enrollment-based budgets for credited institutional activities.

9. We conclude that colleges of education are currently acting responsively rather than assertively and with initiative. Faculty members need to be better informed of the possibility for leadership, of the challenging opportunities for advancing their careers in teacher education, and of the high probability that they will be successful if they do take the initive again. (pp. 33-34)

These recommendations do differ slightly from the concept of program development we have presented above. One of the recommendations suggests that faculty development can be a springboard for reconceptualizing and modifying the entire set of teacher education programs offered by the SCDE. The recommendation suggests that there may also be "extensive reconceptualization of the curriculum, of the programs for building the

knowledge base, and of the mechanisms for working collaboratively with other school agencies." However, when contrasted with the perspective of organizational change presented below, we see this list of recommendations as remaining essentially in the program development perspective.

We value the program development perspective and argue that it must be a necessary part of any SCDE's efforts to become more involved in inservice education. Yet standing alone, this perspective gives insufficient attention to a number of organizational issues that must be addressed. First, the program development perspective alone gives insufficient attention to the organizational support services and structure which will be needed to carry out new inservice programs. Many SCDEs are constrained by university-wide barriers that prohibit flexibility in class locations, tuition arrangements, and course offerings.

Second, increased university involvement in inservice education will contribute to value conflicts among faculty and administrators within the university. In part, these conflicts are based on reasonable differences regarding purposes of the institution, academic freedom, and the role of the university in inservice programs.

Third, conflict is also generated by a pattern of rewards and incentives within universities. Sarason (1971) reminds us that institutional change is as much a matter of replacing existing programs and program features as it is of adding new programs or features. The program development perspective gives insufficient attention to the question of what must be replaced and how this can be accomplished.

Finally, the program development perspective emphasizes rational planning and consensus decision-making. It implies a fairly simple organizational context. Instead, Corwin (1974) describes universities as complex organizations which are composites of bureaucratic, collegial, and political models of organization. Several dimensions of this multiple-model view of universities are relevant to this discussion. For example, many decisions are political in nature. Corwin comments, ". . . the collegial models rest on the dubious assumption that peers will make decisions on the basis of rational professional criteria and in conformity with the standards and goals of professional ideals." (p. 68) The current political and economic pressures on SCDEs make it especially difficult for faculty and administrators to limit their opinions on inservice education to rational professional criteria and ideals. Corwin also points out that " . . . professionals who hold a dominant status in the organization because of their collegial authority often use their superior position

12

21

with respect to clients and administrators on behalf of their own self-
interests." (p. 69)  Not only a problem between faculty and external
groups, individual interests often divide faculty members and adminis-
trators within SCDEs.

Thus, we believe it is important to consider greater university
involvement in inservice education not only as a problem of program or
faculty development, but as a problem of organizational change.  In our
view, organizational change encompasses the dimensions of faculty and
program development but also gives attention to organizational support
services; organizational conflict based on differences in values, re-
wards, or incentives; the influence of new programs and program direc-
tions upon ongoing organizational features; and the political tensions
found in complex organizations.

A more specific discussion of these organizational conflicts and
tensions is presented in Chapter IV.  We also illustrate how these con-
flicts and tensions are related to the development of greater university
involvement in inservice education and suggest some ways these problems
can be overcome.

## Planning, Implementing, and
## Institutionalizing Change

The third premise underlying this monograph is that the develop-
ment of greater university involvement in inservice education can best
be organized around stages of planned change in organizations.  There
are several reasons why this approach is useful.  First, planners have
a dual problem:  generating program and faculty development while de-
veloping organizational support services and structures.  The stages of
planned change allow university personnel time to work out these complex
and interconnected problems.

Second, approaching greater involvement in inservice education
through the stages of planned change helps the university focus resources
and design talent in areas of greatest need.  The concept of implementing
planned change in stages recognizes the need for comprehensive program
design before implementation begins.  Universities will want to consider
carefully the services that they may provide and how these can be designed
to benefit school personnel.  Iterative pilot-testing and redesign are a
significant feature of this process, allowing universities to redefine
their services in a developmental way.

13

The concept also encourages universities to anticipate problems of transition from soft-money, external funding to ongoing, institutionalized arrangements with school systems. It helps universities to develop structural support to enhance long-term program activity and to provide ongoing incentives and rewards for various faculty members who become involved in such programs.

Third, the concept of stages of planned change allows universities and school districts time for developing the political support necessary to carry out new inservice programs. The Rand Change Agent Study, as summarized in McLaughlin and Marsh (1978), suggests that a critical mass of support within an organization must be developed early in the life of an innovation. This critical mass allows a small group of program planners to proceed in developing the innovation with the reasonable likelihood that it has the support of other participants in the organization. Time is also important for project designers and implementors to secure formal approval for new organizational arrangements such as flexible tuition, credit arrangements and staffing patterns.

Finally, the concept of stages of planned change allows university-based planners and implementors to make effective use of research on planned change. While much of the original research concerns the adaption of innovations in agricultural, business, or technological settings, more recent research provides insights about planned change in social service settings and universities.

## Overview of the Monograph

The remaining chapters of the monograph expand our three major premises and offer research findings in support of these concepts. Chapters II and III report on research aimed at clarifying institutional arrangements which affect university involvement in the inservice education of public school staff. This research amplifies and clarifies the premise that greater university involvement in inservice education is a problem, of institutional change in addition to program and faculty development.

Chapter IV is a conceptual study of the organizational constraints which inhibit university involvement in inservice education. The chapter was developed using several panels of experts consisting of deans, faculty, and directors of soft-money inservice education efforts within universities. Chapter IV represents our most comprehensive description of organizational constraints that must be addressed by universities. In addition, it offers support for the premise that greater university involvement in inservice education is primarily an issue of institutional change.

14

Chapter V reports a multi-insitutional study of the planning
process of inservice programs, and similar innovations, within schools,
colleges, and departments of education. Unlike the more inductive studies
reported in Chapters II and III, this study uses a sophisticated, research-
derived planning model as its conceptual framework. The study provides
an additional empirical grounding for the planning guide in Chapter VI.
Using a model based upon the planned stages of institutional change,
this guide will help universities plan their involvement in inservice
education. Like the discussion of organizational constraints in Chap-
ter IV, the planning guide was developed with the aid of faculty members
and administrators most involved in designing university-based inservice ·
programs.

# CHAPTER II

## PERSPECTIVES ON INSTITUTIONAL FACTORS THAT
## AFFECT RETENTION OF INSERVICE PROGRAMS:
## AN EXPLORATORY STUDY

The next two chapters report research aimed at clarifying pro-
grammatic and institutional factors which affect university involve-
ment in the inservice education of public school personnel. We decided
on several delimitations at the outset. First, since most university
involvement in inservice originates with soft-money funding, we focused
on inservice efforts conducted through such projects. Second, we focused
more specifically on Teacher Corps projects as representing intense, high
quality, policy-relevant efforts to create collaborative job-embedded and
job-related inservice education--the inservice modes which are most sig-
nificant for universities. Finally, we focused on the institutionaliza-
tio₁ phase of inservice innovations within Teacher Corps projects. Al-
though many projects have been able to develop reasonably creative in-
service programs, few program features have been institutionalized with-
in the host institution. This problem has occurred despite a Teacher
Corps mandate supporting institutionalization and often despite the good
intentions of many persons. By examining the process of institutionaliz-
ing project innovations, we hoped to learn about organizational features
and dynamics that could impinge on university involvement in inservice
education. Teacher Corps projects represent a good microcosm in which
to explore this more general issue.

The initial study explored the process by which innovations re-
lated to inservice education were institutionalized, or not institu-
tionalized, within a major university as a result of the local Teacher
Corps project. The study was conducted by one of the authors of this
monograph who served as the evaluator of the project.

The study focused on five innovations which the project attempted
to institutionalize within the host university by the end of the project
cycle. The innovations studied were:

. A newly-created Office of Bilingual Education

. The refinement of a Multi-cultural Learning Resource Center

<div align="center">25</div>

. The refinement of a set of competency-based teacher education tion modules

. A teacher training program in the area of teacher-as-performing artist

. A Diagnostic/Prescriptive Handbook designed to help teachers implement mainstreaming of special education students.

These innovations represent the major efforts at institutionalization carried out by the project.

## Levels of Institutionalization of Project-Generated Innovations

The first major focus of the study was to determine the level of institutionalization of each of the project-generated innovations.

To measure the level of institutionalization of each of these innovations, the evaluator selected five indicators of institutionalization: extent of ownership by one or several departments, extent of administrative approval, nature of continued funding, level of probable program operation, and level of commitment by university personnel to staff the innovation. The selection of these indicators of institutionalization was based upon interviews with the project staff, faculty members, and administrators as well as direct participation in the program. Once developed by the evaluator, they were reviewed and approved by the project staff and several outside experts.

The indica urs of institutionalization were used as factors in rating the level of institutionalization on a scale of 1-5. A score of 5 represented extensive institutionalization and reflected the following conditions for each of the indicators:

Ownership: A department (or several departments jointly) indicate ownership of the program and are actively supporting it.

Approval: Courses/programs (as desired) have been developed and completely approved by the School of Education and the University.

17

26

Funding: At least some institutional funds support the innovation. Soft money supporting the innovation is external to Teacher Corps funds. All funds exceed costs, and are likely to continue for at least three years.

Program Operation: The innovation is part of an ongoing operational effort and is likely to continue for at least three years.

Staffing: There is a stable staff which is familiar with the innovation and likely to stay involved and committed for several years.

Conversely, a score of 1 represented no institutionalization and reflected the following conditions:

Ownership: No department indicates an active interest in the innovation or shows an inclination to keep it going.

Approval: No courses or programs currently include the innovation, and there are no concrete plans for such inclusion.

Funding: No institutional funds support the innovation and no soft money besides Teacher Corps funds supports the innovation. There are no concrete plans for continued funding.

Program Operation: This innovation is not currently being used, or is used only within the Teacher Corps project. There are no concrete plans for its use.

Staffing: No regular institutional staff members operate the innovation or are part of concrete plans for its operation.

Using this scale, the evaluator rated the extent to which each innovation had been institutionalized at the host institution. The results of this rating were as follows:

. Office of Bilingual Education - 5 (extensive institutionalization)

18

. Multi-cultural Learning Resource Center - 3 (moderate insti-
  tutionalization)

. Teacher training related to the performing arts - 2 (limited
  institutionalization)

. Diagnostic/Prescriptive Handbook - 2 (limited institutionali-
  zation)

These ratings were reviewed and approved by the project staff and
several neutral faculty members. Thus, the project was able to institu-
tionalize a number of innovations at the host institution, but at vary-
ing levels of success.

## Variables Which Help Explain the
## Level of Institutionalization

A second major focus of the study was to identify and measure
variables in the project or host institution which help explain the level
of institutionalization of each project innovation, as presented above.
By interviewing the project staff, faculty, and administrators, as well
as by participating in the program, the evaluator identified a number of
variables which contributed to the variation in institutionalization of
innovations.

Fourteen variables were identified and are presented in Figure 2.1.
These variables have been organized within four clusters, as follows:

. Characteristics of the Teacher Corps project

. Characteristics of the personnel pursuing institutionaliza-
  tion of the innovation (Institutionalizers)

. Characteristics of the innovation itself

. Characteristics of the host institution

A scale of 1-5 was developed for each of the 14 variables. Anchor point
descriptions for each end of the 14 scales are also described in Figure
2.1. For example, the variable labeled "the extent that the project in-
cludes the innovation as an aspect of the project" has the following
anchors for the scale of 1-5:

19

5 = The innovation is an explicit goal for the project
    as stated in the proposal

1 = The innovation is not mentioned nor implied in the
    project proposal

| Variable | Scale | | |
|---|---|---|---|
| | 5 | 3 | 1 |

Characteristics of the Project

| Variable | Scale | | |
|---|---|---|---|
| 1. The extent that the proposal includes the innovation as an aspect of project | The innovation is an explicit goal for the project as stated in the proposal | | The innovation is not mentioned nor implied in the project proposal |
| 2. Proposal emphasizes institutionalization of the innovation as goal | Institutionalization of the innovation is an explicit goal for the project | | Institutionalization is not mentioned nor implied in the proposal |
| 3. The innovation is highly interconnected with other project activities (in practice) | The innovation is highly interconnected with other project activities | | The innovation is not connected to other project activities |

Characteristics of the Institutionalizer

| Variable | Scale | | |
|---|---|---|---|
| 1. The institutionalizer is highly affiliated with the project | The key institutionalizer is a member of the core project staff | | The key institutionalizer was not affiliated with the project |
| 2. The institutionalizer is a member of the regular faculty | The key institutionalizer is a tenured faculty member | | The key institutionalizer is a soft-money project person not on the tenure track |
| 3. The amount of project staff time given to implementing the innovation within the project | Extensive staff time was given to implementing the innovation within the project | | Very little staff time was given to implementing the innovation within the project |
| 4. The amount of project staff time given to institutionalizing the innovation | Extensive staff time was given to institutionalizing the innovation | | Very little staff time was given to institutionalizing the innovation |

Figure 2.1

An Explanation of the Variables Influencing Institutionalization
of Teacher Corps Innovations Within the Host Institution

| Variable | Scale | | |
|---|---|---|---|
| | 5 | 3 | 1 |

Characteristics of the Innovation

| | | | |
|---|---|---|---|
| 1. The innovation is an adaption of innovation developed/created outside the local setting | The innovation came from outside with no local revision | | The innovation was entirely locally developed |
| 2. The innovation is a tangible product or program (degree of transportability) | The innovation is a tangible, easily transportable product | | The innovation is an amorphous entity which would be awkward to transport |

Characteristic of the Institution

| | | | |
|---|---|---|---|
| 1. The institutional leadership wants to institutionalize the innovation | Leadership provided funds, extensive support, and expressed strong interest in the innovation | | Leadership did not provide funding; no expression of interest in innovation (or negative reaction) |
| 2. Colleagues value and want to institutionalize the innovation | Colleagues highly valued or wanted innovation | | Colleagues were neutral or opposed innovation |
| 3. The innovation does not violate the turf of colleagues | No intrusion on existing faculty's turf | | Extensive intrusion on existing faculty's turf |
| 4. The innovation has the promise of generating significant levels of revenue | Innovation more than pays for itself when used by institution | | Innovation cannot pay for its use by institution |
| 5. The innovation is easily translated into the administrative building blocks of the institution (courses, programs, credentials departments) | Innovation explicitly framed in terms of IHE courses, program requirements or credentials | | Innovation very difficult to translate into IHE courses, program requirements or credentials |

32

22

Figure 2.1

An Explanation of the Variables Influencing Institutionalization
of Teacher Corps Innovations Within the Host Institution

## The Relationship of Project and
## Institutional Variables to
## Levels of Institutionalization

A third major focus of the study was to examine the relationship
of project and institutional variables to levels of institutionalization
of project innovations. This relationship best illuminates the strate-
gies and organizational dynamics which influence greater university in-
volvement in inservice education.

Each of the five project innovations was analyzed in regard to
each of the program and institutional variables. For each innovation,
a score ranging from 1-5 was assigned for each of the 14 variables.
(See Figure 2.1).

The ratings were made by the evaluator based on extensive data
collected about the project through interviews, document analysis and
observation of participants. The ratings were reviewed and discussed
with the project staff. In four cases, several of the project staff
disagreed with the assigned rating. After some discussion, one rating
was revised and three were left as originally stated.

The results of this effort are presented in Table 2.1. The scale
score anchors presented in Figure 2.1 help the reader interpret the
ratings presented in Table 2.1. For example, the ratings associated
with the first variable (i.e., the top row of numbers) porcray the fact
that both the competency-based teacher education (CBTE) modules and the
performing arts inservice training were discussed explicitly and exten-
sively in the proposal.

$3\,4$

| | Office Of Bilingual Education | Multi-Cultural Learning Resource Center | CBTE Modules | Performing Arts Training | Diagnostic Prescription Handbook |
|---|---|---|---|---|---|
| **Characteristics of the Project** | | | | | |
| 1. The extent that the proposal includes the innovation as an aspect of project | 3 | 2 | 5 | 5 | 2 |
| 2. Proposal emphasizes institutionalization of the innovation as goal | 3 | 1.5 | 3 | 2 | 1 |
| 3. Innovation is highly interconnected with other project activities (in practice) | 1 | 4 | 1 | 5 | 1 |
| **Characteristics of the Institutionalizer** | | | | | |
| 1. The institutionalizer is highly affiliated with the project | 5 | 5 | 5 | 5 | 3 |
| 2. The institutionalizer is a member of the regular faculty of the host institution | 4 | 2 | 2 | 2 | 3 |
| 3. The amount of project staff time given to implementing the innovation within the project | 3 | 5 | 2 | 5 | 1 |
| 4. The amount of project staff time given to institutionalizing the innovation | 5 | 3 | 1 | 2 | 1 |
| **Characteristics of the Innovation** | | | | | |
| 1. The innovation is an adaptation of innovation developed/created outside the local setting | 2 | 2 | 2 | 2 | 2 |
| 2. The innovation is a tangible product or program (degree of transportability) | 2 | 3 | 2 | 3 | 5 |
| **Characteristic of the Institution** | | | | | |
| 1. The institutional leadership wants to institutionalize the innovation | 5 | 2.5 | 1 | 2 | 1.5 |
| 2. Colleagues value and want to institutionalize the innovation | 4 | 3 | 1 | 2 | 2 |
| 3. The innovation does not violate the turf of colleagues | 4 | 4 | 2 | 2 | 2 |
| 4. The innovation has the promise of generating significant levels of revenue | 5 | 3 | 1 | 2 | 2 |
| 5. The innovation is easily translated into the administrative building blocks of the institution (courses, programs, credentials, departments) | 4 | 2 | 2 | 2 | 2 |

Key: Figure 2.1 presents the anchors for the ratings presented in this table.

35

## Discussion of the Factors
## Influencing Institutionalization
## Within the Host Institutions

Table 2.1 above summarizes a number of important relationships between project or institutional variables and level of institutionalization of innovations. These relations, and supporting evidence, are discussed in detail below.

Characteristics of the Project. The five innovations were analyzed first in terms of the extent to which the Teacher Corps project proposal included the innovation as a specific aspect of the project. This factor helps us understand the formal intentions of the project at the beginning of the cycle: Did the project originally intend to carry out this innovation, and were the resources and the energy of the staff focused on carrying out this innovation? Only two of the five innovations, the competency-based teacher education modules and the performing arts training, were specifically included as aspects of the project proposal.

Although the Office of Bilingual Education was not explicitly included in the proposal, its development could be inferred from the project's explicit intentions to develop bilingual/multi-cultural inservice education, and to field test courses for the bilingual education credential. However, the Office of Bilingual Education evolved far beyond the scope envisioned in the proposal. Three new bilingual credentials were secured, a professional staff for the bilingual education office was hired, other inservice teacher education programs were developed and implemented, and a doctoral program with a supplemental field in bilingual teacher education was proposed and approved by the school of education.

The Multi-cultural Learning Resource Center, while not included in the proposal, was a concept created by the project staff at the beginning of the project. It had been developed initially in the project two years earlier. The Diagnostic/Prescriptive Handbook grew out of the original intention to develop training modules and inservice teacher education in the area of diagnosis and prescription. However, the proposal did not specify a handbook, nor mention any plan to transport the training beyond the local site. The handbook had not been conceived by the staff at the outset of the project.

The fact that only two of the five innovations were specifically mentioned in the proposal could be interpreted in two ways. First, it could mean that the project staff discovered new opportunities for developing and implementing innovations as the project evolved. However, it could also mean that the project staff failed to plan adequately at the beginning of the cycle. Either explanation suggests a need for technical assistance to help projects clarify and develop their goals over the life of the project. The situation also implies some dilemmas for Teacher Corps/Washington in expecting projects to be accountable for goals stated in their original proposals. In addition, it underscores a need for periodic negotiations between Teacher Corps/Washington and local projects about the accountability of local projects for developing innovations.

Each innovation was also examined relative to the extent to which the original project proposal emphasized its institutionalization as an explicit goal. In the original proposal, there were no explicit goals for institutionalization of any of the five innovations examined. The original proposal should define not only goals for the Teacher Corps program operation during the life of the cycle, but goals for institutionalization as well.

Each innovation was examined to determine the extent of its interconnection with other project activities. Innovations were rated in terms of their actual links with other activities during the project. The Office of Bilingual Education, which had the highest degree of institutionalization of the innovations examined, operated quite independently of other program activities. The project director had little involvement in the bilingual or multi-cultural education inservice training given at the school site; other staff hired by the Office of Bilingual Education had virtually no involvement with the Teacher Corps project. The implications of this situation, in which an innovation supported and facilitated by the project could have a high level of institutionalization while being only marginally connected with other project activities, will be examined in the discussion below.

Characteristics of the Institutionalizer. The evaluator examined the characteristics of the person most instrumental in attempting to institutionalize each innovation. The prime mover in the attempts to institutionalize four out of five of the innovations was an individual on the Teacher Corps project staff. The Diagnostic/Prescriptive Handbook was developed by an emeritus professor of the Department of Special

26

Education. Efforts to institutionalize and use this handbook have been handled jointly by the developer and one of the project staff members.

The fact that the prime institutionalizer was usually a member of the core project staff can be viewed in two ways. First, it could be argued that the project was unsuccessful in getting regular members of the faculty to accept innovations which were developed or promoted by the project. This interpretation suggests that institutionalization requires involved individuals (e.g., the project staff) to provide the impetus for developing the original innovation, and depends on the regular faculty to institutionalize and maintain the innovation. In addition, regular faculty members were not involved to a large degree in developing the innovations as part of the original project. In any case, regular faculty were not involved in trying to institutionalize these innovations. The situation would have been improved by concrete collaborative planning between the Teacher Corps project staff and the faculty--both about the project in general, and about anticipated institutionalization.

Another explanation for the primary role of Teacher Corps project staff members is based on a different concept of institutionalization. Institutionalization also occurs when the developer of the innovation carries out its institutionalization personally. In this notion of institutionalization, the idea of transferring an innovation from developer to institutionalizer is not considered feasible.

These differing views about the role of an institutionalizer suggest several important implications for planners of greater university involvement in inservice education. First, what is the best way to involve regular SCDE faculty in both operating the program and in institutionalizing the innovation? The transfer model, in which project staff members develop the innovation for regular staff to institutionalize, requires a different strategy from the model in which the same person develops and institutionalizes the innovation. Second, what conditions are necessary for the project staff to institutionalize an innovation which they have developed? This issue will be discussed later in the chapter.

Another factor affecting the level of institutionalization of the five innovations is the extent to which the prime institutionalizer is a member of the regular SCDE faculty. The prime institutionalizers for the Multi-cultural Learning Resource Center, the competency-based teacher education modules, and the performing arts training were three project staff members who remained in the School of Education on a soft-money basis. As explained previously, the two prime institutionalizers for

27

the Diagnostic/Prescriptive Handbook were a project staff member on soft money and an emeritus faculty member. The prime mover for the Office of Bilingual Education was brought to the School of Education in a tenure track position specifically to develop bilingual education programs.

When the developer of the innovation also tries to institutionalize it, does the procedure work best when the institutionalizer is a member of the regular faculty? The data in this study suggest that there is an institutional "screen" through which the regular faculty can pass with their innovations but which snares project staff members on soft money. In part, the efforts of project staff members may be rejected because they lack doctoral degrees or appear to have a service/program orientation when the institution prefers a teacher/scholar model. However, staff members on soft-money budgets may be not only unable, but unwilling, to translate the innovation into the administrative building blocks of the school of education. They lack the incentives of tenure-track faculty members, who can directly and personally benefit from the institutionalization of their own innovation. Because regular faculty often administer these innovations, they obtain institutional status and job security as well. Thus project staff, for legitimate reasons, are left feeling uncertain whether institutionalization will provide any long-term benefits for them.

If an institutional screen constrains soft-money staff from directly institutionalizing innovations, a similar screen appears to hold regular faculty away from extensive involvement in the project. Meetings, courses, committees, students to counsel—all the factors which aid the faculty member in maintaining legitimacy within the school of education—also constrain the faculty member's ability to become intensely involved in any project. While it may be that regular faculty status aids institutionalization of an innovation, it is also true that soft-money staff members provide the commitment, energy and ideas to make the project work in the first place.

Dramatically different amounts of project staff time were spent on implementing each innovation within the Teacher Corps project. Extensive amounts of staff time were spent on implementing two of the innovations—the Multi-cultural Learning Resources Center and the performing arts training—within the project. The other three innovations—the Office of Bilingual Education, the competency-based teacher education modules, and the Diagnostic/Prescriptive Handbook—received relatively small amounts of project staff time for implementation within

28

the project. However, the reasons for these small time investments varied widely.

In a sense, the Office of Bilingual Education, its staff, programs, and credentials, were never implemented directly within the project. The inservice education program developed by the project served as a general model for the Office of Bilingual Education. However, little of the content of the inservice education program of the project was directly used by the Office. The Office did not field test its new preservice training program nor directly implement the bilingual education credentials within the program. The project had originally intended to implement bilingual education training at the project site. However, because of a lack of staff training and commitment to the effort, multi-cultural education, rather than bilingual education, was implemented. Finally, the project did not directly implement the supplementary field in bilingual teacher education which the Office was able to design and have approved by the school of education.

The amount of staff time alloted the implementation of competency-based teacher education modules within the project was also low, but for a different reason. As explained above, no members of the project staff were committed to the implementation of these modules; with limited staff time available, they concentrated instead on implementing the inservice program. The Diagnostic/Prescriptive Handbook was developed by a subcontractor with a relatively small time contribution from the project staff.

A quite different pattern of staff effort emerged in institutionalizing each of the five innovations. The project director devoted extensive time to institutionalizing the Office of Bilingual Education within the school of education. This high level of attention was maintained throughout the project and Teacher Corps project resources were an absolutely critical dimension in the institutionalization of this innovation. The project staff worked directly to institutionalize this innovation, without first implementing it within the project.

A moderate level of staff time was given to institutionalizing the Multi-cultural Learning Resource Center. The prime institutionalizer within the project contacted several faculty members and announced at Teacher Education departmental meetings that the Center was available for use by regular school of education classes. A more limited amount of staff time was devoted to institutionalizing the competency-based teacher

29

education modules, performing arts training, and the Diagnostic/Pre-scriptive Handbook.

Several trends are evident. Widely varying amounts of project staff time were devoted to implementing innovations within the project and to institutionalizing these innovations within the school of education. It is important to note, however, that innovations which received an extensive amount of project staff time in their implementation were not necessarily the same ones which were the focus of intensive efforts at institutionalization. For example, while the Office of Bilingual Education reflected a relatively low amount of project staff time for implementation within the project, an extensive amount of attention was given to its institutionalization. By contrast, both the Multi-cultural Learning Resource Center and the performing arts training received extensive amounts of staff time in initial implementation, yet limited amounts of staff time in building them into the institutional structure.

There is a high correlation between the amount of staff time devoted to institutionalizing the innovation and the actual level of institutionalization achieved for that innovation. This finding has many implications for planners of greater university involvement in inservice education. The initial soft-money staff development proposal should not only emphasize institutionalization of the innovation as a goal but should also provide an ample amount of project staff time for carrying out the institutionalization of these innovations.

Characteristics of the innovation. The extent of institutionalization was not related to the origin of the innovation, whether locally developed or adapted from outside. Nor was successful institutionalization directly related to the extent to which the innovation was a tangible, easily transportable product or program.

Characteristics of the institution. Characteristics of the institution were very important in explaining the level of institutionalization achieved for the innovations. A high level of institutionalization was achieved when:

1. The institutional leadership wanted to institutionalize the innovation.

2. Colleagues valued and wanted to institutionalize the innovation.

30

41

3. The innovation did not violate the turf of colleagues.

4. The innovation had the promise of generating significant levels of revenue.

5. The innovation was easily translated into the administrative building blocks of the institution (courses, programs, credentials, departments).

There are several important reasons why the Office of Bilingual Education did not ultimately represent a turf problem within the school of education. First, it was a new program with a new cadre of trainees and new sources of funding. It was not taking away students or funds from other programs within the department or from other departments of the school of education. Throughout the project, however, there was a dispute with another department concerning ownership of the bilingual/multi-cultural education program. This dispute was, however, significantly resolved. The other department offers a theoretical approach to bilingual education, especially for students at the doctoral level. The Teacher Education Department provides a more field-based, practical approach to bilingual education.

The 'Dean's Task Force on Bilingual Education provided a collaborative advisory group concerning policy on bilingual education without interfering with the programs operated by several departments. This strategy helped to resolve broad turf problems. Because the Office of Bilingual Education could demonstrate its key role in securing funding and credentials for the bilingual programs, it was difficult for others in the school of education to challenge the Office's right to conduct these programs. Moreover, bilingual education requires special faculty expertise: faculty members must usually be bilingual, Mexican-American, and have extensive experience with bilingual education programs. Thus, other faculty members had to recognize the qualifications of the Office staff to carry out bilingual programs.

Summary. In general, institutionalization was not dependent on inclusion in the initial project proposal. It was important, however, that the innovation not be highly interconnected with other project activities. It also helped to have an institutionalizer both highly affiliated with the Teacher Corps project and a member of the regular faculty. Moreover, a high level of institutionalization was directly related to the amount of project staff time devoted to institutionalization. This high degree of attention and time for institutionalization

31

was maintained throughout the project, not just concentrated at its end. However, it was not necessary for the staff to spend time implementing the innovation within the project.

Characteristics of the innovation itself were not highly related to its eventual level of institutionalization. In contrast, characteristics of the institution as they pertained to the innovation were highly related to the eventual level of institutionalization. A high level of institutionalization was achieved when institutional leaders and colleagues favored the innovation, when it seemed likely to generate revenue, and when it could be easily adapted into the administrative structure.

Extensive institutionalization involved combinations of variables associated with project characteristics, characteristics of personnel pursuing the institutionalization of the innovation, and characteristics of the host institution.

## Implications for Increasing University Involvement in Inservice Education

This study has a number of implications for the general problem of increasing university involvement in inservice education. First, it confirms our assumption that although good inservice programs have been developed through soft-money projects, a serious problem arises when attempts are made to institutionalize these innovations within the host institution. Thus, there is a need to plan for the institutionalization as well as the implementation of a soft-money innovation. Second, the five criteria used in the study provide a conceptual framework for defining and assessing levels of institutionalization. These criteria are the extent of ownership of the innovation by one or several departments, the extent of administrative approval of the innovation, the extent of institutional funding for the innovation, the extent of proposed program operation, and the extent of staff commitment and skill to operate the innovation. Planners of inservice programs can use these criteria to guide the planning and assess the results of efforts to develop and institutionalize inservice innovations within SCDEs.

Third, the study suggest the critical importance of focusing time and energy directly on the institutionalization process. Without such efforts, even good inservice innovations soon wilt away; they do

32

not become institutionalized. Fourth, the study presents several insights about the unwillingness and inability of soft-money staff to institutionalize innovations despite strong mandates from the national organization that funded the project. Instead, an "institutionalizer" central to the project and from within the faculty was needed for successful institutionalization. It was not successful to transfer the innovation from soft-money staff members to tenure-track faculty members. Faculty members not associated with the project did not step forward to help with the institutionalization process. Planners of future inservice efforts within universities will have to plan carefully for institutionalization with the notion of the "institutionalizer" in mind.

Finally, the study points to the extreme importance of organizational factors in the institutionalization of inservice innovations. Institutionalization was successful if the institutionalizer could benefit by the transfer of the innovation to institutional money. It was also successful if it had administrative support, had the likelihood of generating revenue, did not violate others' turf and could be translated into adi nistrative building blocks such as courses or credentials. These are policy-relevant factors and must be ser⁴ously considered by program planners and administrative leaders if universities are to become more involved in inservice education. In short, the study provides tentative confirmation of the premise that greater involvement of universities in inservice education is a problem of organizational change as well as of program or faculty development.

33

# CHAPTER III

## VARIABLES THAT AFFECT INSTITUTIONALIZATION
## OF INSERVICE EDUCATION WITHIN UNIVERSITIES:
## A MULTI-INSTITUTIONAL STUDY

Chapter II described a preliminary study of factors that affect the institutionalization of inservice education within schools, colleges, and departments of education (SCDEs). The study illuminated a number of relationships between organizational or structural factors and the viability of institutionalized inservice education programs.

This chapter describes a related study and its implications for increasing university involvement in inservice education. This multi-institutional study was designed to extend and test the findings from the preliminary study reported in Chapter II.

### Methodology

Participants. Personnel from Teacher Corps Research Cluster projects participated in the study. There were 16 project directors, 12 evaluators, and five program design specialists included in the group. Projects from the following universities participated: Cullman Area Vocational Center, Emporia State University, Florida State University, Indiana University at Purdue, Miles College, Oakland University, Queens College, San Jose State University, Syracuse University, Trenton State College, University of New Hampshire, University of Oregon, University of South Florida, University of Wisconsin, Wayne State University West Virginia College of Graduate Studies, and Youngstown State Un. :ity.

Instrument. The first section of the instrument asked two to four members from a project to work together to identify three innovations from their project representing their range of success in institutionalizing innovations. Criteria for selecting from among all innovations were: (a) that they related to inservice teacher education, and (b) that the project had, with whatever degree of success, tried to institutionalize them within their SCDE. Once the innovations were identified by the project team, individual respondents answered questions about their selected innovations. Project teams selected 45 innovations which met stated criteria.

Individual respondents were asked to rate each of their three innovations on a five-point scale for each of the following levels of institutionalization: (a) degree of ownership by one or several departments within the college, (b) degree of administrative approval and support within the college, (c) security and extent of funding by the college, (d) extent of program operation, and (e) extent of permanence of staffing. An overall "level of institutionalization" score was created by summing these criteria scores for each innovation and then across innovations.

Participants then rated each of their three selected innovations on 14 variables related to the characteristics of the project. The variables can be classified into four categories: (a) characteristics of the project, (b) characteristics of the person who played the key role as "institutionalizer" of the innovation, (c) characteristics of the innovation, and (d) characteristics of the institution. These are the same scales and variables that were discussed in Chapter II. A more complete description of them is provided there.

Data analyses. Data from the questionnaire were analyzed, and correlations among the 14 variables and five criteria of institutionalization were examined. A total score for each respondent on each of the three innovations was calculated by adding the five criteria scores. Since the score for each criterion could vary from 1 to 5, the total score could range from 5 to 25. For example, a respondent could have rated an innovation from his or her SCDE as follows:

| CRITERIA | SCORE |
|---|---|
| 1. Degree of ownership by one or several departments | 3 |
| 2. Degree of administrative approval and support | 4 |
| 3. Security and extent of funding by the college | 4 |
| 4. Extent of program operation | 4 |
| 5. Extent of program staffing | 3 |
| TOTAL SCORE | 18 |

35

For each separate innovation from a given institution, the total scores for each of the respondents, typically three per institution, were averaged so as to obtain a better level of institutionalization score. The scores for each of the 14 predictor variables were averaged in the same manner.

Since representatives from all 16 institutions rated three innovations, the total number of innovations studied could have been 48. However, incomplete data on three innovations meant that the actual number of innovations studied was 45.

A step-wise regression analysis was used to clarify the relationship between the predictor variables and the achieved level of institutionalization for each innovation identified by projects.

## Results

### Predictor Variables and Level of Institutionalization

Findings. Table 3.1 contains a summary of the 14 predictor variables, descriptions of the low and high rating anchors for each of the predictor characteristics, and the correlation of each characteristic with an overall level of institutionalization score.

All five project characteristics have significant, positive correlations with the level of institutionalization score. The one characteristic correlating most highly with the institutionalization index is "the amount of project staff time given to implementing the innovation within the project."

Both institutionalizer characteristics were observed to have significant, positive correlations with the institutionalization score. The amount of correlation between these two characteristics and the index is very similar; however, the characteristic with the highest correlation is "the institutionalizer is a member of the regular faculty."

Neither of the characteristics of the innovation itself correlated significantly with the institutionalization score.

36

47

Table 3.1

**Zero Order Correlations of Predictor Variables with the Achieved Level of Institutionalization of the Innovation**

| Characteristics | Anchor of Scale 5 = | Anchor of Scale 1 = | Correlation with Level of Institutionalization |
|---|---|---|---|
| **Characteristics of the Project** | | | |
| 1. The extent that the proposal includes the innovation as an aspect of project | The innovation is an explicit goal for the project | The innovation is not mentioned nor implied in the proposal | .431 ** |
| 2. The proposal emphasizes institutionalization of the innovation as goal | Institutionalization of the innovation is an explicit goal for the project | Institutionalization not in nor implied in the proposal | .432 ** |
| 3. The innovation is highly interconnected with other project activities (in practice) | The innovation is highly interconnected to other project activities | The innovation is not connected to other project activities | .448 ** |
| 4. The amount of project staff time given to implementing the innovation within the project. | Extensive staff time was given to implementing the innovation within the project | No staff time was given to implementing the innovation within the project | .593 ** |
| 5. The amount of project staff time given to institutionalizing the innovation | Extensive staff time was given to institutionalizing the innovation at the IHE | No staff time was given to institutionalizing the innovation at the IHE | .519 ** |
| **Characteristics of the Institutionalizer** | | | |
| 6. The institutionalizer is highly affiliated with the project | The key institutionalizer is a member of the core project staff | The key institutionalizer was not affiliated with the project | .348 ** |
| 7. The institutionalizer is a member of the regular faculty | The key institutionalizer is a tenured IHE faculty member | The key institutionalizer is a soft money project person not on the tenure track | .350 ** |
| **Characteristics of the Innovation** | | | |
| 8. The innovation is an adaptation of innovation developed/created outside the local setting | The innovation came from outside with no local revision | The innovation was entirely locally developed | .061 |
| 9. The innovation is a tangible product or program (degree of transportability) | The innovation is a tangible, easily transportable product | The innovation is an amorphous entity which would be awkward to transport | .233 |
| **Characteristics of the Institution** | | | |
| 10. The institutional leadership wants to institutionalize the innovation | Leadership provided funds, extensive support, and expressing strong interest in the innovation | Leadership did not provide funding; no expression of interest in innovation (or negative reaction) | .193 |
| 11. Colleagues value and want to institutionalize the innovation | Colleagues highly valued or wanted innovation | Colleagues were neutral or opposed the innovation | .613 ** |
| 12. The innovation does not violate the turf of colleagues | No intrusion on existing faculty's turf | Extensive intrusion on existing faculty's turf | .285 * |
| 13. The innovation has the promise of generating significant levels of revenue | Innovation more than pays for itself when utilized by institution | Innovation cannot pay for its utilization by institution | .391 ** |
| 14. The innovation is easily translated into the "administrative building blocks" of the institution (courses, programs, credentials, department) | Innovation explicitly framed in terms of the IHE courses, program requirements or credentials | Innovations very difficult to translate into IHE courses, program requirements or credentials | .263 * |

*p .05
**p .01

Four of the five institutional characteristics have significant, positive correlations with the institutionalization score. The characteristic which appears to have the most influence in this category is "colleagues value and want to institutionalize the innovation."

Table 3.2 contains the results of the regression analysis which was used to clarify the relationship of the predictor variables to the achieved level of institutionalization for each innovation. Four of the 14 predictor characteristics accounted for 70 percent of the variance in predicting the level of institutionalization. These four variables include one characteristic from each of the four categories of predictor variables--project, institutionalizer, innovation, and institutional characteristics.

Discussion and implications. The predictor variables investigated are strongly associated with the achieved level of institutionalization for selected innovations. The fact that one of the four variables identified in the regression analysis comes from each of the four categories of variables suggests that each category is making an independent contribution toward achieving successful institutionalization. Conversely, extensive efforts to implement an innovation within the project account for only one-half of the total explained variance for institutionalization. Traditionally, projects have focused their energies rather exclusively on developing or modifying and implementing their innovations within the project. Such an approach would greatly weaken the likelihood that the innovation would eventually be institutionalized, because the characteristics of the innovation, characteristics of the key institutionalizer and the institutional response to the innovation are all important factors in institutionalization as well.

These findings have several implications for the general problem of increasing university involvement in inservice education. First, they confirm the belief that institutionalization depends upon a combination of factors about the inservice project, the institutionalizer, and the institution. The high percentage of the variance in levels of institutionalization suggests that the study was able to identify factors critical to the institutionalization process. Persons seeking to increase institutionalization can manipulate these variables with some assurance that levels of institutionalization will be increased.

Second, the study confirms the importance of organizational variables. It adds strength to the argument that increasing university

38

49

Table 3.2

Regression Analysis with Project and Institutional
Characteristics As Predictors of Achieved Level of
Institutionalization of the Innovation

| Step No. | Variable | | F | P | $R^2$ |
|---|---|---|---|---|---|
| 1 | PC 11 | Colleagues value and want to institutionalize the innovation | 25.8 | $<0.001$ | 0.375 |
| 2 | PC 4 | The amount of project staff time given to implementing the innovation within the project | 15.6 | $<0.001$ | 0.545 |
| 3 | PC 7 | The institutionalizer is a member of the regular faculty | 16.7 | $<0.001$ | 0.676 |
| 4 | PC 8 | The innovation is an adaption of innovation developed/created outside the local setting | 4.1 | $<0.05$ | 0.706 |

Estimate Equation

$$Y = -6.658 + 0.219 \, PC4 \text{ to } 0.131 \, PC \, 7 + 0.077 \, PC8 + 0.204 \, PC11$$

$$R^2 = 0.706$$

$$F = 24.1$$

$$P < .001$$

involvement in inservice education is a problem of organizational
change as well as of program or faculty development. The next chap-
ter expands on the nature of these organizational constraints. Many
o  these difficulties became apparent as we conducted the studies
described in the last two chapters and talked with people in many role
groups about these studies.

CHAPTER IV


THE INVOLVEMENT OF UNIVERSITIES IN INSERVICE EDUCATION:
AN ORGANIZATIONAL ANALYSIS


A major issue for schools, colleges, and departments of educa-
tion (SCDEs) at the present time is the role they will play in inser-
vice education for public school staff. This complex issue relates to
a variety of trends external to the university, such as approaches to
planned change within public schools and the role of teacher organiza-
tions in inservice education, as well as the supporting legislation and
the financing of inservice education. Within the university, an addi-
tional set of issues must be addressed if SCDEs are to have a meaning-
ful role in inservice education.

This chapter will focus on several trends within a university
that affect its involvement in inservice teacher education. The chap-
ter was developed in several stages. In the initial stage, a group of
28 university personnel, including deans, professors, Teacher Corps
project directors, researchers, and university-based soft-money staff
members were interviewed regarding the factors which enhanced or in-
hibited a university's involvement in inservice education. From these
interviews, an outline of organizational constraints was developed.
The outline was then used as the focus of discussion at two regional
Teacher Corps conferences and three SCDE retreats where a cross-section
of faculty members planned the involvement of their university in in-
service education. Based on these discussions, the outline was trans-
lated into a questionnaire which was administered to 20 representatives
of ten universities, including deans, professors, and Teacher Corps
project directors. This second group rated each constraint on a 5-
point Likert scale according to the degree to which that constraint
inhibited the development of a field-based inservice program at their
own universities. All 21 constraints had mean scores exceeding "mode-
rately constraining" for all three role groups (deans, professors,
Teacher Corps project directors). This chapter is a concept paper
based on the outline, discussion, and interviews.

Perspective on the Involvement of
Universities in Inservice Education

There are several ways of explaining why universities are not
more involved in job-embedded/related inservice education for school

41

personnel. One view is that financial constraints form the major deterrent to greater university involvement. If school districts had the funds to support this involvement, the university would respond quickly. A second view is that university faculty members lack the skills and motivation to become more active in inservice. Articles by Mathis (1978), Bergquist (1978), and Centra (1978) reflect the belief that the issue is essentially one of faculty development.

Neither of these views is entirely adequate, because each neglects the myriad of organizational constraints within universities that hinder involvement in inservice education. This perspective on university involvement as a problem of institutional change draws on insights by Corwin (1973) concerning the process of change in teacher education programs, as well as on the framework for institutional change developed by Dalin and McLaughlin (1976). Successful program-building in inservice education is very difficult without an understanding and resolution of these organizational issues.

Within a typical university, several sets of institutional constraints hamper faculty involvement in inservice education as part of the accepted professional role. These constraints are of four types: constraints associated with the purpose of the university, economic constraints, political constraints, and sociological constraints. They are intertwined in such a way that both individual faculty members and the SCDE are discouraged from greater involvement in inservice education.

Constraints Associated with the
Purpose of the University

There are three traditional purposes of a university: research, teaching, and service. Inservice teacher education is considered to be a service function, largely because of the term "inservice teacher education" itself. This label seems to generate difficulties both within school districts and within the university. In school districts, the label "inservice teacher education" has an unpleasant connotation for teachers. They see inservice education as a waste of time and as an affront to their professional status. Within universities, the phrase triggers a perception that the effort is a service function of the university.

Because the service function carries the least prestige within universities, there are drawbacks both for individual faculty members

who become involved in inservice education and for the professional schools with which they are affiliated. For an individual faculty member, little time is allocated for service functions. Thus, an inservice activity often must be done in addition to regular teaching, research, and committee responsibilities. A strong service orientation in a school, college, or department of education results in the loss of status both within the university and among SCDEs across the country. Involvement in inservice education generates a number of other difficulties, both for individuals and for the professional schools, as will be explained later in this chapter. However, it is important to realize that some of these difficulties result directly from viewing inservice education as a service function.

Considering inservice education as a service function also weakens the quality of the inservice program itself. Service efforts within the universities are often based on inadequate conceptual frameworks, marginal use of research findings, and poor program implementation strategies. Since most service efforts also involve a marginal time allocation on the part of the faculty, those activities can easily be slighted amidst competing demands. Consequently, it is easy for inservice education providers to settle for one-shot workshops or a traditional education course offered in an off-campus setting. In our view, it is preferable for universities to forego involvement in inservice education altogether rather than to base involvement on a rationale of service.

Inservice education need not and should not be viewed as a service function of the university. If preservice teacher education is a teaching role, then certainly inservice education is as well. Inservice education involves teaching a new cadre of students in new settings. Instead of offering instruction within regular courses, inservice education fosters the learning and professional development of school personnel by a variety of means. This comprehensive effort to assist public school staff members implies a new faculty-student relationship, instructional setting, and learning design. Yet, adjustments for these new components are aspects of the teaching process which will also have ramifications for preservice teacher education and administrator-training programs.

Inservice education can be part of the SCDE research function as well. To date, research has been praised more in name than in fact in SCDEs; little research is actually being conducted. Joyce et al. (1977) points out that the average professor prepares a professional article

43

only once every three years, and only a small percentage of faculty members have ever conducted studies in schools. Yet research and publication are now receiving greater emphasis, offering a major opportunity for faculty contributions to inservice education while demanding more faculty time and energy.

Inservice education efforts could provide rich opportunities for both applied and basic research in education. Rather than competing for faculty commitment, inservice and research activities can be mutually enhancing. Several trends within the field of applied research increase this likelihood. Interdisciplinary, field-based research is becoming more prevalent, both within large, federally-funded program evaluations and in small studies. Action research, using a variety of strategies for changing schools, is especially popular in cases when a program treatment is developed and studied. The emphasis upon research using carefully developed treatments implemented in regular school settings is in sharp contrast with previous research which examined only "natural variation" in program treatments. Ethnographic studies and other qualitative research efforts are also becoming more respectable. Thus, inservice education provides numerous opportunities for applied research linked to program development and delivery efforts; it can be readily examined using applied research techniques.

In summary, one of the structural problems which hampers university inservice efforts is the categorization of inservice as a service function. A service orientation creates status and legitimacy problems for the individual faculty member and for the professional school, both within the university and among SCDEs across the country. In addition, this service orientation has diminished the quality of inservice efforts, permitting weak program design, inadequate use of research, and marginal allocation of time and resources. However, the service orientation is neither necessary nor desirable. Inservice education can enhance teaching and research opportunities for universities while being helpful to public school personnel.

Economic Constraints

Some organizational constraints hampering greater involvement in inservice education are economic in nature. Many of these are most obvious in the contrast between preservice and inservice teacher education. Preservice teacher education has been, and in many cases still is, the economic backbone of SCDEs. Large classes in preservice teacher education programs generate sufficient full-time equivalents (FTE) to allow

44

the SCDE to offer small seminars for advanced graduate students. In
contrast, inservice teacher education barely pays for itself. The
funds it provides for faculty are often used as overload pay rather
than as support for regular faculty load; in many cases, sizable por-
tions of the funds support soft-money staff members rather than the
regular faculty. Moreover, the funds are held within special univer-
sity budgets. While this practice piovides some discretion in expen-
ditures, it also makes it more difficult for inservice education to
serve as a legitimate contributor to the SCDE.

Adequate numbers of preservice students have also been rela-
tively easy to obtain. While preservice enrollments have declined in
recent years, they once again are stabilizing and are sufficient to
support other SCDE programs. In contrast, inservice education pro-
grams represent considerable financial uncertainty for the school of
education and for the individual faculty member. The financial prob-
lem of university involvement in inservice education is as much a mat-
ter of funding instability as it is of funding size.

In addition, preservice teacher educators have no private, non-
institutional arrangement to provide preservice teacher education to
student teachers; they have no vested interest in keeping the programs
external to the SCDE. State credentialing arrangements provide both a
programmatic and a financial monopoly for universities in the prepara-
tion of preservice teachers. In contrast, many university faculty mem-
bers have private consulting arrangements to provide inservice education
to districts. Edelfelt (1977) argues that service to school districts
". . . has become the major source of moonlighting and extra pay for
higher education faculty."

We should be hesitant to call such faculty consulting "moon-
lighting" in its usual sense, however. Moonlighting usually connotes
holding two independent jobs where employers are uninformed about or,
at best, are tolerant of the employee's other job. In contrast, faculty
consulting (in this case, as inservice education to school districts)
has long-standing acceptance within the university, is institutionalized
as an arrangement within the university, and creates benefits for the
university as well as for the individual faculty member.

Historically, prospective faculty members have been informed at
the time of their job interview that they could supplement their salary

45

with consulting, usually within specified limits. University adminis-
trators have defended faculty salary levels with the argument that
faculty members could augment their salaries with consulting work.
Consulting arrangements have been institutionalized at the university
in several ways--most notably in the arrangement of class schedules
freeing faculty members one day per week (usually Friday) for writing
or consulting.

Finally, most SCDE administrators and faculty members are quick
to point out that faculty consulting with school districts has several
direct benefits for the university. For example, these arrangements
often improve the university's relationships with school districts,
help recruit students into other university programs, and help maintain
contacts with and provide benefits to alumni. These arrangements also
facilitate field placement opportunities for students and open the way
for the employment of graduates from various education programs.

Both university faculty and school district leaders have several
good reasons not to give up their private inservice arrangements. For
faculty members, the private arrangements provide money beyond their
regular salaries without the bureaucratic strains of processing finan-
cial paperwork through the university and the school district. School
districts prefer these private arrangements as well. They are able to
obtain the individual or individuals they want on a more flexible basis,
and without the university overhead or the bureaucratic procedures which
a university-based contract might entail.

Many SCDE deans have considered using merit pay or overload pay
to encourage a transition from private to institutionalized arrangements
for inservice education, or for encouraging greater faculty involvement
in an established inservice program. Even if the SCDE devoted its en-
tire merit pay incentive to inservice education, this small percentage
of a faculty member's salary would be many times less than consulting
payments. Therefore, this institutional "carrot" has not been suffi-
ciently attractive to date.

The institutional "stick" has been no more effective in drawing
more faculty members into inservice education. Unlike the situation in
England, declining student enrollments have not led to massive faculty
dismissals or the closing of teacher education institutions. More spe-
cific to the issue of inservice education, few faculty members have had

46

to turn to inservice in order to earn their pay, although this situation may soon be upon us. Thus, the institutional "stick" has not been a major motivation for faculty involvement in inservice education.

For faculty members who desire to be involved in inservice education as a regular part of their load, a perplexing problem is the concept of "faculty load" itself. Faculty load is defined in terms of course credit hours taught. Under this formula, a nine-credit teaching load (with three additional credits for research/committees/advisements) means that a faculty member spends 75 percent of the time teaching. However, the actual time distribution is quite different, and can vary dramatically among individuals. Consequently, there is often a serious time problem when a faculty member is released from a three-credit course, assumed to be 25 percent of his or her load, to spend one and one-quarter days a week, or even one day a week, away from campus in public schools.

A final set of economic constraints concerns the various budgets in a school, college, or department of education and the way in which project funds are managed. Regular budgets within the SCDE are based on tuition credits. The corresponding need to teach tuition-generating classes is important in defining the legitimacy of a faculty member and in providing for long-term job security. In turn, it is difficult for inservice education courses to become legitimately equated with tuition-generating classes in many universities. Soft-money funds have proven undependable, and some of the money is lost to the central university administration as overhead. Consequently, SCDEs have a difficult time recovering overhead expenses for inservice projects, generating program development funds which would encourage future staff development arrangements, and guaranteeing legitimacy and security for faculty members involved in such programs.

Inservice education efforts that are funded as projects rather than through direct tuition dollars create additional difficulties. SCDEs typically have cumbersome arrangements for managing project funding of inservice education. Moreover, universities also have a difficult time managing group enrollments and admissions.

In summary, the economic problems of inservice education programs are largely derived from their illegitimate status within the university. This role is reflected in the economic arrangements concerning faculty load and incentives, as well as in the management of university budgets.

47

The private consulting arrangements already accepted by the university provide significant benefits for the faculty, the university, and the school districts. Some deans may want to increase university involvement in inservice education to relieve economic pressures. However, faculty members can perceive few economic benefits, besides survival, for such involvement, while they experience numerous economic constraints.

## Political Constraints

Several political constraints inhibit university involvement in inservice education. Both Denemark (1977) and Edelfelt (1977) have argued that the SCDE, not the central university administration, should control teacher education. In response to the claim that teacher education is an all-university responsibility, Denemark replies that "this view frequently limits the responsiveness of a university to school system needs and prevents the building of significant constituency in the field." SCDEs sense a need for greater control over program decisions and logistical arrangements which would facilitate the growth of inservice programs.

Consequently, SCDEs are involved in campus-wide disputes over jurisdiction of inservice programs. For example, colleges of continuing education and other university programs are offering inservice programs for teachers. While it is easy to talk in the abstract about cooperation among the various units within the university, limited budgets make such cooperation especially difficult to obtain. Budgets themselves form part of the campus financial dispute. For example, one issue is a more equitable distribution of overhead costs between the SCDE and the university as a whole.

Within the SCDE there are additional governance issues to be addressed. Two observations about the faculty committee structure help clarify several of these governance issues. One problem is the large number of faculty committees within SCDEs; many have overlapping jurisdictions. This time-consuming and cumbersome governance arrangement poses several special problems for inservice education. These programs often require approval from one or several committees within a short time period to qualify for funding from outside agencies. While committees are used to approving relatively stable programs, inservice education programs may require frequent redesign to meet the needs of a particular school setting. Consequently, standing committees are often frustrated with the demands of inservice programs.

48

A second difficulty is that committees function essentially to approve programs presented by a single department or to set policies for programs across departments. Conversely, committees are not vehicles for collaborative program development. In fact, cross-departmental collaboration on program design or implementation is rare. For example, what appears to be cross-departmental collaboration in carrying out preservice teacher education is often only parallel activity; little program integration actually exists. Because inservice education requires cross-departmental cooperation both in program delivery and administration, it presents a two-pronged dilemma for schools of education. While frequently conflicting with numerous institutional norms and practices, inservice education requires cross-departmental program development, delivery, and administration which are difficult for SCDEs.

Inservice education also raises interesting jurisdictional issues between SCDE faculty members and deans. Many inservice programs require extensive involvement and rapid decisions by the dean. The dean typically must approve program funding, nontraditional program features, and staffing under a host of quickly-established special arrangements. Since each new inservice program seems to call for additional special arrangements, departmental chairpersons and/or other faculty members may feel uninformed, uninvolved, and uncomfortable about both the inservice program and the dean's power.

## Sociological Constraints

Sociological constraints also inhibit the implementation of inservice education. For example, although faculty members often consider themselves as specialists within a narrow discipline, inservice education requires them to act as generalists. In inservice education, the substantive expertise of the faculty is expected to reach across broader issues of education; their knowledge must be applied with a greater emphasis on problem-solving. Moreover, faculty members must be skilled in the process of helping teachers. Although faculty members often build their reputations on their ability to criticize rather than advocate, inservice education requires that they ultimately play a program-building rather than a critical role. In general, faculty socialization often works against creative involvement in inservice education.

Faculty members also have grown accustomed to having a certain power over their students. This power relationship can be seen when

49

contrasting the relationship between a faculty member and a doctoral student with that of a supervisor and worker on an assembly line. The assembly line supervisor is concerned only with the worker's performance cn the job, which is essentially an issue of appropriate behavior or activity. In contrast, the close exchange of ideas between a doctoral student and a professor gives the professor a much more powerful influence in shaping student beliefs and attitudes. This influence upon ideas is, of course, encouraged and respected; in fact, it remains the heart of a university.

However, the power relationship is structured differently between professors and inservice teachers. Preservice teachers and doctoral students come to the university with several common characteristics. These students come: (a) as individuals, (b) needing a degree and/or credential, and (c) without powerful institutional support. Inservice programs, on the other hand, are often for groups of teachers who do not need the additional degree or credential. Teachers in inservice programs often have implied support from a school district and/or a teacher organization. Moreover, the knowledge gap between professor and inservice teacher is much less than between professor and preservice teacher, and inservice programs are often held on teachers' "turf." Consequently, faculty members and inservice students often must negotiate their programs; many faculty members are neither familiar with nor skilled in such negotiations.

Notions about academic freedom compound this problem. As originally conceived, academic freedom allowed faculty members to speak cr write their beliefs on controversial issues without threat of dismissal. Recently, academic freedom has taken on several additional meanings. First, academic freedom has become freedom from the institution--the freedom to ignore, to some extent, institutional pressures of any type, particularly those originating from the dean. Second, academic freedom has become freedom to teach as one chooses, even if the content or method is not appropriate for the students. When confronted with a weakening of their power relationship, some faculty members bewail the loss of academic freedom. A new balance of academic freedom, institutional freedom, and relevant program operation is needed within professional schools.

Another major sociological constraint relates to the faculty's own "turf" within the school, college, or department of education. To outsiders, faculty members appear to obtain permanent rights to their turf, a secure spot within the SCDE, when they achieve tenure. Yet turf is a

50

much more fragile commodity, often consisting of control over prized courses, doctoral students, or positions on select faculty committees. Many faculty members are hesitant to give up advanced doctoral courses they have traditionally taught, or desirable time slots within the academic schedule, in order to be involved in inservice education. Extensive work in inservice education can lead to informal ostracism by colleagues who wonder why the faculty member has deserted the ship. Protecting turf is a continuous struggle which only begins with obtaining tenure.

The structuring of time within the SCDE also complicates participation in inservice education. Each day of the week, faculty members are busy with classes, committees, and student counseling. Consequently, it becomes difficult to set aside the large blocks of time necessary for effective participation in inservice education.

Related to the problem of structuring time is the problem of the pace of activity. Abraham Kaplan (1978) recently commented that he accepted a short-term appointment at a center for advanced study at a different university because he found that universities had become places of frantic activity rather than studied reflection; he felt he needed to flee from his own university to obtain time for valued activities. Within SCDEs, the inadequacy of course loads as a reflection of faculty responsibility compounds the problem of time and the pace of activities. As explained above, faculty members are responsible for many activities which are not measured by the course load concept.

A good case can be made that research in education is also dependent on the availability of faculty time. Research must be conducted in whatever time remains after meeting other obligations. Consequently, much research is characterized by artificial experiments conducted with easily available students or student teachers. Similarly, inservice education efforts are also limited and biased by faculty scheduling problems.

Moreover, a concern with job security has dominated universities in recent years. Declining enrollments have led to fewer faculty positions or at least fewer new openings. These pressures are felt differently by deans, tenured faculty members, assistant professors, and staff members on soft-money budgets. Sociological and economic pressures which may prompt a dean to innovate in areas such as inservice

education may be precisely those pressures which cause a tenured faculty member to seek greater security.

Field involvement also pits the comfort of the known, or campus-based work, against fear or uncertainty of the unknown, school-based work. Sensing that they lack the skills or motivation to succeed with inservice programs, many faculty members are hesitant to become involved. Yet, in discussions of university involvement in inservice education, attention typically is given only to the incentives which might attract the faculty to participate more actively. A more useful paradigm for examining faculty concerns would compare faculty perceptions about the advantages and disadvantages of their current role with the positive and negative aspects of expanded involvement in inservice education. Figure 4.1 presents this conceptual framework.

Emphasis on the rewards associated with involvement in new programs, such as inservice education, addresses only one of the four categories suggested by this paradigm. Increased financial reward may have little attraction for a faculty member who is hesitant to become involved in inservice education because of concerns about the many sociological or governance issues described above. Hall and Loucks (1978) present a complementary framework for analyzing the personal concerns of faculty in the context of adopting innovations.

| CURRENT ROLE | NEW ROLE |
|---|---|
| perceived positives | perceived positives |
| perceived negatives | perceived negatives |

Figure 4.1

A Framework for Viewing Faculty Attitudes about
Becoming Involved in Inservice Education

It is also useful to consider the many roles which faculty members could play in inservice education. Some faculty members may choose to take responsibility for developing and coordinating inservice programs, while others might be willing to teach in the program or assist in its

52

research component. The careful matching of individual faculty, university, and field needs is a complex process which will require careful attention.

Finally, many universities have used soft-money personnel associated with local or federally-funded projects to help staff their inservice programs. Project staff members play a vital role in enhancing a university's involvement in inservice education. They often possess important clinical skills needed to make university involvement successful. They also have an ability to relate to public school teachers and generally have good credibility with them. Moreover, project staff members are often relatively free of the sociological constraints hindering the involvement of regular faculty members. They are often highly motivated to work in inservice education, valuing field involvement over other professional activities.

However, the bittersweet relationship between soft-money staff members and SCDEs is keenly felt by the staff members themselves. One dilemma concerns job status: these staff members are typically on year-long contracts with renewal contingent upon their efforts at securing new funding. In addition, few staff members are employed in a job category which affords them more than second-rate status within the SCDE. A long-term role and institutional legitimacy for these staff members are needed to reflect and respect their academic training and field responsibilities.

The development and institutionalization of inservice programs takes en added complexity when soft-money staff members are involved. We have frequently observed a pattern of inservice involvement for universities where these personnel develop and direct inservice projects, while faculty members teach courses within these projects. The conflict comes when these staff believe they are being exploited: they do the hard work and wrestle with the critical issues in education, while faculty members get credit for teaching and often are paid on an overload basis. In turn, the regular faculty sometimes resents what is perceived as higher pay, frequent travel, "sloppy work," or ungrateful attitudes of the soft-money personnel.

The research presented in Chapters II and III reveals several reasons why soft-money personnel have not promoted institutionalization of inservice innovations with complete vigor or success. Soft-money staff members have little incentive to institutionalize innovations they have nurtured and developed. Once institutionalized, these innovations often

53

become the domain of a regular faculty member because the developers
lack academic credentials or control over degree programs. Soft-money
personnel also lack the status or clout to win informal acceptance and
institutional approval for their innovations. They are not familiar
enough with the administrative building blocks of the institution--e.g.,
credits, courses, programs, and degrees--to succeed at adapting their
innovations to this structure.

In summary, numerous sociological constraints hinder institu-
tional involvement in inservice education. Faculty members generally
possess specialized knowledge, whereas inservice education requires
broader expertise and a problem-solving orientation. A faculty propen-
sity toward critical analysis can hinder inservice education where sup-
port and program building are needed.

Many faculty members have grown accustomed to a dominant power
relationship with their students, making it difficult for the faculty
to accept inservice programs where teachers have significant power in
the negotiations about the content and method of teaching. Faculty
ideas about academic freedom also can compound this problem.

Faculty members have a continuing problem of protecting their
own turf within the SCDE, and they have serious time constraints and a
myriad of other responsibilities which keep them at an intense level
of activity. The protection of turf is a more dominant problem amidst
growing economic and political pressures, and a protectionist mentality
seems to have emerged. The different reactions of deans, tenured faculty
members, non-tenured faculty members, and soft-money personnel to these
pressures are affecting the planning and delivery of inservice education.

Finally, inservice education is affected by the complex problem
of faculty motivation, which is influenced by positive and negative re-
actions toward field efforts. It is also complicated by the presence
of soft-money personnel who enhance inservice programs yet present sever-
al dilemmas regarding their job security, cooperative program develop-
ment, and the institutionalization of innovations.

Implications

This analysis has a number of implications for the process by
which universities can become involved in inservice education and the

strategies by which inservice programs can become institutionalized within the school, college, or department of education. It is clear that the development process must include the removal of institutional roadblocks as well as the development of program directions, faculty skills, and faculty motivation. A long-term developmental effort is needed, reflecting the stages of institutionalization and employing specific planning steps which are described in a subsequent chapter. A task force representing a cross-section of the faculty must coordinate the planning process. We doubt that any individual could represent the political consensus and the varied perspectives needed for developing inservice programs at a university.

The task force should consider developmental issues within the SCDE, such as program directions, staff allocation and rewards, and funding arrangements, as well as more generic issues such as faculty, load, promotion criteria, and the long-term status of soft-money personnel. Kersh (1978) describes how the developmental process must also relate to policy at all the university and state-wide levels. Creative relationships should be established at these levels, as well as with school districts and teacher organizations.

It is also likely that an ongoing governance and developmental mechanism will be needed if the SCDE is to maintain involvement in inservice education. Like the initial task force described previously, this group must blend the skills and perspectives of inservice practitioners, researchers, and administrators from the university with those of school district and teacher organization representatives. The group would need to revise program directions and program delivery procedures; assign, train, and reward staff members; generate broad-based ownership for inservice programs within the university and at the state level; retain a research/teaching, rather than a service orientation for inservice programs; and seek additional funding for inservice programs. A mechanism which addressed these issues would be responsive to the major concern of this chapter: organizational issues must be addressed and resolved if universities are to be successfully involved in field-based inservice education for school personnel.

CHAPTER V


RESEARCH ON A PLANNING MODEL FOR DEVELOPING
AND INSTITUTIONALIZING INSERVICE
INNOVATIONS WITHIN UNIVERSITIES


The next two chapters expand the third major premise of the
monograph: the development of greater university involvement in in-
service education can best be organized around stages of planned change
in organizations. This chapter reports and analyzes research on the
planning, implementation, and institutionalization of inservice innova-
tions within 16 Teacher Corps projects. To understand better the pro-
cesses used within these projects, we analyzed them in light of a
theory-based change model known as the Florida Assessment and Diffusion
System (FADS) (Dodl et al., 1974). Drawing on research from communica-
tions, educational psychology, organizational theory and evaluation,
the FADS model prescribes planned change activities organized within
five phases or stages of change. These phases are labeled initiation,
verification, problem-solving, diffusion, and evaluation/documentation.
The model is especially useful in prescribing planned change activities
for each of the change processes, rather than only describing or ana-
lyzing change efforts.


The study began when local project staff members, university ad-
ministrators, school district personnel, and Teacher Corps personnel be-
came concerned about the continuing low level of success in institu-
tionalizing innovations. Innovations related to inservice teacher edu-
cation within schools, colleges, and departments of education have been
especially short-lived. Because of these losses, universities have been
hindered in their efforts to become more involved in inservice teacher
education. The failure to institutionalize innovations from projects
has meant wasted financial resources for universities, school districts,
and the Federal government.


At the same time, we saw this research as a chance to explore the
more general problem of how to help universities become more involved in
job-embedded and job-related inservice programs. As discussed in Chap-
ter II, we focused on inservice teacher education efforts conducted
through soft-money projects at universities as most representative.
Second, we focused more specifically on Teacher Corps projects as in-
tense, high-quality, policy-relevant efforts to create collaborative

job-embedded and job-related inservice programs. Teacher Corps projects had an added advantage for this research because they had a mandate to carry out planned stages of change. Teacher Corps projects concentrated on institutionalizing inservice innovations--a major step toward developing ongoing university involvement in inservice education.

## Methodology

Research focus. The following research questions delineate the focus of this study:

1. Are project personnel currently using procedures similar to those in the FADS model in order to bring about institutionalization?

2. Can any or all FADS-type procedures used in projects be applied effectively?

3. Would project personnel predict that FADS-type procedures could be effective in helping to bring about institutionalization of their innovations "in the best of all worlds"?

4. Would changes in the FADS model produce a model more applicable to the Teacher Corps situation?

An additional purpose for the research was to discover what types of strategies for planned change would help universities to become more involved in inservice education.

Participants. A total of 33 persons participated in the study. Included were 16 project directors, 12 evaluators, and five program design specialists. The participants were members of project staffs in the Teacher Corps Research Adaptation Cluster from the following universities: Cullman Area Vocational Center, Emporia State University, Florida State University, Indiana University at Purdue, Miles College, Oakland University, Queens College, San Jose State University, Syracuse University, Trenton State College, University of New Hampshire, University of Oregon, University of South Florida, University of Wisconsin, Wayne State University, West Virginia College of Graduate Studies, and Youngstown State University. The respondents and projects are the same ones described in Chapter III.

Instruments. Two instruments were designed to compare current institutionalization procedures in the sixteen universities with the procedures recommended in the FADS model. Instrument 1 contained a revised list of the 33 major components of the FADS model. Teacher Corps terminology was substituted for the generic FADS language whenever appropriate. For each FADS component, participants were asked to respond on a scale of one to five indicating: (a) the extent to which they were currently using the component in their project, (b) the extent to which they were successful in applying the component if they had attempted it, and (c) the extent to which they predict the component would be successful if they had the ability or power to implement it. Instrument 2 included a step-by-step description of the key FADS process steps that make up the 33 components. Respondents were asked to add or delete steps, reword language for clarity, and describe problems or conflicts they encountered between the described FADS procedure and their needs as persons responsible for institutionalizing innovations.

Procedures. Data were collected during a regularly scheduled two-day conference of the Research Adaptation Cluster. On the morning of the first day, participants listened to a brief presentation about the institutionalization of innovations in general and about the purposes and procedures of the study. Immediately following this presentation, participants completed the first questionnaire to describe which FADS-type components were currently used in their projects and their success in using those components to institutionalize innovations. Responses were tallied and descriptive statistics calculated immediately following the data collection. During the second day of the conference, results were illustrated on transparencies to provide the total group with information about their collective responses.

At the conclusion of a discussion about the results, participants were asked to select one of three analysis groups based upon their backgrounds, experience, and skills and to respond as a group to a second questionnaire. Each group was asked to analyze one portion of the process steps from the FADS model. One group analyzed the initiation/verification components, a second group the problem-solving components, and a third group the diffusion/evaluation components. Each of the three questionnaires described from sixty to eighty FADS process steps. Each analysis group of nine to twelve members was asked to identify conflicts its members saw between the FADS components and their responsibilities, to identify components compatible with their current operation, and to recommend alternative steps to those in the FADS model when desirable.

## Data Analysis Procedures

Data gathered in the study were analyzed in several ways. For the first questionnaire, based on the FADS model, descriptive statistics were used to describe the group members' perceptions of their current operations using the FADS model as a standard. T-tests for paired means were used to compare observed differences between the three dimensions of "currently used," "effectively used," and "predicted effectiveness." T-tests were also used for comparisons among the five phases of the model within each of the three dimensions.

The second questionnaire was not statistically analyzed. The analyses and recommendations of each group were studied to help interpret the degree of use and effectiveness of use of FADS-type procedures, to summarize observed conflicts between the FADS model and operational problems, and to determine how the phases of the model might be made more usable for project personnel.

## Limitations

This study was heuristic rather than definitive in nature and was not intended to be generalizable. The data collected were subject to the limitations of perceptual data. During the study, participants commented that they were not privy to all the information concerning operations within their projects and, therefore, they were reporting their "best guess" in many instances. Participants had differing amounts of experience with FADS or similar change models. Some were unsure of their responses because they did not understand the processes implied in several of the FADS components.

## Results

Use vs. current effectiveness vs. predicted effectiveness. The level of use invested in a particular phase of the model was compared with the perceived level of effectiveness for that phase. The results of this comparison are reported in Table 3.1. Significant differences (p $\leq$ .05) were observed between the amount respondents used a particular model phase and their effectiveness in applying components related to the phase for initiation, verification, and problem-solving activities. No significant differences were reported between the amount of use and the level of effectiveness for the diffusion and evaluation/documentation activities. When all components of the model were compared for

59

amount of use and perceived effectiveness, significant differences
(p $\leq$ .05) were observed. Respondents believed their level of effec-
tiveness was significantly (p $\leq$ .05) lower than their level of use of
the FADS components.

No significant differences were observed between the level of
use of the FADS components and the predicted effectiveness of those
components except in the diffusion phase. Their predicted level of
effectiveness was significantly higher ($\overline{X}$ = 31.48) than their current
level of use ($\overline{X}$ = 27.96) in the diffusion phase. No significant dif-
ferences were observed between these two dimensions (use and predicted
effectiveness) when all model components were compared. These results
are reported in Table 3.1.

Respondents reported significant differences in all phases of
the model between their current level of effectiveness in applying
the components and their predicted level of effectiveness of the com-
ponents in facilitating institutionalization. The group believed pre-
dicted effectiveness to be significantly higher ($\overline{X}$ = 102.21) than cur-
rent effectiveness ($\overline{X}$ = 87.42).

Participants did not perceive that any of the components could
be ideally effective in facilitating institutionalization of project
innovations. Table 3.1 illustrates the observed differences between
the ideal levels of application (total possible points) and the group's
mean predicted effectiveness. The ideal level of effectiveness is ap-
proximately 40 percent higher within all phases of the model and across
the total model.

Differences between the mean predicted levels of effectiveness
and the mean current levels of effectiveness are illustrated in Table
3.1. Predicted effectiveness ratings are greater than current effec-
tiveness ratings in all phases of the model in the following propor-
tions: initiation, ten percent greater; verification, eight percent
greater; problem solving, four percent greater; diffusion, eight per-
cent greater; evaluation/documentation, nine percent greater; and total
model, eight percent greater.

**Table 3.1**

Paired Comparisons for Significant Differences Between
Means on the Dimensions:  Currently Used, Current Effec-
tiveness, and Predicted Effectiveness of Component

| FADS Component | | Means Compared | | Means Compared | | Means Compared | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| | | Currently Used | Effectively Used | Currently Used | Predicted Effectiveness | Effectively Used | Predicted Effectiveness |
| Initiation Activities Among Interacting Groups (Project, IHE, LEA, Community, SEA) | $\bar{X}$ | 2.81    *    2.51 | | 2.81 | 3.07 | 2.51    *    3.07 | |
| | SD | 1.13 | | | .87 | 1.06 | |
| Verification of Goals, Status, and Mutual Under-  dings Among All Interacting Groups | $\bar{X}$ | 2.96    *    2.72 | | 2.96 | 3.22 | 2.72    *    3.22 | |
| | SD | 1.07 | | | 1.12 | 1.00 | |
| Problem Solving to Specify Discrepancies, Identify Alternative Solutions and Select Solutions | $\bar{X}$ | 2.82    *    2.65 | | 2.82 | 2.97 | 2.65    *    2.97 | |
| | SD | .99 | | | 1.04 | .95 | |
| Diffusion Including Program Design, Implementation, and Maintenance | $\bar{X}$ | 2.79        2.67 | | 2.79    *    3.14 | | 2.67    *    3.14 | |
| | SD | 1.01 | | | 1.02 | .97 | |
| Evaluation and Documentation of Products, Processes | $\bar{X}$ | 2.77        2.68 | | 2.77 | 3.13 | 2.68        3.13 | |
| | SD | 1.44 | | | 1.35 | 1.32 | |
| Total All Subsets of Items in Dimensions | $\bar{X}$ | 2.83    *    2.64 | | 2.83 | 3.09 | 2.64    *    3.09 | |
| | SD | .93 | | | .92 | .90 | |

* Differences in observed means significant at $p \leq .05$.

Changes in the FADS model. Table 3.2 contains a summary of the respondents' suggestions for increasing the effectiveness of model procedures within projects and their observations of deviations between the FADS model and project operations. Questions asked during the study were: (a) Are projects currently using procedures recommended in the FADS model? (b) Are the FADS procedures now in use being effectively applied? (c) Do project staff members predict that FADS components would be effective in bringing about institutionalization under ideal conditions? and (d) Can changes in the FADS model produce a more workable model for projects? The results for these particular questions are summarized below.

Are FADS components used? It appears that projects were using FADS-type components across the range of the model. Projects did not appear to select some phases of the model which they applied more than other phases. The continuum to indicate use of each of the 33 components ranged from 0, "not used," to 5, "used a lot." The average score on the six items in the initiation phase was 2.81; on the five items in the verification phase, 2.96; on the nine items in the problem-solving component, 2.82; on the ten items in the diffusion component, 2.80; and on the three items in the evaluation/documentation, 2.78. The average item "use" score on all 33 items was 2.83. All components of the FADS model, as described on the questionnaire, were perceived as being used at least "a little" by at least eighty percent of the respondents.

Are FADS components effectively applied? Again, the range for item responses was 0, "not effective," to 5, "very effective." The mean item scores in each model phase were as follows: initiation, 2.51; verification, 2.72; problem solving, 2.66; diffusion, 2.68; and evaluation/documentation, 2.69. The average item "effectiveness" score across the 33 items was 2.65.

What is the predicted effectiveness of FADS components? The range of choices for each item went from 0, "not effective," to 5, "very effective." The mean item scores in each model phase were as follows: initiation, 3.08; verification, 3.22; problem solving, 2.97; diffusion, 3.15; and evaluation/documentation, 3.13.

62

| FADS Component | Ways of Increasing Effectiveness of Model Procedures in Projects | Deviation Between FADS and Project Operations |
|---|---|---|
| Initiation Activities among Interacting Groups (Project, IHE, LEA, Community, SEA)<br><br>and<br><br>Verification of goals, status, and mutual understandings among all interacting groups | Write procedural guidelines for institutionalization that are readable by all those in project responsible for design of project collaboration. Currently too much jargon and unusable.<br><br>Train those responsible for collaboration in the purposes, procedures, and strategies for each component.<br><br>Establish early in initiation phase those from each interacting group who are responsible for final decisions and those who are responsible for collaborating work. Final authority and workers are rarely the same persons.<br><br>Establish and define a working relationship between project and institutions being served.<br><br>In addition to a Policy Board or advisory type committee, establish an operational committee of persons from each institution who will *work* on tasks necessary for initiation and verification.<br><br>As a change agent, the project should work independently with each involved institution as well as collectively between collaboration theory and FADS and develop principles to help overcome or minimize conflicts. | FADS assumes the institution seeks a project staff to study and resolve discrepancies the institution has identified. However, it has generally been the case that the project staff seeks the institution.<br><br>Conflict: Who is working for whom?<br><br>FADS assumes the institution realizes a need for the project's services to the degree they pay for those services. However, the project begins with its own funding and additional funds for collaborating institutions as well.<br><br>Conflict: The institution has not provided resources to pay for services to solve problems initially identified within the institution.<br><br>FADS assumes the institution can hold the project accountable for the type and quality of its work and terminate the association at any point services are not helpful. However, the institution did not hire the project, because their funds are from a federal source.<br><br>Conflict: The institution would lose resources or other benefits if the project were terminated.<br><br>FADS assumes a working relationship between one institution and one change agent. However, there are two or more institutions involved with each project change agent who have overlapping and occasionally conflicting goals.<br><br>Conflict: Change agent must balance competing needs of two institutions.<br><br>FADS assumes the change agent or project has no goals or motives of its own which might conflict with institutional goals. However, projects have many of their own goals that come with funding.<br><br>Conflict: The goals from Teacher Corps/Washington are likely to be viewed with suspicion by institutions. |

(more)

7.3

Table 5.2 (Continued)

| FADS Component | Ways of Increasing Effectiveness of Model Procedures in Projects | Deviation Between FADS and Project Operations |
|---|---|---|
| Problem solving to specify discrepancies, identify alternative solutions and select solutions | Insure project personnel, as change agents, are aware of procedures required for problem solving, why they are required, and guidelines for accomplishing their tasks.<br><br>Process of describing discrepancies and selecting priority goals is very time consuming in each organization, but should be done thoroughly.<br><br>Interacting institutions should be made aware of the priority goals of other institutions.<br><br>Institutions should have a *very active* role in the selection of programs or procedures they believe will overcome their identified discrepancies.<br><br>Institutions should be directed to select solutions they have the desire and resources to maintain after development. | FADS assumes the institutional representatives take an active role in carefully defining their own discrepancies, in identifying viable alternative solutions, and in selecting solutions they will have the resources to maintain. However, the study is often conducted by project personnel, alternative solutions are identified that require project resources, and solutions are selected that require project resources for development, initiation, and maintenance.<br><br>Conflict: Solutions selected often require resources external to the institution not only for development but for maintenance. |
| Diffusion including program design, implementation, and maintenance | This section should be broken into three separate sections: design and development of innovations, implementation and assessment strategies, and maintenance strategies.<br><br>Project personnel, as change agents, should be trained in the purposes for, procedures for, and benefits of well designed persuasion and reinforcement programs. These phases are often overlooked or done haphazardly. | FADS assumes that the design process is complete through all phases (program/process, evaluation, information delivery, persuasion program, and action program) prior to beginning the implementation/assessment phases. However, many times programs are designed and implemented prior to the design of implementation and assessment strategies.<br><br>Conflict: Programs prove to be ineffective because they are implemented prior to designing implementation/assessment strategies.<br><br>---<br><br>FADS assumes programs will be implemented when all phases are designed and developed. However, programs are implemented according to the project or school calendars, which do not respect the readiness of programs.<br><br>Conflict: Programs prove to be ineffective because they are implemented according to external factors. |
| Terminal evaluation and documentation of plans, products and processes. | Project personnel should be aware of documentation strategies and this phase should be ongoing throughout the project—not left to the final component.<br><br>Terminal evaluation activities should be supported by institutions as well as projects.<br><br>Results and findings from terminal studies should be shared with target groups in a form each can use to maintain or change an innovation as needed.<br><br>Evaluation and dissemination efforts should be planned to extend beyond the life of the project. | FADS assumes the client is the paying or funding agent. However, the client is not the funding agent, but rather the target group.<br><br>Conflict: Evaluation reports suitable for the funding agent may not be suitable for participating institutions (clients) and their respective target populations.<br><br>Conflict: Institutions may not require final reports from the project since they are not the employer. Non-required reports will probably not be written. |

## Discussion

The use of FADS components. Although participants reported use of FADS-type components in their projects, they did not report more than an average effort or use for any of the components across all phases of the model--initiation, verification, problem solving, diffusion, and evaluation/documentation. Part of the problem hindering application or degree of use may be the calendar on which current projects have had to operate. There has been very little time between the funding of a project, the availability of project personnel to begin their jobs, and the implementation of program or "solutions" in a project. An extensive amount of time is required to work through just the initiation, verification, and problem-solving phases of the model. The amount of time required to accomplish these tasks in projects is multiplied when more than one institution must collaborate in the process. Activities and project phases move forward on a predetermined calendar rather than at a pace that will ensure sequential collaboration, agreement, and motivation by all participating groups.

The year of planning in Teacher Corps projects allows interacting groups to work through initiation, verification, problem solving, and the design phase of the diffusion component prior to implementing program activities.

Many project personnel responsible for carrying out various phases of the model were somewhat familiar with the language of the FADS model but were unfamiliar with alternative methods and strategies for carrying out particular phases of the model in their projects. Several respondents considered the verification phase to be redundant to the initiation phase in the model. Purposes and strategies for each phase of the model need to be clarified.

During the planning year, key project personnel in new projects should acquire the knowledge, skills, and influence required to institutionalize an innovation. Appropriate technical resources should be made available to help project personnel acquire needed skills.

Resistance to the FADS model was observed as it was interpreted in the study. A small minority of participants refused to complete the second questionnaire, designed to help modify the model. The remaining majority also resisted the model, but had a more constructive reaction.

65

They worked through the model and made recommendations toward making it more applicable to their projects.

Respondents considered the application of model components to be important to the institutionalization process and believed project personnel should be proficient in working as change agents. However, they preferred that the steps of the model be more simplistic, with less specificity. Several asked for a simplified procedural guideline for collaborative activities.

A simplified institutionalization model more directed to specific Teacher Corps goals and constraints should be thoroughly researched and developed. There appear to be many components and principles from the FADS model that are compatible with perceived needs. However, in its current format, the model is not acceptable to project personnel.

Effectiveness with FADS components. A limited amount of effectiveness was reported in applying the components of the FADS model. Major causes cited for limited success were: (a) political problems in being outsiders in the real decisions for or against institutionalization, (b) the lack of time available to pursue adequately each component of the model in the prescribed sequence, since the program is often implemented prior to a thorough analysis of goals and discrepancies, (c) the current skill level of project personnel in operating as change agents with multiple institutions, and (d) effective communication among project members in segmented parts of the program.

In its current format, FADS cannot be used effectively to bring about institutionalization. The model for institutionalization used in Teacher Corps projects should borrow both from available institutional change models such as FADS and from operational goals and constraints of projects.

Predicted effectiveness using FADS components. Predicted effectiveness of the FADS model "under ideal conditions" fell short of ideal levels. Again, part of the problem can be related to time, training, and communication. In addition, participants indicated six theoretical conflicts between the FADS model and the actualities of Teacher Corps projects.

First, the model does not account for the fact that the institution did not "hire" the project to study changes which the instituion

desires. Both the project and the institution are "hired" by Teacher Corps to study and bring about changes within the institution. This external commitment to changing the institution may not be translated wholly into an internal institutional commitment. Both project and institutional personnel benefit from Teacher Corps funds and resources throughout the length of the project. These benefits may influence the perceptions of institution and project personnel about needed and desirable changes. Once additional resources are no longer a factor, institutions may become more conservative about maintaining changes that were implemented through external resources.

A second factor influencing respondents was the fact that institutions did not or could not hold project personnel accountable for the effectiveness of their programs. The FADS model assumes that an institution can terminate the relationship at any point it finds the change agent's work to be ineffective. Without the necessity of institutional approval for a project's programs and products, project personnel have freedom not accounted for in the model. Somehow the institution must become accountable for the success of the project. Although mutual cooperation and administration for work are implied in the model, they are not always practiced in reality.

A third basic discrepancy is that FADS assumes the change agent has no goals or objectives of its own for the institution. In fact, Teacher Corps projects have a multiplicity of goals for each collaborating institution, each goal designed for the institution's benefit. When institutions fail to participate actively in the goal selection and program identification processes, the project can, with ease and by design, provide one or more of its own goals for the institution. The consequences of this shortcut may be only slightly apparent at the time. However, the program implemented by the project to achieve that externally-provided goal is not likely to be maintained by the institution at the conclusion of the project.

Fourth, FADS recommends carefully designed programs of persuasion and reward for target groups within the institution. Otherwise, these projects may be viewed with suspicion by staff members of institutions who have not taken an active, and even leadership, role in identifying goals and selecting programs to be institutionalized within their institution.

Fifth, FADS assumes the change agent or project is accountable for reporting successes, failures, and documentation to the institution.

In fact, final reports and summaries are submitted to Teacher
Corps and not necessarily to the institution. This lack of account-
ability to the institution can perpetuate the idea that project person-
nel have not necessarily been working for the benefit of the institu-
tion. For example, quarterly and other interim reports, final reports,
and documentation could be submitted to the administration of the host
institution. If affiliation is a major component of institutionaliza-
tion, then perhaps the report audience should be expanded. The univer-
sity could also have a voice in changing project directions or activi-
ties.

Finally, FADS assumes that project or change agent personnel are
not regularly hired employees of the host institution. However, Teacher
Corps' project personnel are generally employed by the host institution
and subject to the rules and regulations that apply to other employees.
This internal association between project employees and the institution
needs to be further analyzed to identify and weigh benefits and con-
straints.

## Conclusions Based on the
## Six Theoretical Points

It appears that FADS-like institutionalization procedures are
currently being used in this sample of Teacher Corps projects. These
processes are being applied with an average or below-average degree of
success. It is unlikely that innovations can be institutionalized with
"average success" on every component of the process. However, by using
those methods proven to be most successful, project personnel can expand
the potential of projects to institutionalize innovations throughout the
five-year project.

At the same time, this research has generated a number of impli-
cations for the design of a planning guide which schools, colleges, and
departments of education could use in planning, implementing, and insti-
tutionalizing inservice teacher education programs. These ideas have
been incorporated in the planning guide which appears as Chapter VI in
this monograph.

CHAPTER VI


THE DEVELOPMENT AND INSTITUTIONALIZATION OF INSERVICE
PROGRAMS FOR SCHOOL DISTRICT PERSONNEL:
A PROCESS GUIDE FOR SCDES


## Introduction

The purpose of this chapter is to help personnel in schools,
colleges, and departments of education (SCDEs) to analyze:

.   Their current involvement in inservice programs for
    school personnel

.   Their potential involvement

.   What level and type of involvement would best suit the
    SCDE

.   How to design inservice programs to be compatible with
    SCDE goals

.   How to overcome organizational barriers to the de-
    velopment and institutionalization of inservice programs

.   How to pilot and refine inservice programs provided
    by the SCDE

.   How to obtain resources to maintain inservice programs
    considered beneficial to both SCDEs and participating
    school districts.

The chapter is intended for those carrying out the institutionali-
zation of inservice programs, those assessing current efforts for insti-
tutionalizing programs already in some stage of progress, or these plan-
ning and implementing new collaborative inservice programs.

The guide can be useful to personnel from Federal grant projects
working within universities or school districts, regular SCDE adminis-
trators and faculty members, and regular school district administration.

$\zeta t_f$

In addition, it can be useful to personnel in state departments of education who are responsible for monitoring inservice teacher education programs, and the missions of colleges and school districts in regard to inservice education.

What is institutionalization? Institutionalization is the last stage or phase in a process whereby innovative programs are planned, designed, and implemented with the goal of assimilation into an institution's mission and program. Institutionalization does not happen abruptly at a later stage in the evolution of an innovative program. Rather, it is most successful when it begins in the formative stages of the innovative program. Institutionalization should be consciously planned and managed through the development and implementation phases of the program.

We have organized our discussion of planned change in terms of four stages or phases: initiation, design, implementation, and maintenance. Within each of these four phases, we present numerous activities that promote the possibility of making an innovative program become a regular part of the institution's mission.

Figure 6.1 contains an overview of the four phases of planned change and the major components of each phase. Activities related to each phase are described in detail in later sections of the guide.

The planned change model proposed in this guide has been developed from studying the collective literature on communication theory and practice, systems analysis techniques, school personnel inservice education developments within states and districts, universities' reflective assessments of their potential roles and involvement in inservice, and experiences of Teacher Corps staff members in initiating innovative inservice programs between universities and affiliated school districts.

A major limitation of proposing such models and guidelines is that they are often interpreted as the only method of guaranteeing successful development institutionalization of inservice innovations. It would be impossible for any SCDE to carry out any prescribed process exactly as it is intended. There are many constraints that make exact replication of any process virtually impossible. Instead, procedural models should be seen as a framework which the SCDE can use to plan prescribed activities in view of local resources and constraints. As reported in Chapter V, the more prescribed activities the institution can

I.    II.    III.    IV.

```
┌───────────┐        ┌────────┐       ┌──────────────────┐            ┌─────────────┐
│ Initiation│ ────►  │ Design │ ────► │  Implementation  │ ────────►  │ Maintenance │
└───────────┘        └────────┘       └──────────────────┘            └─────────────┘
```

Investigate      Define      Obtain
Need,            Broad       Commitment
Potential,       Goals       from
Responsibility   for         Invested
                 Program     Groups for
                             Goals

Prepare          Pilot and         Design Proce-
University       Refine Programs   dures for
Personnel to     to Suit Univer-   Transferring
Implement        sity, School      Resources from
Programs         District          Development to
                                   University,
                                   District Funds

Refine       Analyze Charac-   Design, Adapt   Design
Goal         teristics, Con-   and Refine      Implementation
Statements   straints of       Programs to     Process for
             University and    Suit Goals,     Each Program
             School District   Institutions

Refine        Assess      Refine        Monitor
Resource      Program     Transferred   Transferred
Allocation.   Changes     Programs      Programs
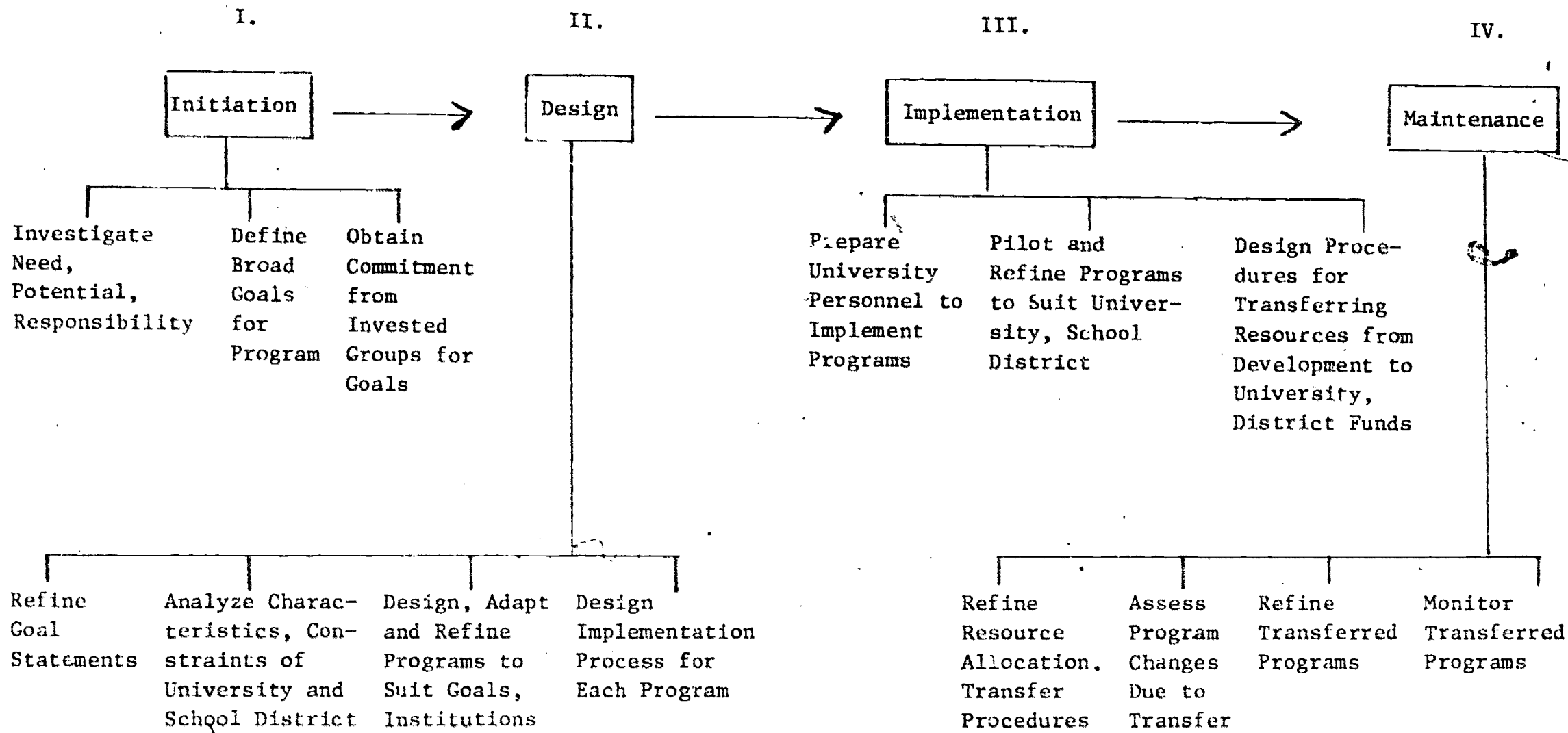Transfer      Due to
Procedures    Transfer

Figure 6.1

An Institutionalization Process

successfully adapt, the higher the potential for institutionalizing the innovative program.

The following sections of the guide contain an outline and de- scription of each of the four phases of the planned change process. For each phase, major activities and decisions are proposed. Finally, a section on renewal describes where new policies, constraints, pro- grams, and personnel enter the process.

## Initiation

In the first phase of the process, SCDEs must investigate their potential for and interest in planning and implementing innovative in- service programs. Figure 6.2 contains a list of activities associated with the initiation phase. The following discussion includes descrip- tions of each of the activities listed in the figure.

Recognize Need. Prior to embarking on the development or adap- tation of an innovative inservice program, colleges should be able to demonstrate a need for the program and describe specific purposes for it. Almost all SCDEs involved in undergraduate and graduate teacher education recognize and promote the development of inservice programs to enable classroom teachers to update their teaching skills, learn new technological techniques, and incorporate new learning principles into their instructional practices. SCDE and school district leaders should be informed about the current status of teaching standards in district classrooms and be able to describe how an inservice program for teachers will improve that teaching status.

SCDE personnel should be able to describe the need for inservice programs and the potential benefits to the SCDE derived from partici- pating in such programs. When a new inservice program will expand the mission of the SCDE, then ways in which the mission is to be expanded should be explored and described. Benefits and constraints resulting from the intended expansion should be elaborated.

Expanded missions usually imply expanded resource requirements. Potential sources of revenue for expanded services should be investi- gated. Persons in leadership roles--such as deans, program chairper- sons, school board members, superintendents, district inservice admini- strators--are responsible for weighing the relative merits of competing programs and allocating existing resources for maintenance of worthy pro- grams and should be informed about and realize the need for the program.

72

1. Recognize a need for a new program to cause the SCDE either to pand its mission or better fulfill an existing mission.

2. Obtain a complete, general description of overall goals for new program and rationale for program development.

3. Obtain a firm commitment from leaders of the SCDE and school district that identified goals are related to the mission of the institutions and that changes or innovations brought about in achieving these goals are desired for long-range institutional development.

4. Secure personnel to manage initiation activities.

5. Conduct an organizational analysis to identify various types of constraints and resource possibilities.

6. Refine the overall goal statement in light of organizational analysis and perform an "enabling goal analysis" to identify various programs needed to bring about the realization of broad inservice program goals.

7. Determine the SCDE's and the school district's responsibility for each enabling goal and the groups within each institution most appropriate for achieving each goal.

8. Identify roles to be played by interacting groups within the SCDE and the school district and build ownership and involvement in the program by these role groups.

9. Obtain consensus from each group that:  (a) the overall goal is indeed in keeping with their long-term goals, (b) the role for which they have been identified is in keeping with their perceptions of their professional responsibilities, (c) they will cooperate in the development and implementation of the new inservice programs, and (d) they will perform duties in keeping with their understood roles and responsibilities.

10. Identify resources needed to fulfill each role by the SCDE and the school district and agree upon which organization is responsible for resources for administration, personnel, facilities, etc.

11. Specify a general plan for the design phase describing the role of each institution and involved role groups within each institution.

12. Secure services of personnel responsible for the management and implementation of the design phase.

Figure 6.2

Activities Related to the Initiation Phase
of the Planned Change Process

73

Description of program goals. Though it is often impossible during early stages of planning new programs to be completely definitive, it is nonetheless important to describe the intended inservice program as thoroughly as possible. This description should include preliminary perceptions of the need for the program, the purposes and goals of the program, and the institutions needed to build and maintain the program. The preliminary statements will go through many stages of refinement during the planning and implementation phases. However, a clear statement of purposes and goals at this point will help solicit the involvement necessary from university, school district, state department, and government organizations.

Obtain commitment. At the very earliest stages of inservice program planning, commitment must be obtained from leaders of participating SCDEs and school districts. Leaders who should become involved as early as possible are those responsible for resource management and allocation, policy development, and institutional planning. In a university, these leaders might include SCDE deans and associate deans responsible for institutional mission of personnel, resources, facilities, policy, and program interpretation. It is mandatory that these persons commit themselves to planning and implementing inservice programs.

Involvement in inservice programs will represent an expansion of mission for most SCDEs. Historically, the mission of SCDEs is bound to undergraduate and graduate instruction related to formal training of educational personnel. These programs are established and funded according to the defined mission of the SCDE. Careful analysis of current mission and proposed expanded mission will determine the positive or negative effect of this expansion.

Administrators and leaders of SCDE programs will invest a degree of energy and resources in new programs directly proportional to their perceived ideas of long-range development plans. If leaders do not view inservice programs for classroom teachers as an immediate goal, then their effort in allocating resources--whether personnel, facilities, or funding--will be minimal. The involvement and commitment of institutional leaders is a mandatory step in developing programs that are to be maintained by those leaders.

Secure personnel and form core planning group. When there is commitment from SCDE leaders to develop innovative inservice programs, it is important to select SCDE personnel who can work on analyzing the

74

$\varsigma\,\prime\,$

broad goal statements for inservice involvement. At this point an
administrative and planning team becomes important. This team must
have expertise in such areas as: administration of programs, re-
sources and personnel; systems analysis to identify the various facets
of the inservice program and implied relationships and responsibili-
ties of interacting groups and institutions for each facet; public re-
lations to work with school district, state department, and other uni-
versity leaders, program planners, implementers, and program consumers;
and assessment and interpretation of information and data for program
planning. This phase of the planned change process could best be
managed by a team of personnel possessing all the skills among them.
They must work together to engineer the best foundation possible for
a new inservice program. Conceptualization of innovative, collabora-
tive programs should not be left to novices with good intentions.

Conduct an organizational analysis. A broad organizational analy-
sis should be concluded at this point to identify political, sociologi-
cal, economic, and bureaucratic constraints associated with the broad
goals identified above. This chapter provides a guide to this general
analysis. Planners will want to consider questions such as:

. What is the potential financial viability of programs
  addressing these goals?

. Why have these goals not been addressed previously by
  the university?

. What organizational issues does the university face
  in striving to develop programs in inservice education?

General answers to questions such as these will be useful in modify-
ing broad goals and identifying staff members to design or approve
the programs.

Perform goal analysis. The broad goals should be refined in
light of the organizational analysis and the involvement of new faculty
or staff members as the planning team. Subgoals related to the overall
or general goal statement should be described. The broad goal of build-
ing an ongoing program of inservice education has many subgoals. Many
of them will relate to roles and responsibilities of the school district,
many will relate to legislative responsibilities for state departments
of education, and many will relate to the university. The best method

75

of determining who will do what in a new inservice program is to de-
cide first what will need to be done. To delineate such subgoals: (a)
determine legislative policy toward spending state, school district,
or university funds for training programs for school personnel; (b)
determine curriculum appropriate for all involved school personnel; and
(c) determine all roles each institution could play in interactions
related to personnel inservice. This analysis should continue until
all desired responsibilities are identified.

Determine institutional responsibilities. Once a thorough analy-
sis of what should be done is complete, it is possible to analyze which
participating institution should be asked to perform which responsibili-
ties. The involvement specified should be closely related to each insti-
tution's mission and to the capabilities of the various personnel and
groups within the institution. If the analysis calls for personnel not
currently available within any of the interacting institutions, one or
more institutions should plan to hire them. This analysis will help
formulate the nature of interinstitutional and intrainstitutional inter-
action necessary to plan and implement a joint inservice program.

Identify various groups' roles. Based upon the work to be per-
formed in developing a new program and upon capabilities of personnel
currently employed within interacting institutions, major responsibili-
ties for specific work can be assigned. There is an important distinc-
tion between major responsibility for designing and completing a task
and direct involvement in a task. To illustrate this point, consider
the skills of personnel responsible for designing curriculum for an in-
novative inservice program. The more compatible group and institutional
roles are with their current aspirations, experience, and capability, the
more likely it is that responsibilities will be accepted and successfully
performed by respective groups and institutions. As discussed in Chap-
ter II, the transfer of an innovation from one role group or person to
another is usually not successful.

Obtain consensus from participants. Major tasks and roles to be
played by personnel in performing those tasks should be verified by
those assuming responsibility. The groups with major responsibility
for a task should be asked whether: (a) they are comfortable with the
task, (b) they think the task is important for them, and (c) they be-
lieve they have the skills to perform the task successfully. In addi-
tion, the supervisors of those responsible should be sampled. For
example, it does no good to determine whether a college professor is
interested in performing several functions in an inservice program if

his or departmental chairperson does not want personnel from the department involved in the program. Similarly, the desired involvement of departmental chairpersons is not effective when deans and other college administrators do not advocate the proposed involvement

A related benefit of obtaining consensus is that all invested groups learn about the inservice program and have the opportunity to voice their opinions about it. These early opinions can be used later to engineer the involvement of the various groups in the planning and implementation process.

Identify needed resources. After determining which institution is responsible for delivery of what services to designate clients and assessing the general benefits to each interacting institution, planners should establish a formula for financial support. They should decide which institution should cover which program expenses on the basis of a justifiable rationale. The rationale will be primitive in the early planning stages of a new inservice program, and it may undergo numerous refinements during the development of the program. However, it will establish the foundation for analyzing where resources for maintaining inservice programs can and should be found. Once it is established whether the SCDE or the school district should be financially responsible for services, then planners can commence an analysis to determine how the responsibilities of each organization can be funded through their ongoing resources. This project is not easy when SCDEs or districts expand their missions to incorporate new programs. Analyzing how a new program can be institutionalized, especially one developed on external, temporary funds, can be a long, difficult task. However, this analysis should be initiated at the outset of program planning.

Plan for design phase. An overall plan for the design phase of the institutionalization process is needed, along with the resources to complete this phase. Among other things, resources will be needed for personnel responsible for designing the inservice program, materials and communication, facilities and resources, and appropriate involvement of consumers of inservice programs. Whether initial planning activities are performed by individuals who are external to the SCDE or regular personnel are relieved from assigned duties using external funds, provision must be made for ongoing design, adaptation, and program refinement activities. Internal funds must be allocated to maintain these functions after the withdrawal of temporary funds.

77

In addition to securing the plan, staff, and resources to begin the design phase of the project, ground rules for design activities should be established. For example, even though university personnel are primarily responsible for designing new programs, consumers of those programs should take part in the design process to ensure the acceptability and effectiveness of the programs. Another ground rule might be that the participating school district will release members of the consumer groups from their regular duties or provide incentive pay for them to participate as requested in planning efforts. School personnel usually resent volunteering their personal time to develop new programs. They also seem to resent release time that causes them to fall behind in what they believe is their main mission, teaching pupils. Thus, ground rules acceptable to the designers, the district, and to the particular consumer group are necessary.

The design phase plan should include a rough calendar of major events. This calendar should coordinate with the regular calendars of the SCDE and the school district, accounting for the time constraints and traditional missions and programs of both institutions.

Secure personnel. Special skills of personnel needed during the design phase of the process should be described at this point. Personnel within each participating institution should be screened for interest in and skills for participating in the program design. If personnel can be selected who are internal to the SCDE and the school district, it will help build staff investment in the program. In addition, the skills which regular personnel gain during the design process will stay with the project rather than being lost when temporary employees leave for another institution. However, several consultants and even some temporary employees may be needed if personnel with required skills cannot be found in either the college or school district. If the role assumed by new personnel is needed in the ongoing program, either regular personnel must be trained to carry on those responsibilities or temporary personnel must be employed by the university or school district for the duration of the inservice program. Hiring new personnel generally implies new resources. If temporary personnel are to remain after temporary funding is discontinued, then resources to maintain new personnel should be planned during the design and implementation phases of the program. Otherwise, new personnel should be viewed as temporary trainers of internally available personnel, and an ongoing, professional development program should be initiated and maintained throughout the development period.

With the basic commitment to design and implement an inservice program complete, and a broad definition of development responsibilities defined, SCDEs can move to the design phase of the model. The initiation phase is completed when the design phase has been planned and the core planning team expanded to include designers of the individual programs.

## Design

The second phase of the institutionalization model, design, includes those activities related to: (a) refining the definition of major goals identified during the initiation phase, (b) analyzing the characteristics and constraints of interacting institutions, (c) analyzing the characteristics and professional goals of various consumer groups in the school district, (d) analyzing the characteristics and skills of those assigned to implement the program, and (e) designing or adapting inservice activities that suit goals and realities of the SCDE and the school district. Figure 6.3 contains a list of major activities associated with the design phase, and the following discussion elaborates on these activities.

University roles in inservice programs. Although the role most often defined for universities in inservice programs is instruction of classroom teachers, there are many other potential roles. The exact definition of roles which the university can play should be negotiated by university and school district personnel, by determining: (a) what the university currently has to offer, (b) what capabilities the university can build, and (c) what the school district needs to maintain efficient performance of all school personnel.

Some of the roles identified may imply a long-term association between the university and the district, while other roles may provide a one-time resource to study a special problem within the district. While the latter relationship may end with the solution of the problem, the university may agree to provide specialists to cope with special district problems on an ongoing basis.

The different roles to be assumed by the SCDE require various levels of commitment from the SCDE and different types of expertise from its personnel. For example, placing program building activities on a continuum demonstrates the need for specialists in different phases of the process.

79

1. Identify various roles that can be assumed by the university in the inservice program. Some examples are:

    Inservice program planning
        and design
    Co-implementor, administrator
    Evaluator, documentor
    Researcher
    Trainer of trainers
    Instructional materials
        developers

    Trouble shooting
    Model building
    Problem solving
    Content expert
        (e.g., reading)
    Process consultant
    Pilot new programs
    Etc.

2. Refine governance plan outlined in initiation phase based upon more explicit role definitions.

3. Design and develop or select materials needed to fulfill each role established in Activity 1 above.

4. Design and develop or select incentives or rewards to encourage SCDE personnel to become involved in the program in order to implement roles defined and designed.

5. Design and develop or select incentives or rewards for school district groups to become involved in identified and developed programs.

6. Design and develop or select program delivery methods and program follow-up activities.

7. Design and develop information, advertising, and communication procedures.

8. Design and develop an evaluation plan for the total program and for selected "indicator" facets of the program.

9. Assess current skills of typical SCDE personnel who may be assigned to implement various agreed upon and developed programs.

10. Design and develop professional training for regular SCDE personnel to ensure their capability to implement inservice programs appropriately for school personnel.

11. Design the implementation phase.

12. Secure the services of SCDE and school district personnel responsible for managing the implementation phase.

Figure 6.3

Activities Related to the Design Phase
of the Planned Change Process

## Program Building Activities

Conceptualization ——> Planning ——> Development ——> Implementation

Evaluation ——> Research ——> Revision ——> Administration

These specialties are usually based upon the faculty member or administrator's major area of training, primary work assignments, future aspirations, and interests. Some personnel specialize in the analysis of social institutions, identifying programs to meet particular institutional needs. However, these specialists in one phase of the program building process may not be interested in carrying out the programs they have identified. To become involved in other areas, they may require motivation and professional development.

University involvement, even in one phase of a development program, may require teams of university personnel to provide the necessary expertise. For example, the design team to develop and refine an instructional program for practicing hearing therapists would require experts in hearing therapy, instruction, and assessment to determine exactly: (a) what duties should be performed by hearing therapists, (b) what skills are needed by practicing hearing therapists to successfully perform those duties, (c) how information and practice can best be provided for therapists given their current schedules and duties, and (d) how effectively new created programs are in helping therapists keep up with advancing techniques in their fields.

Refine governance. Desirable roles identified during the previous activity may not be covered by governance and responsibility plans established during the initiation phase of the inservice program. Understandings, roles, responsibilities, and management functions of the SCDE and school district should be refined at this point to incorporate all roles identified as desirable during the present phase. The governance and responsibility structure should continually be refined to keep up with developments of the new progra. This activity will not be completed as long as the program is in an analysis and growth phase.

Obtain materials. The types of materials the university will need to fulfill its role will vary with the particular responsibility. Personnel

81

selected to design or obtain materials should have expertise in the content area considered. Based upon all the roles suggested in the previous activity, it is clear that a small materials design team cannot be expected to complete all the necessary design and development tasks.

There are many ways to allocate responsibility for materials procurement. One way is to have a small skeleton staff which is familiar with the characteristics of the school district, teachers, and the other school personnel who will be using these materials. This staff could then study the material and other needs of the district. Using this information, they can select and work with experts in a variety of content areas to design or modify materials so that they are compatible with the expectations of the district. As suggested earlier, the materials needed may not always be instructional. The design may call for activities such as the development of a model, the design of an evaluation study, or the interpretation of a school's status on achievement tests. Some material needed can be used many times with different sets of school personnel and different implementors. Other instruction may be bound by personnel, particular situation and time; resources should be invested accordingly. Materials and activities that are not used up in the process are highly desirable for program building. New personnel can bring new talents to add to existing resources of the inservice program, but resources should not be lost when regular personnel leave the program to do other jobs.

Although the design phase is second in the sequence, it does not end when the third phase, program implementation, begins. An ongoing inservice program will be in constant need of new materials or materials that need adaptation. Design activities are continuous through the duration of an inservice program. Personnel involved in management implementation of the design phase of the program will continue to design new materials while their first products are being implemented.

Design incentives for university personnel. Benefits and constraints affecting the involvement of regular SCDE faculty members and administrators should be identified and analyzed. A good place to begin this analysis is with the university's current mission, and the traditional responsibilities of personnel related to the mission. How does involvement in the inservice program help or hinder personnel in fulfilling their responsibilities? Given adequate motivation, many

82

people are willing to accept a change in responsibilities. These motivating factors may include an opportunity to: (a) do new and different tasks, (b) solve intellectually stimulating probl as, (c) work toward promotion in the current system. (d) augment salaries, or (e) travel.

The incentive question should be carefully analyzed and a viable system of incentives designed. Since reward for some is punishment for others, the incentive scheme for participating in the inservice program should be flexible. Promotional opportunities are the major incentives for achievement in the traditional system. If the inservice program is outside regular duties of the staff and does not include promotional opportunities, designing a viable incentive program becomes a more challenging task.

Care must be taken not to offer incentives for inservice program development that cannot be maintained by the institution when it becomes financially responsible for the program. If temporary, high-class incentives are provided using temporary funds, then staff members will expect the same type of reward when the institution becomes the sole supporter.

Incentives should directly correspond to the tasks to be performed by SCDE faculty and administrators. If a member's involvement in the program is for a week's activity related to a special program or materials, then the reward should account for that week. If a faculty member is to teach school personnel over a long period of time, the reward should encourage that degree of involvement.

Design incentives for consumer groups. It is also crucial to identify incentives for school personnel to ensure their active participation in an inservice program. Some inservice programs have wrongly assumed that     ool personnel will top off a busy school day with inservice activities because of an intense, burning desire to learn to perform their jobs better. This type of sacrifice tends to wear off with the novelty of the inservice program.

The purpose for teachers or other school personnel to participate in an inservice program should serve as a key to identifying appropriate incentives. Those states with the strongest participation from personnel are those who have made participation in continuing education programs mandatory for keeping a job in the district or for being promoted to the next pay scale. Yet even these heavy-handed incentives are not

totally successful. Time must be allocated for teachers to partici-
pate in inservice programs, and effective instruction must be avail-
able for sessions. It is very difficult to provide effective instruc-
tion to a group of adults who resent the instruction, for whatever com-
bination of reasons.

The problem of designing adequate incentives for teacher partici-
pation will require a great deal of creative thought. The final solu-
tion must take into account the real reason for attendance by school
personnel, present a viable way for personnel to attend, provide worth-
while activities, and offer a sense of accomplishment for having parti-
cipated. Educational personnel must find practical benefits in the in-
centives offered.

It is also important at the district level not to provide a pack-
age of incentives for school personnel that the district cannot afford
to maintain after temporary, developmental funds are terminated. Extrav-
agant incentives will establish a norm, and those benefits will become.
expected. Removal of the rewards will cause disruptions in the program
and hamper the transition from temporary resources to ongoing school dis-
trict resources.

Program delivery and follow-up. Methods of delivering services
to school districts must be designed. These methods will depend on the
resources and capabilities of both the school districts to be served and
the university providing the service. For example, some instruction can
be provided through video tapes produced and tested at the university,
while other instruction may be sent through on-line computer terminals.
The use of interactive instructional programs for inservice education
is becoming a reality. Some program delivery may require that univer-
sity personnel travel to an off-campus location--either a school or
central district site. The method or combinations of methods planned
will depend upon the role to be played by university personnel, the
repeated demand for a particular type of service, the skills of the de-
sign and implementation personnel, and the technical resources and
facilities of both the university and the school district.

Follow-up to determine whether school personnel are able to in-
-corporate new techniques and ideas into their jobs is a very important
step in inservice delivery. Inservice designs must not only account
for the presentation and practice of new ideas, but also ensure an em-
ployee's ability to implement the ideas on the job. During the design

phase, planners must determine how university personnel can best deliver the follow-up stage of the instruction.

Advertising, information, communication. New programs are often received by implementers and consumers with a degree of skepticism. Historically, those to be involved have received incomplete information about a new program and its potential benefits for them. To avoid negative advertising, planners should determine the information to be communicated and the best mode of communication. Information should be available that relates to: (a) the content and purposes of the overall program; (b) the current interests of various university and school personnel groups; (c) incentives for the various personnel within the university and school district; and (d) logistics of the program, such as when, where, and how inservice activities will occur.

Information systems and communication modes should be designed to provide dialogue. An office or group with recognized credibility should be available to answer questions from university and district personnel, providing accurate, up-to-date information about the new inservice program.

Develop evaluation plan. An overall evaluation plan is necessary to monitor and refine a developing program. The team designing the evaluation should be small and composed of regular university personnel if possible. If no SCDE personnel have the skills to design such a plan, a consultant should be hired to train regular university personnel to design and manage the plan.

In addition to the overall evaluation design, materials must be developed to train inservice implementors to collect data relevant to each part of the program. Program implementors must learn what data to collect and how to collect, summarize, and report this information, so that each activity in the new program can be monitored and refined until it is successful.

It is the role of the total program evaluation team to collect information from all facets of the new program and to synthesize and interpret these data. This activity should be included in the overall evaluation design, and those assigned this responsibility should be already prepared or trained to accomplish it.

Assess skills and motivations of university personnel. Prior to selecting university personnel to implement inservice programs with

school districts, it is important to acquire information about the interests, motivations, and skills of university personnel. One purpose is to determine how to advertise the jobs that will be available through the inservice program, another is to determine whether personnel with the necessary skills and motivations are currently available within the university. If they are not, a staff development plan should be devised to build the capability for program delivery. If specialists are required, they should be hired to train existing staff members to assume new roles in the inservice program.

Develop professional training for university personnel. Various types of instruction that may be needed include orientation programs to familiarize the faculty with purposes for the new program and to motivate them to become involved in the program. Orientation also serves to familiarize existing faculty members with characteristics of educational personnel and students in the school districts to be served.

Orientation activities can provide staff members with information about expectations for their new role. Information related to new responsibilities, logistics of the new job, opportunities realized through participation, and rewards for participating should be included.

A second type of instruction should provide faculty members with skills they will need to be successful in their new role. Some examples of these skills include: (a) interaction with adult learners, (b) time management skills, (c) assessing learning and assigning progress reports, and (d) teacher accountability using assessment strategies other than those used in the traditional university credit program. Other skills might include learning how to use video tape equipment or other instructional delivery techniques.

New roles for university faculty will require new understanding and skills. These must be projected, planned, and facilitated prior to selecting faculty to assume new roles.

Design implementation phase. Planners should develop an overall, rough design for the implementation phase of the program. The design should account for personnel responsible for the implementation phase, procedures, facilities, sequence of activities, calendars and schedules, and school district personnel to be served. It should specify responsibilities for each interacting institution. Programs should not be

86

implemented that are more elaborate than the district needs or can afford to maintain using their own and university resources.

Secure implementation personnel. Personnel are needed to administer the implementation process and to implement the programs with school district personnel. The administrative role includes: (a) communication with invested groups, (b) monitoring plans, (c) evaluating programs, and (d) managing implementation personnel. Anticipated role and requisite skills should form the criteria for advertising the positions and for making final selections among applicants. University personnel should know what is expected of them at the outset of their involvement in the program, since their responsibilities in the inservice program may differ from their traditional university role. In addition, some personnel must decide whether involvement in the program can assist in their promotion to permanent university staff positions.

Available positions for program implementors should be advertised within the institution, and applications should be accepted for the position. Once implementation personnel are hired, professional development needs can be assessed.

Consultants and temporary personnel needed should be sought and hired at this time as well. One good source for personnel may be the school district for which inservice programs are being planned. Any necessary training for personnel from school districts should be identified and developed. At the conclusion of design activities, staff should begin planning the implementation phase.

## Implementation

The third phase of the model, implementation, includes those activities related to preparing college personnel to implement inservice programs, pilot new programs, and refine both programs and procedures until they successfully meet the needs of school groups. The implementation process also includes refining the inservice program until it is compatible with the university's capability to offer the service on an ongoing basis using university personnel and resources. Figure 6.4 lists related activities.

1. Review the implementation design and refine it for each part of the program.

2. Advertise activities that will soon be forthcoming.

3. Train selected SCDE and school personnel for the implementation process.

4. Try out: (a) newly created programs, with (b) newly hired implementators, (c) in new situations, with (d) a small sample of the intended consumer audience.

5. Analyze and refine any part of the program, process, or personnel indicated during pilot activities.

6. Try out revised program with a broader sample of the school personnel audience and revise the programs as indicated.

7. Advertise the availability of effective inservice programs for intended school audiences and provide services as requested or designed.

8. Study and refine the institutional building blocks design for maintenance of successful inservice programs using SCDE and school district resources.

Figure 6.4

Activities Related to the Implementation Phase
of the Planned Change Process

Refine implementation design. The implementation plan brought forward from the design phase should be reviewed in light of: (a) any new developments in the university and school district agreements, (b) skills and motivations of personnel hired to implement parts of the program, and (c) facilities, existing materials, and programs. Changes that appear necessary should be made.

Advertise forthcoming inservice programs. School district personnel should be made aware of forthcoming inservice programs. They will need to plan their activities and schedules in order to participate in either mandatory or voluntary inservice programs. Incentives for participating in the program should be included in the information provided. School district groups will want to know about all the programs that will be available for them, where inservice activities will take place, and how they will be able to attend inservice sessions.

They will also want to know why they should attend inservice sessions. If their merit pay depends upon attending a specified number of inservice activities throughout the year, they should know it. If their promotion or recertification depends upon whether they participate, this requirement should be clearly stated. School personnel should be told the criteria for successful completion of inservice activities, whether inservice credit is granted simply for attendance or is dependent on passing posttests or successfully using new skills on the job. School district personnel need as much information as possible to decide their level of investment in the new program.

How can information about the program be circulated among school district personnel? There are various combinations of communication methods. The methods most appropriate for the particular instruction, activity, and school district groups should be used. It is important to have a question-answering service available for district personnel who are involved in planning new activities for themselves. The source of accurate information about the new inservice program should be operational and advertised. This information service should also have credibility with school groups.

Train selected personnel. Professional development activities for college personnel selected for the program should begin. Personnel involved in implementing inservice programs in schools should know about orientation information, skills needed to implement the program, logistics, and procedures required for the part of the inservice program

each is implementing. Personnel should become familiar with implementation procedures. They should know they will be examining programs and revising instruction, procedures, and logistics as necessary for them. Implementors should also be trained in evaluation and documentation procedures designed for their particular part of the inservice program and for the overall program.

Try out programs, personnel, logistics, and consumer groups. New programs should be assessed to determine whether: (a) they are at the appropriate level of sophistication for school groups, (b) time allotted for learning is appropriate, (c) participants find them effective and interesting, and (d) participants are able to use the skills and information in their regular work tasks. Parts of the new programs found to be ineffective should be analyzed and refined for the second stage of pilot testing.

New personnel should be assessed to determine whether they are successful as implementors of inservice activities with school district personnel. Information related to implementors' perceived success, interest, and desire to continue with the program should be gathered, and information about the success of the staff in maintaining schedules and collecting evaluative program data should be assessed. School district personnel should be asked whether they can work well with university personnel. All problems encountered with new personnel should be studied; some might require more personnel training, better logistics and support, or better incentives. However, instructors who believe they would be happer not participating in the program may need to be replaced. All problems resulting from new university personnel in the inservice program should be resolved prior to the second stage of pilot testing.

Data should also be collected related to the facilities, schedule, time required, and resources allocated to each inservice activity. Problems related to all of these or any other logistical or procedural questions should be studied and resolved.

School district personnel participating in the inservice activity should be polled on their interest in the activities, satisfaction with the schedule, and the appropriateness of the incentives. If attendance proved lower than anticipated, school personnel may be able to explain the problem. Data should be synthesized and the program adjusted in an attempt to remove situations believed to cause problems.

90

Analyze and refine the program. Data from all sections of the new program should be collected so that an overall picture of the success and operation of the inservice program can be studied. Problems with university personnel, program managers from school districts, logistics, role efinitions and related activities, and university management should be studied and solutions described and implemented.

Try out revised programs. Revised programs and procedures should undergo a second pilot stage to ensure that adjustments in programs have accomplished desired results. Inservice activities should also be analyzed to determine whether changes in programs created new problems that did not exist in the original version of the activity. Persistent problems should be studied and resolved. At the conclusion of the second pilot stage, the SCDE should have some effective inservice programs and personnel who are experienced in implementing them with school personnel.

Advertise availability of effective program. Effective programs should enter the third stage of the implementation process. At this stage, effective inservice programs are available for broad use in the district as requested and scheduled. Information about successful programs should be circulated to all personnel within the district who may need to improve their job performance.

The demand for each activity in the inservice program should be established and a schedule for providing activities defined. For example, some types of activities, provided on a regular basis for large groups of people, will remain in continuous demand. Activities such as these might require several SCDE staff members to provide needed interaction and follow-up. Another type of activity might be provided only as needed in the district. Low-demand activities, although filling an important need, must be maintained in a manner that is cost effective for the SCDE.

Redefine design for transfer of resources to the institution. The original design for transferring financial responsibility for inservice programs from temporary to permanent resources should be studied. There are two basic decisions to be made at this point. First, does the university want to maintain its involvement in the inservice programs of local school districts? And if the answer is yes, which of the roles assumed and which of the services provided does the SCDE want to maintain?

Once the SCDE has decided what services are to be continued, the next step is to assess the resources necessary to maintain this level of effort. The type of services to be offered will indicate the level of continued funding that will be required.

Resources for maintaining successful inservice programs might come from the state government as an addition to basic funding for all university programs. Since money is generally provided to SCDEs on the basis of the number of full-time students, new money might be appropriated for the number of inservice teachers served during a year.

Another source of regular funding might be the school district served. Universities agree to provide whatever services the district can afford to subsidize.

Another strategy might require that school personnel pay some portion of the cost of their inservice training, just as they did for their undergraduate education. Some districts might decide that funding for personnel inservice is a joint financial responsibility of the school district and the employee.

Regardless of the final scheme designed to cover the expenses of an inservice program, it is imperative that the SCDE have a stable amount of money available for its inservice program involvement. Programs of excellence require stable funding. As long as resources for inservice activities remain unstable and on a temporary grant basis, the university cannot afford to commit too many of its available resources and personnel to maintain inservice programs. A dependable source of funding must be found to support the expansion of the SCDE's mission into the business of providing inservice programs for school district personnel.

Once stable resources are identified, a design and a schedule can be made for transferring the program from temporary developmental funds to more permanent institutional funds. This rough plan and schedule should be used during the maintenance phase of the institutional process.

## Maintenance

The last phase of the model, maintenance, includes those activities needed to transfer functional inservice programs from temporary

developmental fund sources to regular university and school district resources. This phase includes refining designs to maintain programs, studying changes in programs caused by changes in the type and amount of resources available through the university and district, and refining the program so that required changes do not alter its integrity and effectiveness. These activities are summarized in Figure 6.5.

Reassess commitment to the program. SCDE roles established during the developmental phases of the inservice program should be reviewed and the value of each role in meeting the needs of the SCDE and the school district described. Those activities most beneficial to both institutions should be named priorities and scheduled as the first transfers to school district or university resources. The plan for the amount, types, and sources of funding to support specific continuing programs should be defined. Trial contracts and plans for services should be developed.

Select program components to become part of university mission and resources. University and school district leaders should study information about the inservice program currently in operation. They must make final decisions concerning whether the two institutions want to continue their association. Once both institutions agree to continue their association, the real issue becomes how best to transfer programs to established resources.

Analyze and refine resource transfer plan. When inservice activities are assessed and priorities established, it is possible to concentrate on the designs for transferring priority inservice programs to specific university or school district funding sources. The process of transferring to other resources should probably be done in stages, just as the implementation of new programs was accomplished gradually. Original designs for transferring resources may need to be modified to meet university, school district, and state funding laws. Procedures may also need to be modified to meet university and school district funding policies. The initial design for transferring resources will probably change as the process of transferring resources is undertaken.

Exact budgets and amounts of funds for specific programs should be established. The total amount of resources available and the stability of the money earmarked should be defined. The legalities of providing identified resources in defined amounts should be agreed upon and tested with university and school district financial officers.

93

195

1. Determine roles in inservice assessment by the univ. .sity that are desirable to maintain on existing or forthcoming university resources.

2. Reassess university and school district commitment to the inservice program.

3. Analyze and refine the design for transferring selected parts of the program to university funding sources..

4. Analyze modifications in the program required when the inservice program switches to identified university and district resources.

5. Refine designs for maintaining the prog am so that changes do not hamper program operation.

6. Remind appropriate authorities of intent to incorporate the inservice program into the university mission and the design for doing so.

7. Refine the design and program until it is acceptable to univerwith policy, budget, and mission monitors.

8. Transfer parts of the program onto university resources as possible and appropriate.

9. Observe and assess the inservice changes in programs which result from a transfer of resources and refine the program or resources as needed to maintain a desirable program.

Figure 6.5

Activities Related to the Maintenance Phase
of the Planned Change Process

Analyze program changes due to resource changes. In the best
of all worlds, inservice programs will be continued at an ideal or re-
quested funding level. Realistically, financing of the inservice pro-
grams at the same level of operation may not be possible. New programs
may have to compete with existing programs for SCDE and district re-
sources. If funding levels drop or become unstable, the program will
reflect this condition. Changes in the program due to decreased fund-
ing should be planned, not haphazard. If only limited resources are
available, only priority programs should be continued. Any modifica-
tions in continued programs should be defined, and plans should be made
for assessing the effects of these modifications on program quality.
Some program areas which should receive particular attention include
incentive plans for college and district personnel, facilities and logis-
tics for the program, and time and personnel available to accomplish re-
quired tasks.

Refine design for resources transfer. Problems resulting from
the transfer of resources should be described to institutional leaders
responsible for resources procurement and allocation. Funding strate-
gies or parts of the inservice program may have to be changed until
solutions are found. The fewer the adjustments necessary in either
the program or the funding patterns the university or district, the
smoother the assimilation of the inservice program into institutional
missions.

Arrange resources transfer with university and school district
financial officers. The design and schedule for transferring inservice
programs to university and school district funding sources should be
presented to personnel within each institution who are responsible for
managing the budgets. These personnel will delineate the exact proce-
dures required to make the resource transfers, considering budgeting
procedures, personnel rules and procedures, legal programs for exist-
ing resources, rules for securing new resources, and time and proce-
dures requirements for making the final transfer. All existing poli-
cies and requirements should be studied for potential problems in
transferring the inservice program to university and school district
resources.

Refine design for transfer of resources. The transfer design
should be refined to accommodate university and school district poli-
cies regarding specific services to be provided to school districts by

95

197

university personnel. The exact plan for accomplishing the transfer of specified programs should be described and the schedule for accomplishing the transfer should be set.

Transfer the inservice program to university and school district resources. The negotiations and necessary paper work to make the resources transfer should be initiated. Final arrangements and roles to be played by each institution should be described and agreed upon by leaders of both institutions. Transfer of resources should occur as planned.

Evaluate the quality of the program maintained by the district and university. During normal operations of the inservice program, the quality of the program should be monitored. Curriculum and activities provided should meet the needs of the school district, and the university should be accountable for the quality of the inservice program it provides. The program will be continually developed and refined for many years, adding new programs to keep up with developments in inservice education. Sections of the program no longer needed will be discontinued to accommodate these modifications.

Renewal

Once programs have been successfully implemented, it is necessary to design methods to keep them evolving and strong. The design must specify how new policies and legislation will be incorporated into the program, how new roles and materials will be assimilated, and how new personnel will be oriented and trained to work successfully in the program.

Figure 6.6 contains diagrams where each of these three changes can be incorporated into the institutionalization design.

New legislation and policies. Just as the original program was planned, new legislation, policies, and missions for the inservice program must begin at the earliest planning stages (Initiation Phase). Leaders from participating institutions must agree that any new mission will take the SCDE in directions it wants to go or is required to go. A broad statement of agreement should be forthcoming and agreed upon by all invested groups. By beginning at this earliest stage, new programs have the benefit of developing in ways agreed upon by those responsible for
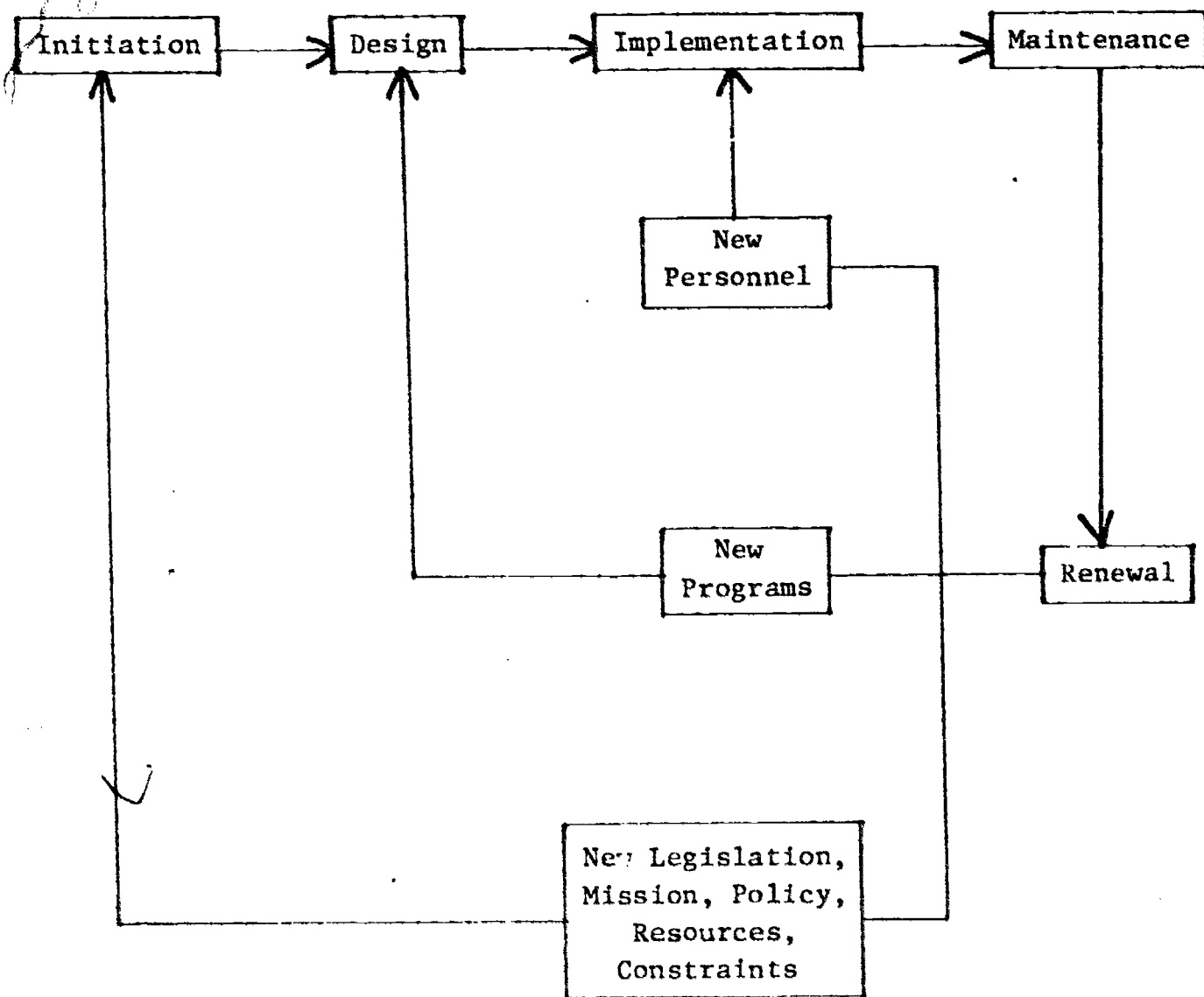
96

Figure 6.6

Renewal Process for Maintaining the Inservice Program

institutional policy and guidance. Careful analysis of the scope and
implications of new programs can be undertaken and resources allocated
for the appropriate development of new activities.

New programs. Today there is a proliferation of instruction
and services intended for the inservice education market. There are
many organizations besides schools, colleges, and departments of educa-
tion providing programs to school districts. Most of these programs
are intended to help the district plan and implement management and
instructional programs for pupils of the district. Prior to incorporat-
ing new roles and inservice activities into the SCDE's inservice pro-
gram, the activities should enter the inservice system at the Design
Phase. During this phase, the value of the materials or programs can
be studied and assessed. Many decisions should be made before a new
program becomes a regular part of the established inservice program,
including whether: (a) the instruction or service is accurate in con-
tent and procedure; (b) the program meets some established need; (c)
the program is at the appropriate level of sophistication for district
personnel; (d) the program can be divided to fit the established inser-
vice format and calendar; (e) university personnel have the skills re-
quired to implement the program; and (f) internal personnel can ac-
quire the necessary skills. There are many other types of questions
that should be asked about new programs--many related to the nature of
the program itself.

Once adequate information about new programs is obtained, plans
should be made to make the program compatible with the operation of the
inservice program and the needs of the school district. Using these
plans, desirable programs can be adapted to fit the needs of both the
consumers of the program in the school district and those who must im-
plement it in the university.

New personnel. Most programs have a natural rate of personnel
attrition. An inservice program will be no exception. New personnel
entering the program should enter at the Implementation Phase. They
should undergo orientation training and obtain any skills they need to
work successfully in the ongoing program. New personnel should begin
by trial and revision of activities to which they are assigned until
they are successful in implementing the activity with most members of
the intended school group. Instant success will not be forthcoming
from new employees any sooner than it was with original employees of
the program. During this adjustment period, new employees should be
monitored and supported.

In summary, inservice programs will more likely be effectively implemented and institutionalized when carefully planned and developed by cooperating universities and school districts. This monograph has provided an analysis of organizational constraints, supported by research, and a guide for carrying out the planning, implementation, and institutionalization of effective inservice programs.

# REFERENCES

Bergquist, W.H. Relationship of collegiate professional development and teacher education. _Journal of Teacher Education_, May-June, 1978, 29(3), 18-24.

Birdsall, L., Honig, W., & Marsh, D.D. _Inservice education discussion guide_. Los Angeles: The California Network for Staff Development.

Centra, J.A. Faculty development in higher education. _Teachers College Record_, September, 1978, 80(1), 188-201.

Corwin, R.G. _Education in crisis_. New York: John Wiley and Sons, Inc., 1974.

Corwin, R.G. _Reform and organizational survival: The Teacher Corps as an instrument of educational change_. New York: John Wiley and Sons, Inc., 1973.

Dalin, P., & McLaughlin, M.W. Strategies for innovation in higher education. In N. Entwhistle (Ed.), _Strategies for research and development in higher education_. Amsterdam: Swets & Zeitlinger, 1976.

Denemark, G.W. Challenging traditional views of teaching and teacher education. _Journal of Teacher Education_, March-April 1977, 28(2), 6-8.

Edelfelt, R.A. _Inservice education: criteria for and examples of local programs_. Bellingham, Washington: Western Washington State College, 1977.

Edelfelt, R.A. The school of education and inservice education. _Journal of Teacher Education_, March-April 1977, 28(2), 10-14.

Freiberg, H.J., Townsend, K., & Ashley, I. _Field based clinical inservice education_. Houston, Texas: Eleventh Cycle Teacher Corps, University of Houston. Report presented at the National Council of States on Inservice Education Conference, November 1978.

Gideonse, H. Effects of demography, guest editorial, _Journal of Teacher Education_, May-June, 1978, 29(3), 2.

100

Hall, G.E., & Loucks, S.F.  Teacher concerns as a basis for facili-
    tating and personalizing staff development.  Teachers College
    Record, September 1978, 80(1), 36-53.

Howey, K., & Joyce, B.  A data base for future directions in inservice
    education.  Theory into Practice, June 1978, 17, 206-211.

Joyce, B.R., Bush, R.N., Marsh, D.D. and McKibbin, M.  The California
    Staff Development Study.  Palo Alto, CA:  Booksend Laboratory, 1979.

Joyce, B.R., et al.  Preservice teacher education.  Report of a Survey
    of the Heads of Education Units, Faculty and Students in United
    States Higher Education Institutions which Prepare Teachers.  Palo
    Alto, CA.:  Center for Educational Research at Stanford, 1977.

Joyce, B., & Showers, B.  Training Ourselves:  What We Have Learned
    About Our Ability to Learn.  Washington, D.C.:  ASCD, 1979.

Joyce, B.R., & Showers, B.  The message of research.  Treshhold. 5(e),
    8-16, also in B.R. Joyce and B. Showers, Teaching ourselves to teach,
    Washington, D.C.:  ASCD, forthcoming.

Kersh, B. Y.  Faculty development for inservice education in the schools.
    Washington, D.C.:  American Association of Colleges for Teacher Educa-
    tion, September 1978.

Kaplan, A.  A scholar in residence views his American experience.  Univer-
    sity of Southern California Chronicle, May 1978, p. 5.

Lawrence, G., and others.  Patterns of effective inservice education:  A
    state of the art summary of research on materials and procedures for
    changing teacher behavior in inservice education.  Report prepared
    for the State of Florida, Department of Education, December 1974.

Mathis, B.C.  The teaching scholar--An old model in a new context.  Journal
    of Teacher Education, May-June 1978, 29(3), 9-13.

McLaughlin, M.W., & Marsh, D.D.  Staff development and school change.
    Teachers College Record, September 1978, 80, 69-94.

Sarason, S.B.  The culture of the school and the problem of change.  Bos-
    ton:  Allyn and Bacon, Inc., 1971.

## ACKNOWLEDGMENTS