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ABSTRACT

The United States Congress has recently enacted federal education legislation such as Goals 2000 that promotes unprecedented levels of comprehensive planning and service integration of state and local levels. In preparation for such federal initiatives, the Arizona Department of Education (ADE) contracted with the Morrison Institute for Public Policy at Arizona State University to analyze state issues relevant to comprehensive service delivery, especially as it relates to Arizona's at-risk population. This report discusses: (1) state level technical assistance options to support Arizona schools in delivering comprehensive services and (2) implications for state policymakers. Data were obtained through interviews with ADE personnel, a literature review, a statewide survey of Arizona principals, a survey of other states, and a survey of identified at-risk sites. The introduction describes the purpose and background of Arizona's Comprehensive At-Risk Education (CARE) Project. The first section discusses national and Arizona practitioner-based frameworks for education reform. The second section reviews research on the state role in education reform. The third section outlines Arizona's status in supporting comprehensive services and further actions to be taken. The integration of at-risk programs in a context of schoolwide improvement is discussed in the fourth section. It is recommended that: (1) Arizona move away from "at-risk" programs to more holistic school improvement, and (2) the state consider granting sites that receive at-risk funds greater flexibility in exchange for results-oriented accountability. Two tables and eight figures are included. Appendices contain information on teacher institutes in three states, a summary of ADE interview responses, a copy of the at-risk site questionnaire, and a side-by-side comparison of program applications. (LMI)

STATE STRATEGIES

TO SUPPORT COMPREHENSIVE SERVICES IN ARIZONA SCHOOLS

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TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

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INTRODUCTION

THE COMPREHENSIVE AT-RISK EDUCATION (CARE) PROJECT—PURPOSE AND BACKGROUND

The U.S. Congress has recently enacted federal education legislation such as *Goals 2000* that promotes unprecedented levels of comprehensive planning and service integration at state and local levels. The congressional reauthorization of the Elementary and Secondary Education Act (ESEA) of 1965 further advances the goals of service integration, especially for disadvantaged populations. In preparation for such federal initiatives, the Arizona Department of Education (ADE) contracted with Morrison Institute for Public Policy, School of Public Affairs, Arizona State University, to study and analyze state issues relevant to comprehensive service delivery—especially as it relates to Arizona's at-risk population.

Morrison Institute was well-positioned to conduct the present study having completed, on behalf of ADE, a longitudinal evaluation of 55 public school district programs for at-risk youth. The Arizona At-Risk Pilot Project evaluation study was established in 1988 by Arizona House Bill 2217 and continued through spring 1992. It was designed to: 1) determine the impact of various strategies on targeted at-risk students, 2) develop replicable model components for at-risk youth, and 3) outline policy issues and options resulting from the study to ADE and the Arizona legislature.

In fulfillment of these goals, Morrison Institute produced three annual research and policy reports as well as two books on model components. The final research and policy reports, *Powerful Stories, Positive Results*, outline 11 recommendations for restructuring at-risk education in Arizona. *Promising Practices for At-Risk Youth: Blueprints for Success* are how-to books for practitioners wishing to replicate programs that demonstrated progress toward improving at-risk student achievement and self-esteem, parent involvement, and staff expertise in working with at-risk youngsters.[1]

The concept of comprehensive services was a recurring theme throughout Morrison Institute's research on the Arizona At-Risk Pilot Project. Discussions of "what works" noted that programs deemed more effective had better coordinated and consolidated planning, implementation, and evaluation efforts. And, policy reports recommended the expansion of such coordination and consolidation efforts at both local and state levels.

State legislation has periodically revisited the need for comprehensive planning and service delivery. For example, one bill proposed for the past several years would have required a school applying for (projected new) state at-risk formula funds to develop a comprehensive plan outlining the delivery of services grounded in research. This bill also specified that ADE provide technical assistance on at-risk issues, as needed, and utilize successful at-risk pilot programs as demonstration sites for "what works."

Although such efforts have not yet become law, it is likely that the issues will resurface as new state and federal initiatives are presented. In an effort to respond proactively to such legislative proposals, the present study was designed to accomplish two goals:

- Clarify the components of a comprehensive plan for delivering research-based services in order to provide guidance for schools and districts (should plans become a requirement to apply for state and/or federal at-risk funding); and

- Recommend a course of action to ADE regarding the provision of technical assistance related to at-risk issues, including how to best utilize successful at-risk pilot sites as demonstration sites for "what works."

Regarding this second goal, questions of interest to ADE were: What is the best way to proceed with the administration of the state's At-Risk Project, given current federal and state trends in education reform? How can the state best support these projects through technical assistance? How can the state best utilize successful pilot project sites as true demonstration sites?

As the project evolved, it seemed clear that these goals could best be met through three separate, but related, reports. One report, *Comprehensive Services in Arizona Schools: A Research and Planning Primer*, is intended to meet the goal of clarifying a framework for comprehensive service delivery. It provides the rationale for such service delivery, summarizes literature on research-based practices, uses case studies to illustrate district approaches to comprehensive service delivery, and offers guidelines for developing a comprehensive plan.

A second report, *Keeping Up With Reform: Comprehensive Services in Arizona Schools—A Survey of Arizona Principals*, documents the results of a survey conducted with Arizona public school principals. Survey results indicate schools' needs and preferences pertaining to technical assistance in relation to comprehensive service delivery.

This report, *State Strategies to Support Comprehensive Services in Arizona Schools*, deals with state-level technical assistance and other activities pertinent to at-risk issues in the current context of educational reform. Specifically, the report discusses state options to support Arizona schools in delivering comprehensive services and implications for Arizona policymakers.

Morrison Institute researchers employed several means to formulate state options for consideration by ADE. Current trends in education reform were identified in the literature and by monitoring federal and state legislation. The "fit" of "at-risk" education in Arizona was examined in relation to these reform initiatives. Focusing on technical assistance and related issues at the state level, researchers examined literature, interviewed a sample of ADE personnel, surveyed Arizona principals statewide, and gathered information from other states. The feasibility of establishing a statewide "at-risk" clearinghouse was investigated. Finally, at-risk sites profiled in the Morrison Institute publications *Promising Practices for At-Risk Youth: Blueprints for Success* were surveyed regarding potential roles as partners in providing technical assistance.

State issues for dealing with reform are diverse and complex, intertwined with both local and national dialogue on how one "best" utilizes limited, targeted financial resources in the context of schoolwide improvement. There are no easy or clear-cut answers on what "should" be done. Nevertheless, this report offers suggestions for the future that build on what is known, incorporating the best current thinking about school improvement.

FRAMEWORKS FOR EDUCATION REFORM

A NATIONAL FRAMEWORK FOR EDUCATION REFORM

Current efforts to reform education are driven by the dual premise that schools need to improve and that state support systems need to better undergird local improvement efforts. Three major concepts are interwoven throughout recent initiatives in support of this premise. These concepts relate to comprehensive, integrated services; results-oriented accountability systems; and regulatory flexibility.

Comprehensive, Integrated Services

Recent reform initiatives adopt the position that school improvement efforts need to be both comprehensive and integrated (i.e., school and community efforts to assist children and families need to be coordinated and aligned). This implies changes in the way educational and support services are delivered at local, state, and federal levels. Such changes are at the heart of what is meant by ***systemic reform***.

Goals 2000: Educate America Act (Public Law 103-227) represents the most recent federal initiative to promote systemic change. *Goals 2000* is the Clinton administration's version of a national vision for American education first put forth as *America 2000: An Education Strategy* under the Bush administration. *Goals 2000* sets forth eight national education goals as enumerated in Figure 1.

Goals 2000 is intended to provide a national framework for "coherent, nationwide, systemic education reform." The Act promotes high standards of learning for ***all*** children. In this context, answering how to best deal with "at-risk" issues means answering how to best deal with school improvement as a whole.

Figure 1

Goals 2000

1. All children in America will start school ready to learn.
2. The high school graduation rate will increase to at least 90 percent.
3. All students will leave grades four, eight, and twelve having demonstrated competency over challenging subject matter including English, mathematics, science, foreign languages, civics and government, arts, history, and geography, and every school in America will ensure that all students learn to use their minds well, so they may be prepared for responsible citizenship, further learning, and productive employment in our modern economy.
4. The Nation's teaching force will have access to programs for the continued improvement of their professional skills and the opportunity to acquire the knowledge and skills needed to instruct and prepare all American students for the next century.
5. U.S. students will be first in the world in science and mathematics achievement.
6. Every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and responsibilities of citizenship.
7. Every school in America will be free of drugs and violence and will offer a disciplined environment conducive to learning.
8. Every school and home will engage in partnerships that will increase parental involvement and participation in promoting the social, emotional, and academic growth of children.

Goals 1-3 and 5-7 preserve the essence of goal statements originally put forth as "America 2000: An Education Strategy." New goals (4 and 8) emphasize teacher education and professional development, and school and home partnerships.

Goals 2000 recognizes that there are existing inequities among schools in their capacity to provide equal opportunities for learning. In part to help build capacity, the Act promotes multiple and diverse school-community partnerships. For example, among the provisions outlined in the Act, *Goals 2000* requires that state and local education systemic improvement efforts *must*:

> incorporate strategies for providing all students and families with coordinated access to appropriate social services, health care, nutrition, and early childhood education, and child care to remove preventable barriers to learning and enhance school readiness for all students; and, provide all students with effective mechanisms and appropriate paths to the work force as well as to higher education [Public Law 103—227, Title III, Sec. 301 (7) and (9)].

Coordinating services through partnerships is intended to mount what constitutes a unified attack on the root causes of school failure—most notably, poverty. Moreover, the intent is to solicit and consolidate support in meeting students' diverse needs and to reduce fragmentation and the duplication of services which results in an inefficient use of limited financial and human resources.

The vision outlined in *Goals 2000* is interwoven throughout other education initiatives of the Clinton administration. Various versions of bills to reauthorize the *Elementary and Secondary Education Act of 1965* refer repeatedly to comprehensive planning and integrated service delivery; the *School-to-Work Opportunities Act of 1994* facilitates linkages between schooling and the world of work/higher education; the *National and Community Service Trust Act of 1993* provides a mechanism for youth to acquire work experience through service and is a vehicle for students to access higher education or job training. All initiatives are aligned with the eight national goals. All support "reinventing government" to eliminate duplication, and all require or support unprecedented levels of interagency cooperation and collaboration.

Besides the notion of comprehensive, integrated services, there are two other recurring themes in the national reform agenda: results-oriented accountability and regulatory flexibility. Although these issues are addressed in many of the references consulted in preparing this report, they are synthesized and discussed in some detail in a recent report entitled: *Regulatory Flexibility in Schools—What Happens When Schools are Allowed to Change the Rules?* As this report notes:

> A key part of [systemic] reform is providing freedom from regulations that can constrain schools' attempts to improve. Under systemic reform, this regulatory flexibility would be given to schools in exchange for increased accountability for student performance (U.S. General Accounting Office [GAO], 1994, 5).

The GAO report emphasizes, and others concur, that a shift is needed *from* accountability in terms of compliance with procedures *to* accountability in terms of measurable outcomes. Moreover, the current thinking is that if schools are to be held more responsible for increasing student performance, then more autonomy and decision-making authority is needed at the local level.

Results-Oriented Accountability Systems

A results-oriented accountability system relies on having clearly-defined standards of learning and outcomes that are aligned with measurement tools and supported by incentive structures. In a fully implemented federal—state—local system, the state's role is to

> (1) assess the effects of school improvements on student performance in relation to high standards, and
>
> (2) provide consequences to schools—rewards for schools that improve performance and assistance and sanctions for schools that fail to improve (GAO, 1994, p. 14).

A fully implemented system is also one that recognizes the need for multiple measures to assess the effects of school improvement, since "*no single measure [can] provide an accurate indication of student performance*" (GAO, 1994, p. 15, emphasis added).

In its study of three states that are experimenting with regulatory flexibility (California, South Carolina, and Kentucky), the GAO notes that all are in the process of developing new assessment methods, but that only Kentucky had considered consequences for all schools.[2] Much of the current educational reform literature speaks to the issue of appropriate consequences. Proposed reward structures include monetary awards and state recognition. Proposed sanctions include a range of actions that are progressively severe. At one extreme, state-mandated technical assistance is proposed to help struggling schools to improve. At the other extreme, some have suggested closing schools completely (cf. GAO, 1994).

Regulatory Flexibility

There is strong consensus in the education reform movement that regulatory obstacles impede local school improvement efforts. Locally perceived pressure to comply with federal and state regulations pertaining to funding—whether or not such pressure is genuinely applied—tends to reinforce the delivery of fragmented services. There are services for low income children, migrant children, and Native American children. There are also services for dropouts, homeless, substance abusers, and other children and youth at risk of school failure. The list goes on and on.

Regulatory flexibility at federal, state, and local levels is a strong component of new federal legislation and legislative proposals. The primary intent of such flexibility is to promote local innovations that support *schoolwide*, as opposed to program, improvement. Local freedom from certain federal/state regulations also reinforces the research-based notion that effective schools result from locally-developed and implemented change strategies rather than "top down" mandates. As noted by the GAO and others (e.g., Carlos & Izu, 1993), regulatory flexibility consists of eliminating, reducing, or waiving regulations for all schools (e.g., through legislative action) and/or on a case-by-case basis, by request. Increased flexibility is one force behind the charter school movement and states' efforts to decentralize. It is also an impetus for the development of "consolidated applications"—those that allow a school to submit a combined application to fulfill the requirements for multiple funding sources and request waivers pertaining to the use of funds (e.g., California and Texas). Additional state efforts to increase flexibility are highlighted in Table 1.

A Simplified Synthesis of National Reform Concepts

A simplified explanation of the current national push for systemic change goes something like this: Schools need to improve. One way to improve is through better, more comprehensive, and more efficient service delivery—not only in the area of student education, but in family services and staff development. In order to facilitate the integration of services and collaboration between service providers, federal and state legislation promotes reducing "red tape" through regulatory flexibility. Such flexibility frees schools from one of the most commonly-cited barriers to local improvement. However, such freedom to experiment does not come without strings. Namely, schools are required to show that their efforts are resulting in student improvement.

Table 1

Examples of State Regulatory Flexibility

State Flexibility Efforts	Key Features	What flexibility is given to schools?
California		
• School restructuring grants	Schools apply to the state for grants used for school improvement	The state can grant waivers from any state regulations specified in the schools' grant applications
• Charter schools	Schools submit charter applications to local district governing boards or to county boards on appeal; up to 100 charter schools can operate in the state at any one time	Flexibility from most state regulations governing school districts is automatically granted to charter schools
• School-Based Coordination Program	All schools are eligible, but the districts must approve schools' participation	Schools can combine state funds for several state programs for children with special needs and use up to 8 staff development days annually
Kentucky		
• Statewide school reform	The state's entire education system was restructured by the state legislature in 1990	Many decisions are left up to school councils; each school identifies the needs of its students and designs programs to meet these needs
South Carolina		
• Flexibility Through Deregulation Program	Schools are automatically given flexibility when they qualify via students' high performance on statewide achievement tests	Flexibility from many state regulations on class size, minutes of instruction, and state monitoring requirements
• 12 Schools Project	Schools apply to the state to participate	Same as above and freedom from statewide testing requirements

Excerpted and adapted from the GAO report, *Regulatory Flexibility in Schools*, "Table 1: Regulatory Flexibility Efforts in the Three States We Studied," (8-9).

AN ARIZONA PRACTITIONER-BASED FRAMEWORK FOR SCHOOL IMPROVEMENT

Goals 2000 places considerable discretion in the hands of local decisionmakers to develop specific strategies for implementing reform. And so, it was with local decisionmakers that Morrison Institute began its work.

In the fall of 1993, personnel from 55 sites—funded by the Arizona At-Risk Project—participated in defining a vision for reforming "at-risk" education. These educators envisioned a system of comprehensive services designed to serve all students and support families.[3] Building on their vision, Morrison Institute researchers and a select cadre of At-Risk Project personnel developed an Arizona framework for conceptualizing a comprehensive, integrated service delivery system. This system, depicted in Figure 2, consists of five key components.

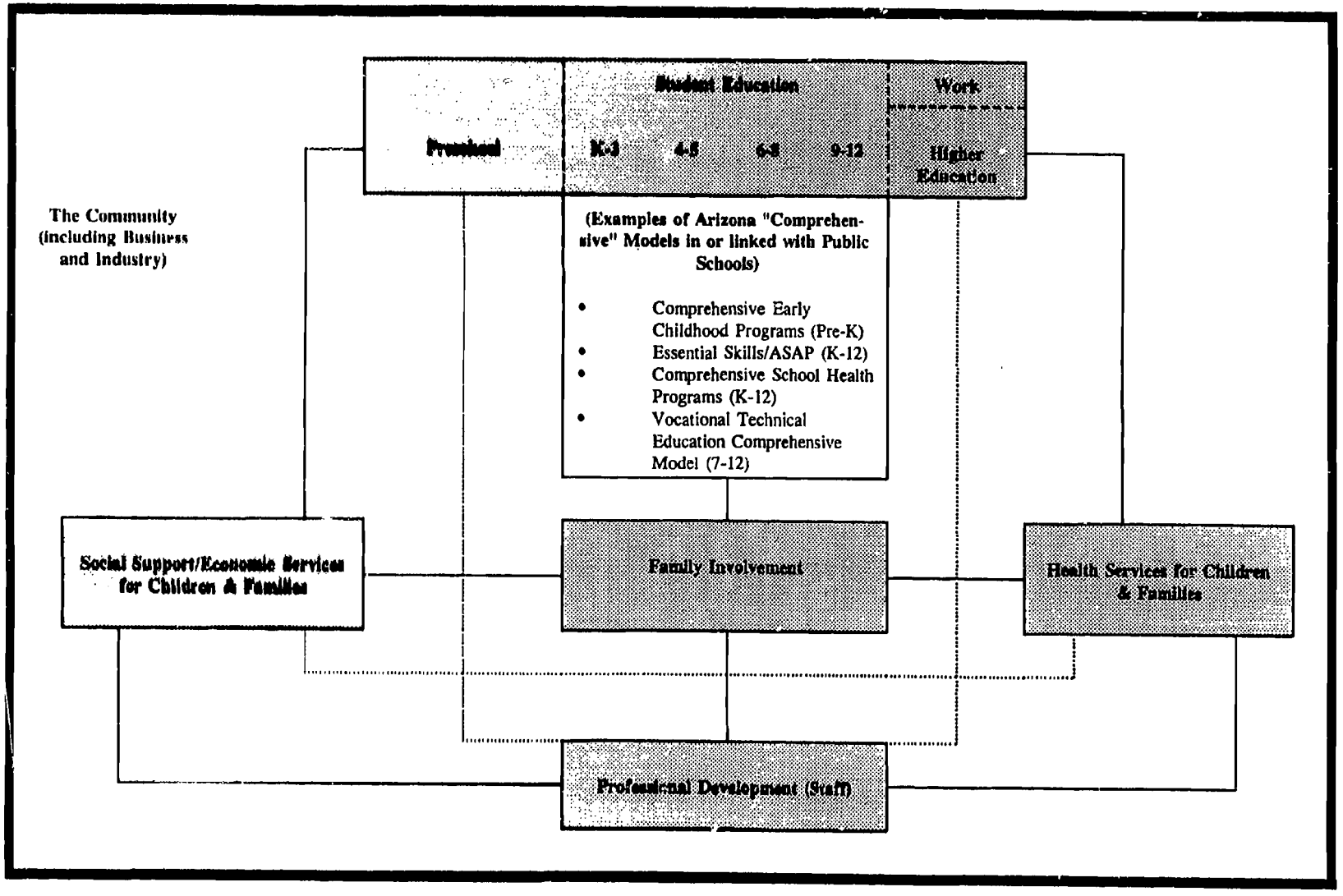
- **Student Education**: school-based learning environments and programs for students, including preschool programs that transition into the K-12 system and initiatives that transition students into work and/or higher education.
- **Family Involvement**: school initiatives to involve families in the school or in the education of their children.
- **Social Support/Economic Services for Children and Families**: school-based or school-linked formal programs and services to support family development.
- **Health Services for Children and Families**: school-based or school-linked formal prevention/intervention physical and mental health programs and services.
- **Professional Development for Staff**: all efforts to enhance staff performance, relative to the four previous components.

Student education is at the top of Figure 2 because in a comprehensive, integrated system, all other services descend from the common goal to improve educational opportunities and outcomes. Achieving this goal depends on families' well-being and involvement in the schools, and on highly-trained professional staff. Figure 2 illustrates an important feature of the system; that is, that all components are interconnected and interdependent.

Figure 2 provides a framework for school improvement efforts that focus on delivering comprehensive, integrated services. It suggests that school improvement results from (1) better program linkages within schools and (2) better coordination and collaboration between schools and other bureaucracies that provide services to children and families. Improved linkages at all levels of service delivery are part of the systemic change movement.

Figure 2

Components of a Comprehensive Service Delivery System for Children and Families



STATE ROLES IN EDUCATION REFORM —WHAT THE RESEARCH SAYS

In this era of systemic reform, educational entities at all levels and throughout the country are struggling with similar issues. This section is intended to elucidate some of these issues, as distilled from literature and research on state roles in reforming the educational system.

The literature typically refers to one of three entities at the state level: state departments of education, state legislatures, or these agencies and others at the state level (e.g., governor's office) taken collectively. This section highlights the role of a state department of education, but recognizes that genuine systemic reform involves all state entities. By definition, systemic approaches mean that no one agency or entity can effect change single-handedly.

THE ROLE OF A STATE DEPARTMENT OF EDUCATION (SDE)

The Status Quo

Traditionally, state departments of education have been charged with "fleshing out and implementing policies passed by legislatures" (Lusi, 1994, p. 109). In doing so, a typical SDE response is to create an oversight function within the department for each existing and new federal and state initiative. Often, program specialists or units are in charge of fiscal administration, program implementation, program compliance, and monitoring/evaluation. As the number of legislative initiatives has increased over the years, so has the bureaucracy grown to manage the initiatives.

In recent years, both the bureaucratic structure and the functions of SDEs (and the U.S. Department of Education) have come under scrutiny. The charge is that as a result of the propagation of programs, especially for "special populations," a bureaucratic maze of disconnected pathways has been created. According to some, the myriad of federal, state, and local programs results in fragmented services, duplication of effort, and waste of limited financial and human resources at all levels of the system.

This is because for each special program/ service, there tends to be unique guidelines, applications, and reporting formats. Each has its own rules and regulations for schools to be in compliance and eligible for funding. In most cases, each program has a different assigned liaison from the U.S. Department of Education or state educational agency. And all programs contribute to a layer of bureaucracy superimposed on schools' missions to improve learning for children.

This situation is one of the compelling reasons prompting systemic reform and the move toward comprehensive and integrated service delivery. At a bureaucratic level, current reform efforts are (or should be) directed less toward program-specific compliance and more toward utilizing program resources efficiently to educate children regardless of their labels. Systemic reformers want a more efficient system that is also more humanistic, individually-oriented, and child-centered.

Recent literature suggests that SDEs need to reexamine what it is that they *do* in light of new emphases on school improvement and comprehensive services (Elmore & Fuhrman, 1994; Rebarber, 1992). Redefining function in terms of better supporting holistic reforms has, in turn, implications for restructuring departments of education. Segmented units, focusing narrowly on specific programs and compliance issues, are considered counterproductive to the overall goals of systemic reform.

Challenges for SDEs In A New Era of Reform

Throughout the literature on state-level reform, frequent references are made to constructing state support systems to assist schools in their local improvement efforts. Considerable work has been conducted nationally on what states and state departments of education can do in creating such support systems. A general framework for reform suggests that states do the following:

- Shift to an outcomes orientation.
- Develop a comprehensive system of services and supports that accomplish the desired outcomes.
- Create a professional development system which enables *all* professionals to work effectively in the reformed system.
- Pursue financial strategies (e.g., redeploying existing funds) that support comprehensive reform.
- Create a governance system that supports ongoing reform (Farrow, Watson & Schorr, 1993-94).

This framework captures the essence of current legislation in terms of defining high standards of learning, developing results-oriented systems of accountability, and reducing regulatory barriers to school improvement by increasing regulatory flexibility. It promotes the ultimate goal of the systemic change movement—to create an infrastructure designed to ensure student success.

In light of new initiatives that support school-based reform, Lusi (1994) contends that SDEs will have to fundamentally alter the way they operate. She suggests that SDEs need to focus attention on defining (or re-defining) a mission, internal operating procedures and means for dealing with schools (i.e., internal and external "mechanisms"), and norms governing employee behavior (see Table 2).

Lusi's work related to mechanisms follows the research of McDonnell and Elmore (1987) and others. These authors define state-level mechanisms as vehicles for translating policy goals into actions. They developed a typology of state-level mechanisms used to promote change that includes four "generic classes of instruments":

- **Mandates:** rules governing the action of individuals and agencies, intended to produce compliance.
- **Inducements (Incentives):** the transfer of money to individuals or agencies in return for certain actions.
- **Capacity-building:** the transfer of money for the purpose of investment in material, intellectual, or human resources.
- **System-changing:** the transfer of official authority among individuals and agencies to alter the system by which public goods and services are delivered.

Lusi (1994) points out that states often use mandates, and sometimes incentives, to enforce desired policy goals. Fuhrman (1994) agrees, noting that while states have relied primarily on mandates and incentives to enact policy change, neither "appears sufficient for achieving educational excellence as we now understand it" (p. 40). As Fuhrman notes:

> Mandating school-level improvement is inappropriate because the changes required cannot take place in the absence of local ownership, initiative, or capacity, regardless of how stringent the state is. Moreover, school-level solutions are likely to be very different from place to place, reflecting the needs of the local faculty, students, and parents. The increasingly popular saying, "You can't mandate excellence," captures this understanding of educational improvement, an understanding supported by numerous national commissions and task forces (1994, p. 40).

She goes on to state:

> What seems to be required is less volume and more coherence—more emphasis on clear, ambitious, state-level explication of

what students should know and willingness to delegate to the schools many decisions about how students should be taught. School-based improvement requires state support through capacity-building efforts, such as sustained technical assistance and enhanced professional development" (ibid).

In particular, Fuhrman advocates for building capacity at the state level as well as at the local level for, without enhanced capacity, technical assistance, development of curriculum and instruction, and policy research/evaluation are likely to suffer.

Table 2

SDE Changes in an Era of Reform

How SDEs must change...	**Mission**	**Mechanisms**	**Employee Norms**
In working with schools	• need to define/re-define their missions *from* regulating compliance *to* transforming the education system	• need to move away from regulation/mandates to: - better use of incentives to encourage planning and implementation - better dissemination of information on reform - developing meaningful assessment systems and providing feedback - provide intense, customized, sustained technical assistance - continue to regulate schools to some degree, with perhaps more emphases on student equity	
Internally	• need to develop a shared set of beliefs, values and purpose	• need to be team-oriented and less hierarchical •need to place a high premium on idea generation and learning • need to give staff more flexibility and autonomy	• need to move from norms that emphasize caution, prudence and reliance on rules to norms that encourage risk-taking behaviors (e.g., excercising informed judgement and initiative) • need to reinforce norms of respect and trust

Based on Lusi, *Systemic School Reform: The Challenges Faced by State Departments of Education*, 1994.

While there are many steps a state or SDE can take to promote school improvement, one of the biggest state challenges may be to convince schools that the "rules of the game" have, in fact, changed. Schools may need reassurance that local initiatives to improve outcomes will be encouraged over compliance with procedures and that risk-taking will be valued more than preserving the status quo.

Do schools need to be convinced? Apparently so. For example, certain deregulatory policies are already in place for some federal and state programs. However, many schools do not take advantage of the flexibility offered—even though they cite regulatory barriers as a hindrance to local reform. As the GAO report notes, schools may not use existing regulatory flexibility as a means for school improvement because:

- They are concerned with government auditors and monitors, who focus on compliance with procedures rather than on whether improvement efforts are helping children.
- State provisions for flexibility (e.g., waivers) are often temporary, and discourage school improvement efforts which are, by their nature, long-term efforts.
- They are discouraged from requesting waivers by district office personnel.
- They lack leadership, money, and time in order to make improvements.
- They do not see a need to improve because they are performing well.

Unless events change, schools will most likely preserve the status quo—even when regulatory flexibility is further reinforced through new legislation.

The literature on reform suggests that states can best promote local improvement efforts through several channels in addition to providing more regulatory flexibility. One course of action is to promote local planning. Local plans need to be aligned with state standards and plans in order to promote coherence in the system.

A second course of action is to improve technical assistance. The literature suggests several ways to accomplish this task. One way is to improve access to assistance, such as through on-site and/or regional delivery models. Another way to improve assistance is to ensure that assistance strategies are aligned with state and local plans. Yet another means to improve technical assistance is to sustain help over time rather than offer "one-shot" training events.

Finally, states are encouraged to revisit what and how state policy mechanisms are used to promote local improvement. The literature especially promotes an examination of the use of incentives (i.e., rewards and sanctions) to encourage and reinforce local improvement efforts. According to the GAO report, state support of local planning, improved technical assistance, and the use of incentives "appeared to contribute to whether schools attempted improvement" (1994, p. 11).

Recognizing the value of such state actions, *Goals 2000* and legislative proposals for ESEA reauthorization include a number of provisions that address these topics. For example:

> *Goals 2000* requires state improvement plans to include a process for providing assistance and support to districts and schools in meeting the state's content and performance standards.
>
> ESEA proposals require states to establish a system of school support teams to provide information and assistance to schoolwide projects, in order to ensure that the schools provide the opportunity for all children to meet the state's performance standards.
>
> ESEA proposals require states to provide monetary awards to schools that make significant progress toward meeting the state's performance standards.

Although schools are ultimately responsible for local improvement, state agencies have a significant role in encouraging and enabling schools to improve. It is no wonder, then, that the success of state efforts will depend heavily on ensuring that federal and state officials are themselves aware of new initiatives, roles, and responsibilities.

The GAO report found that many federal and state officials who monitor programs are still more concerned with procedural compliance issues than with schoolwide improvement efforts. Monitors' messages to schools were felt to restrict local efforts to improve. Accordingly, states may need to change the way that programs are reviewed in order to be more compatible with the school improvement reform movement. Specifically, states should determine if

> (1) the emphasis on compliance with procedural regulations needs to be better balanced with an emphasis on whether programs are achieving the purposes for which they were authorized and funded; and,
>
> (2) state officials who review federal education programs need training to familiarize them with this change in emphasis (GAO, 1994, p. 21).

STATE-LEVEL COMPREHENSIVE SERVICE DELIVERY SYSTEMS

If the ultimate goal of systemic reform is to change the system and promote coherence within it, there needs to be a shared understanding of what *is* the system. The schema shown in Figure 2 has framed Morrison Institute's work on the CARE project and serves to define the system targeted for reform.

Just as schools are encouraged to improve each of the framework components and their interrelationships (cf. *Comprehensive Services in Arizona Schools*), parallel efforts at the state level are encouraged to support schools in their efforts to develop and coordinate student education, parent/family involvement, professional development, and integrated social, economic, and health services. Furthermore, state efforts need to be instituted and strengthened in order to link state-level programs and agencies. The latter is viewed by advocates of systemic change as a means to help "fix" a system currently characterized by fragmentation, duplication of effort, and wasted human and financial resources.

In varying degrees, literature has addressed state roles in each of the components of a comprehensive system shown in Figure 2. State roles specific to each component are the topic of the sections that follow.

State Roles to Strengthen Student Education

In keeping with current national reform efforts, a state's most conspicuous roles to strengthen student education are to develop goals regarding high standards of learning for *all* students and a results-oriented accountability system. State goals and systems are intended to promote school improvement. They are a means to an end, not an end in and of themselves. Insofar as comprehensive, integrated service delivery systems promote school improvement, and increased regulatory flexibility eliminates systemic barriers to local improvement, states have a role in these areas as well.

Ultimately, school improvement means increased levels of student performance. Consequently, an additional state role is to support local school improvement efforts that are aligned with state goals. The kinds of programs and practices worthy of state support are the subject of the companion document to this report: *Comprehensive Services in Arizona Schools*.

State roles are made clear throughout existing and proposed federal legislation, including *Goals 2000* and the reauthorization of the Elementary and Secondary Education Act.

One aspect of promoting school improvement via comprehensive services is the state's role in fostering transition programs at both ends of the education continuum: preschool to public school, and high school to work and higher

education. New federal legislation promotes state planning and publicity to develop such programs in relation to more comprehensive state plans (e.g., the reauthorization of the Head Start Act; the School-to-Work Opportunities Act of 1994).

Suggestions focus on adapting state-defined high standards of learning across the education continuum, from preschool to postsecondary studies. Other strategies cited in the literature include developing more collaborative efforts that involve the public schools and institutions of higher learning, and capacity building efforts (Figure 3).

Specifically in relation to creating stronger relationships between SDEs and institutions of higher learning, researchers Rodriguez and Fulford (1994) suggest the need to:

- Create new governance structures.
- Coordinate support for the use of technology to build the capacity for high-quality teaching and learning, aligned systems of data collection, and reporting on student achievement.
- Fund incentives to promote systemic reform that require schools and institutions to work together.

These same state actions could just as easily be enacted to foster other kinds of transition programs as well (e.g., between preschools and elementary schools).

Within a comprehensive framework, *all* state actions ultimately relate to strengthening K-12 education. Creating coherence in the system at the state level implies focusing on a single and clear goal—to enhance student performance.

To this end, schools and states are encouraged to create the best possible environments which enhance students' opportunities to succeed. At federal and state levels, this means simultaneously eliminating barriers that discourage local improvement efforts while improving the quality of federal/state services (e.g., technical assistance).

Figure 3

Linking SDEs with Higher Education

Define high standards for educational achievement and design outcomes-based assessments that measure student attainment toward those standards.

Build the capacity of schools and post-secondary education institutions to support high educational standards.

(This area includes improving teacher preparation and professional development and strengthening curriculum in schools and postsecondary institutions. It also means changing the incentive structures for faculty in colleges and universities to involve them more directly in schools.)

Coordinate K-12 and higher education to support student achievement through, for example, funding incentives, joint K-12 and higher education support programs, and data collection.

Building Collaborative Education Systems: New Roles for State Education and Higher Education Agencies, Rodriguez & Fulford, 1994

State Roles to Strengthen Parent/Family Involvement

Several recent reports have specifically targeted state strategies for improving family involvement in schools. Rebarber (1991b), for example, looks specifically at state legislative support for parent/family involvement and classifies state enabling policies and strategies into three clusters (Figure 4).

Much of the literature that discusses state-level policy/program support for family involvement is more narrowly focused. For example, Koprowicz and Myers (1992) address state assistance to schools in developing private sector partnerships that support family involvement. Bruner and Carter (1991) advocate for state support of *holistic* family assistance and education programs.

Bruner and Carter cite characteristics of successful state-supported family involvement programs. Successful family assistance programs tend to be housed in community-based centers that offer a comprehensive array of services through direct delivery or referrals. Successful programs offer flexible hours and customize services to family needs. Services may combine home visiting activities and group activities which take place in the center. Successful programs provide intensive services to those most in need, while avoiding negatively labelling the clientele served. They also offer "persistent and creative" outreach programs that target resistent, hard-to-reach families. Perhaps most importantly, successful programs require highly trained "frontline family workers" (i.e., personnel who work directly with families).

Based on knowledge of "what works" with families, Bruner and Carter recommend developing state policies and plans to capitalize on these features. Among their recommendations, they suggest that states could:

- Finance local initiatives.
- Clearly define the roles of frontline workers and ensure that they have adequate personal support and training.
- Mandate, and/or offer incentives for, persistent and creative outreach efforts.

Figure 4

State-Level Parent Enabling Policies

Encourage parent involvement in and with the school. For example:

- Use technology to improve school-home communication (e.g., telephone school calendars of events; computerized calling systems that reach parents with a teacher's recorded message);
- Ensure parent involvement in site-based management teams.

Allow parents to play a more effective role in their children's education (either through the school or through local community-education centers). For example:

- Provide parent education and counseling.

Increase parents' responsibility and attention to education by allowing them to select their children's schools. For example:

- Institute a statewide choice plan (i.e., open enrollment).

Parent Enabling Policies for States, Rebarber, 1991

California is one state that has developed a comprehensive state policy and plan for parent involvement that is based on research of "what works." Designed to complement the state's strategies for curriculum reform, California's parent involvement policy and plan evolved from a participatory process involving a practitioner and interagency advisory committee. The committee developed the policy and plan as well as technical assistance strategies to support implementation at the local level. Technical assistance was provided through regional training with local administrators, teachers, and parents. The goal was to assist schools to formulate local parent involvement plans, aligned with the state policy and standards of learning. The process followed the premise that:

> State leadership requires more than just a statement of policy. State education agencies demonstrate leadership by carrying out action plans to help local school districts and individual schools develop comprehensive and continuing programs of parent involvement across all grade levels (Solomon, 1991, p. 360).

A variety of state actions were implemented to support the state policy and plan, including an extensive media campaign that included the development and dissemination of information booklets and summaries of research findings and promising practices and the development of a televised series of parent workshops (in collaboration with the local cable television companies and state university/college systems).

To support the integration of the state policy and plan within a more comprehensive framework, California also involved advisory committee members in the writing and sponsoring of legislation to develop and implement comprehensive parent involvement programs and practices; formed an SDE interdepartmental committee on parent involvement, composed of representatives of each unit in the department that provide *any* parent involvement services or activities; and established an interagency partnership composed of SDE staff and representatives of state social service agencies (cf. Solomon, 1991).

State Roles to Strengthen Integrated Services (Social, Economic, Health)

In many respects, the same kinds of services advocated for family involvement are extended to the realm of integrated services for families and children. Most notably, recent literature supports the idea of community or school-based "one-stop" assistance centers, whether they are called family resource centers, family support centers, parent education centers, or by another name (cf. Chazdon, 1991; Center for the Future of Children, 1992; Melaville and Blank, 1993).

By referral or direct delivery, these service centers would provide families and children with a full array of social and economic support and health services. According to Chazdon, state-level interest in this type of approach to family services stems from the recognition that comprehensive service delivery models "are more able than categorical programs to address the multiple, interdependent needs of families and individuals in poor communities" (1991, p. 13).

Chazdon says that states can support integrated service delivery in several ways, notably in the areas of financial support and reforming categorical funding models. He calls for states to study regulatory and financing barriers, create coalitions to link state and local efforts, develop mechanisms to encourage local planning, and experiment with pilot programs.

Melaville and Blank (1993) explore similar themes, citing deregulation and waivers from regulations as methods to encourage local improvement efforts. Although they direct their attention to changes in the federal role to support integrated service delivery, their suggestions are equally applicable at the state level. For example, states can:

- Spread a vision of comprehensive service delivery.
- Coordinate policies, regulations, and data collection.
- Streamline counterproductive regulations.
- Explore innovative financing opportunities.
- Create incentives for states and localities to collaborate.
- Develop training and technical assistance.
- Encourage networking among collaboratives.
- Support research and evaluation.

State Roles to Strengthen Professional Development

While professional development has always been promoted at state and local levels, it has taken on a new sense of urgency as evidenced by the inclusion of professional development as one of the eight national goals in *Goals 2000* (Goal 4, Figure 1). This goal explicitly addresses what has been implicitly recognized for decades—that people, ultimately, are responsible for successful ventures. Investing in "human capital" is considered by many to be the hope of the future.

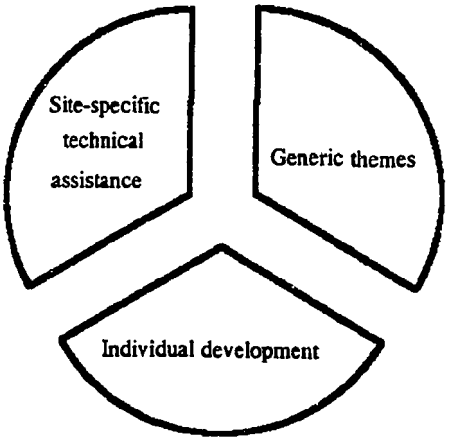
Sponsoring professional development activities is one of a SDE's main functions. The question in recent years has become: Has state support for professional development kept up with state and federal reform initiatives? Cooley and Thompson (1992) suggest that the answer to the question is "No."

They explored state-level mandated staff development initiatives in all 50 states from 1985-1992. They concluded that while state support for education increased, support for staff development did not. They noted problems in following up on staff development activities, as well as with limited development opportunities for administrators.

Some educational analysts[4] recommend a tripartite state system to support professional development (Figure 5).

Figure 5

A Tripartite System for Professional Development



State Standards for Learning

One component supports schools in offering individualized, customized professional development opportunities. A second component provides for state-sponsored training on "generic themes" (e.g., parent involvement; *Essential Skills*) through vehicles such as institutes. A third component is the delivery of site-specific technical assistance. This technical assistance (e.g., help with developing comprehensive plans; follow-up on other training) would be delivered *on-site*. All components serve to strengthen an overall mission related to the state's standards of learning.

Cooley and Thompson (1992) reinforce the idea that institutes are promising vehicles for state-sponsored staff development. In fact,

these are one of the most common delivery strategies at the state level.

While the term "institute" sometimes refers to a series of workshops or inservice activities, some state education departments have developed particularly successful professional development opportunities through the use of institutes. Three state institutes were cited in the literature as exemplary state models that provided research-based, effective professional development (Loucks-Horsley et. al., 1987). These were *The Connecticut Institute of Teaching and Learning, The Rhode Island School Staff Institute,* and the (New Jersey) *Academy for the Advancement of Teaching and Management.* Morrison Institute researchers contacted each of these institutes by phone to obtain more detailed information about how they are organized and managed, and how they deliver technical assistance/professional development services (see Appendix A).

Of the three "model" institutes contacted, one still existed, a second had been completely disbanded, and the third had been renamed and drastically downsized. All three institutes have had to respond to changing legislative mandates and political climates, budget cuts, shifting missions, reorganizations within state education agencies, and redefinition of the most appropriate role for states to play in professional development. In spite of the unsettled nature of the state technical assistance business, these institutes were characterized as successful on the basis of certain characteristics, reflected elsewhere in the literature as well (Caldwell, 1989; Joyce & Showers, 1988; Loucks-Horsley et.al., 1987; Showers & Bennett, 1987; Sparks & Loucks-Horsley, 1990). Building on such characteristics, states are advised to implement institutes that:

- Focus on assisting schools and districts to meet state and national standards for improved teaching and learning.
- Provide long-term (usually several days) and in-depth opportunities rather than one-shot training events.
- Broaden accessibility through some type of regional delivery model.
- Focus on schools (as opposed to individuals or districts) in the content and delivery of training.
- Provide follow-up support at the school site beyond the actual training.
- Build capacity at the school level through methods such as trainer-of-trainers.
- Institutionalize linkages with state teacher certification and/or re-certification units.

The latter point is critical. Authors on the subject of state-level staff development emphasize the need to align teacher certification and evaluation systems with a comprehensive strategy for teacher training at both preservice and inservice levels. This report has already alluded to the need for state departments of education to work more closely with state institutions of higher learning regarding preservice training.

One model for integrating the various elements of professional development at the state level is the Connecticut State Department of Education's *Guidelines for Comprehensive Professional Development Plans* (Connecticut State Department of Education, 1993). These guidelines are intended to assist local schools in developing their own comprehensive plans for professional development, including teacher evaluation. The state guidelines were developed collaboratively by practicing educators at all levels of the educational system and state staff representing several different bureaus. They are aligned with the state's systemic reform initiatives and address three things:

- The philosophical principles underlying the guidelines, including: a definition of professional development; the purpose for developing plans; the focus of professional development; beliefs about teaching and learning that undergird the guidelines; and a statement of the major outcome expected as a result of developing and implementing a comprehensive development plan.

- 11 principles of good practice in locally developing and carrying out a comprehensive development plan which, in effect, outline the process for developing components of a local comprehensive professional development plan; and

- A compilation of state statutes concerning comprehensive professional development, including teacher evaluation.

SUMMARY

Recent literature puts forth multiple definitions and examples of what states can or should do to better support local school improvement efforts. In fact, so many recommendations for states have been issued that it can be difficult to coalesce them all into a clear picture. The sheer volume of recommendations illustrates the challenges facing states in the current climate of reform. SDEs, in particular, have a difficult role to negotiate as liaisons *between* national and local educational agencies.

SDEs must create both the policy and operational environment to foster school improvement. They must continue to reinforce some federal and state regulations while increasing regulatory flexibility. They must craft and promote state standards of accountability, while assisting schools to develop their own standards aligned with state expectations. To be successful, they must constantly and simultaneously coordinate "top down" and "bottom up" strategies for educational reform (Fullan, 1994).

SDEs need to be less hierarchical and authoritarian—"flatter" and more collaborative. They must fundamentally alter their internal and external working relationships. In the midst of bureaucratic upheaval and uncertainty, they must improve services to schools—in student education, family involvement, integrated service delivery, and professional development. They must craft a support system for schools in the process of implementing comprehensive services by developing parallel and aligned structures and services.

In sum, they need to develop their own comprehensive service delivery system while at the same time facilitating the development and enhancement of comprehensive services at the school level.

◆ ◆ ◆ SUPPORTING COMPREHENSIVE SERVICES IN ARIZONA

Before presenting options for how Arizona and ADE can proceed in developing its system of comprehensive services, it is helpful to have some idea of where the state stands in relation to key elements of this system. The following discussion does *not* presume to address each and every state-level initiative that supports a systemic reform agenda. Nevertheless, several key initiatives—and gaps in programs or support services—appear clear.

WHERE DOES ARIZONA STAND?

...Regarding K-12 Student Education

In the last several years, Arizona has made considerable progress in developing state standards of high learning and a results-oriented accountability system. This is an area of reform where ADE is truly "ahead of the game." Arizona's *Essential Skills* curriculum frameworks and Arizona Student Assessment Program (ASAP) are central to the state's student education component. These tools provide a working definition of "high standards of learning" toward meeting the intent of *Goals 2000* and are central to the development of the state's *Goals 2000* plan. Moreover, multiple training efforts have already taken place and are being planned with local school personnel on *Essential Skills* and ASAP. Furthermore, the development of school "report cards" and other documentation contribute significantly to creating a more comprehensive results-oriented accountability system, although work remains to be done regarding a clearly articulated system of incentives and sanctions.

State progress toward offering regulatory flexibility is less advanced. Carlos and Izu (1993) list common examples of deregulation as waivers, consolidation, schoolwide projects, and charter schools. Most notably, Arizona passed legislation in June, 1994, that authorizes charter schools. The state also offers opportunities to request rule waivers from the state board of education and sponsors schoolwide Chapter 1 projects. However, there is a perception among at least some practitioners that these forms of deregulation are neither well advertised nor encouraged. Other deregulatory policies (e.g., consolidated programs/applications; detracking students—cf. Carlos & Izu, 1993) do not appear to be strongly integrated as components of a comprehensive plan for reform in Arizona.

Regarding preschool transition programs at the state level, legislation was passed by the Arizona legislature in June, 1994, to increase services to poor children and families, and to increase the number of state-supported preschool programs. The new laws did not, however, address the provision of transition services for children between preschool and elementary school.

Furthermore, to date, no Arizona legislation has seriously considered school-to-work transitions. However, the state has received funding to develop a School-to-Work Opportunities Plan which *must* be aligned with the state's *Goals 2000* plan. If sufficiently competitive with other states, Arizona's School-to-Work Opportunities Plan could make the state eligible for between five to nine million dollars per year for a five-year implementation period.

More piecemeal efforts appear to characterize linkages between schools and institutions of higher learning, although some attempts have been made in recent years to create stronger linkages. One effort sought to better align the independently-administered Title II Eisenhower grant programs of ADE and the Arizona Board of Regents. More recently, the state's plan to develop programs under the National and Community Service Act of 1994 promotes stronger linkages between K-12 education and institutions of higher learning.

...Regarding Parent/Family Involvement

Reflecting back to the last chapter, Figure 4 notes three major categories of state initiatives to promote parent and family involvement in schools. Arizona legislation passed in spring 1994 did establish an open enrollment policy for the state and included provisions for site-based councils to include parents. Arizona Revised Statutes also specify that schools should have parent involvement programs; other incentives (e.g., state-funded at-risk monies) incorporate parent involvement components as requirements for funding. To date, however, there is neither a comprehensive state strategy for parent involvement nor an aligned technical assistance program. State-sponsored training on parent involvement seems to occur primarily through one-shot workshops.

...Regarding Integrated Services (Social, Economic, Health)

There are scattered state-sponsored initiatives to support integrated service delivery linked with schools. Legislation to support the development of a statewide plan to establish family resource centers was introduced during 1994, but failed; however, ADE *has* indicated a willingness to pursue this issue without legislative mandate. Other individual efforts to link schools with integrated services are laudatory, but still are indicative of the lack of a coherent state policy.

Efforts have been made toward counteracting fragmentation in the system. One such effort is underway through a collaborative project being conducted by the Arizona Community Foundation, Tucson Community Foundation, Office of the Governor, and Children's Action Alliance. Their recent report, *The Partnership for Children: A System Design for Arizona's Children and Families* (1994) addresses many elements of a redesigned system for integrated service delivery. The proposed system does not, however, address school-based or school-linked service delivery in any specific or detailed manner.

...Regarding Professional Development

Staff training is considered by ADE personnel as one of the major areas in which ADE regularly provides technical assistance. Interviews with ADE staff reveal numerous ADE-sponsored conferences, workshops, program-specific training, and meetings. Furthermore, many ADE personnel visit schools to provide on-site assistance. However, of the ADE personnel interviewed, most said that on-site visits were combined with program monitoring and compliance. Input from school personnel suggests that ADE personnel who conduct on-site visits are not always perceived as having a professional development role. Summer institutes and academies are also part of the department's staff development repertoire.

One of the more promising state-level staff development strategies is the Career Ladder program—the state's performance-based pay system. This program provides financial incentives for teachers based on their overall teacher evaluation which includes, in part, student outcomes. In addition, program funds are used to provide extensive program support and training for teachers.

In sum, the department offers an array of professional development services and opportunities. Nevertheless, there does not appear to be an *overall* approach to professional development that links teacher training, retraining, certification, and evaluation systems. Neither does state-sponsored training regularly provide on-going, site-based support to schools. Such elements are associated with more comprehensive state systems of professional development.

WHAT CAN ARIZONA DO?

While Arizona and ADE are "ahead of the game" in some respects in setting an agenda for educational reform, there is still much room for improvement. Some discrete elements of a reform agenda are in place and aligned; others are in place, but are neither aligned nor integrated in the most desirable fashion to promote coherence in the system.

Some elements of reform are not in place at all.

The following discussion is based on an analysis and synthesis of existing state initiatives combined with a) comparisons of good practice depicted in the literature with what is known about ADE practice, b) interviews with a select group of ADE personnel (see Appendix B), and c) feedback from schools (via a statewide survey of public school principals and input from Arizona At-Risk Project sites--see Appendix C). From these rich and diverse perspectives emerge a framework for conceptualizing a state support system (Figure 6). This figure shows Arizona's *Goals 2000* State Improvement Plan as the logical foundation upon which all other state efforts build. It represents the ***one*** comprehensive state plan within which all other plans and initiatives are integrated and aligned.

Conceptually, Figure 6 shows a system in which school and state improvement efforts encompass three domains: student education, parent/family involvement and integrated services, and professional development. The figure graphically depicts three "plans-within-a-plan" and the key elements that each should address. The student education component is a central core around which other planning efforts are aligned.

Operationally, once the state articulates its vision in these three domains, technical assistance strategies should be designed in each category that reflect state goals and complement one another. Schools then need technical assistance to develop or enhance their own *site-based strategies*. The local development of customized policies and action plans that support local school improvement goals and meet state standards is a key ingredient for successful program implementation. Therefore, it is important that technical assistance be designed to promote local ownership of state goals.

Notably, school improvement is placed at the top of the diagram to represent that it is local improvement in relation to serving students which must drive state planning efforts and technical assistance. As a whole, the diagram suggests a balance between "top down" and "bottom up" reform.

Recommendations for ADE generally elaborate upon the elements depicted in Figure 6. These elements pertain to state planning efforts and the development of technical assistance as both are aligned with student education, parent/family involvement and integrated social/health services, and professional development. Several other considerations are put forth for ADE consideration. Finally, the issue of building ADE's capacity is discussed.

Recommendations that follow are not intended to be all-inclusive; for example, they do not repeat many of the literature-based recommendations listed in the previous chapter. Neither should these recommendations be viewed as mutually exclusive; most are conceptualized as working in concert with one another. Rather, they are presented as guidelines for ADE as the agency proceeds in crafting a system of coherent policies that support local school improvement.

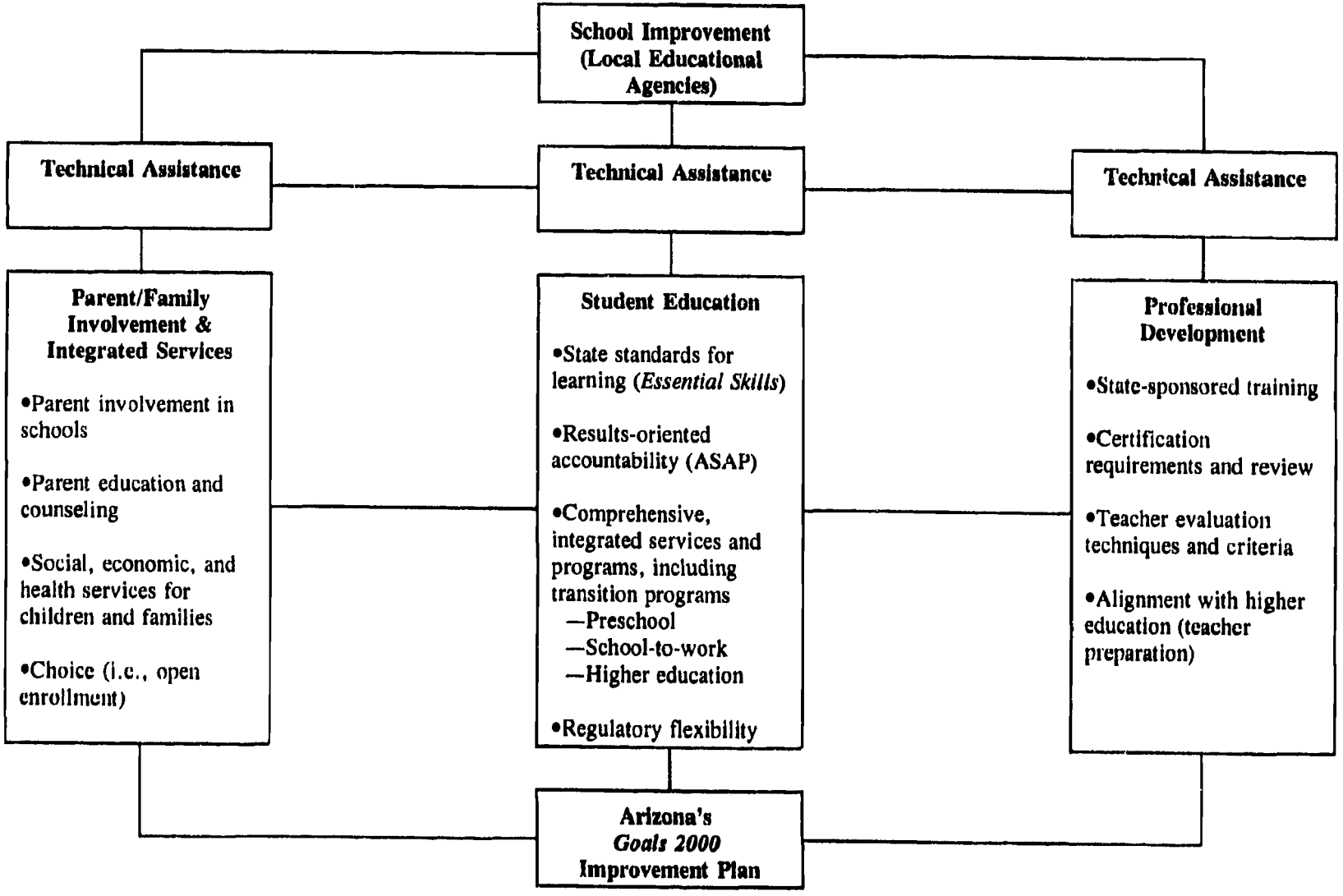
State Planning and Policy Development

As shown in Figure 6 and as discussed previously in this report, a coherent system to support student education consists of high standards of learning, an accountability system that reinforces these standards, comprehensive and integrated programs to advance student learning, and means to reduce systemic barriers to local improvement (e.g., regulatory flexibility.) A comprehensive state plan needs to address each of these elements.

ADE is already well along in developing its plan for a system that encompasses high standards of learning (via the Arizona *Essential Skills* curriculum frameworks) and accountability (via ASAP). The task, now, is to ensure that this plan integrates multiple programs and requirements and incorporates strategies to remove systemic barriers to local reform. Some specific means to accomplish better integration and regulatory flexibility are discussed in the sections that follow.

Figure 6

Planning for Reform
(Key Elements)



State plans that specifically address parent/family involvement (including integrated social and health services) and professional development are essential components of an overall comprehensive plan. Drawing from lessons learned from other states (e.g., California, with respect to parent involvement; Connecticut, with respect to professional development), Arizona should consider developing comprehensive plans unique to each of these areas.

Both parent involvement and staff development plans should include their own mission statements and goals which are aligned with the state's goals for student achievement and performance. Plans should be research-based, and include a state action plan and benchmarking system.

Parent/family involvement strategies should specify how the state plans to support local schools to develop local plans that integrate involvement strategies, parent education and counseling, integrated social and health services, and choice (i.e., open enrollment).

A state plan for professional involvement should internally align components that address teacher training and retraining, certification, and teacher evaluation systems. That is, teacher training and retraining needs to support state standards of learning and assessment. Certification should encompass proficiency in these areas, and evaluation systems—with a commensurate system of incentives and rewards for teachers (e.g., merit raises)—needs to be aligned to promote state standards of learning.

Technical Assistance to Support Comprehensive Services

Many possible technical assistance strategies could be suggested to ADE in support of comprehensive services. This section suggests strategies based on an analysis of the results of a survey on technical assistance conducted with Arizona public school principals (cf. *Keeping Up With Reform: Comprehensive Services in Arizona Schools—A Survey of Arizona Principals*). Results are presented as they relate to components of a comprehensive service delivery system (Figure 2) and a state support system for comprehensive services (Figure 6).

Student Education

Strategies suggested in this section would reinforce Arizona's pursuit of educational excellence with respect to its state standards for learning, results-oriented accountability, integrated educational services, and regulatory flexibility.

State Standards for Learning/ Accountability: Based on the results of the survey *Keeping Up With Reform*, there are areas of technical assistance that Arizona principals feel would help them to strengthen the student education component of a comprehensive service delivery system. Key actions center on Arizona's *Essential Skills* and the Arizona Student Assessment Program.

A representative sample of Arizona's principals indicated that aligning curriculum, instruction, and assessment around the state's *Essential Skills* is their highest priority in terms of strengthening local comprehensive services. In order to address Arizona principals' technical assistance priorities in this area, ADE should:

- Develop and disseminate curriculum documents that illustrate how to *integrate* skills from several domains, as opposed to those that focus on *Essential Skills* in one area (e.g., Language Arts). Examples are needed that demonstrate how skills are effectively applied in integrated thematic units of instruction.

State efforts to develop or compile such model curricula and disseminate this information would be useful. Over 70 percent of the principals responding to the technical assistance survey indicated that they would welcome training on developing integrated thematic instruction using *Essential Skills*.

As noted, research shows that a responsible results-oriented accountability system incorporates multiple measures of student improvement and student performance.

Furthermore, 62 percent of the survey respondents want assistance in how to effectively use ASAP with other measures of student performance (e.g., portfolios). Therefore, ADE should:

- Increase training on student assessment, specifically focusing on how to effectively (and acceptably) use multiple measures of student progress in coordination with ASAP.

Finally, there are school-based issues of how to use *Essential Skills* and ASAP in specific program areas. A major area concerns the integration of academic and vocational education, particularly in light of the fact that such integration is reinforced and required in legislation governing vocational education (e.g., Carl Perkins; School-to-Work Opportunities Act of 1994). Although ADE has begun working on this issue, staff should:

- Offer more training on effectively integrating academic and vocational education using the state's *Essential Skills*.

Specifically, over half of all high school principals (57 percent) would like training on this subject, which they ranked third in a list of fifteen training topics.

Integrated Educational Services: In promoting more comprehensive, integrated services in Arizona schools, ADE can improve support for research-based practices. As elaborated upon in the report *Comprehensive Services in Arizona Schools*, most successful programs integrate multiple strategies within more comprehensive programs. For younger children, strategies are encompassed by sound early childhood education practices (i.e., which incorporate developmentally appropriate practice). For older youth, and especially those at risk, integrated strategies found in alternative programs have been shown to be effective.

Arizona principals were surveyed with respect these types of programs and initiatives. There was strong interest in more holistic research-based programs. Based on the analysis, ADE should:

- Offer more training on effective early childhood education programs.

Specifically, elementary principals (53 percent) would like more training on implementing effective early children education programs such as full day kindergartens and nongraded, multi-age programs.

- Offer more training on effective alternative schools and programs such as a school-within-a-school.

Specifically, middle/junior high school principals (68 percent) and high school principals (51 percent) express a desire for such training.

Another area for program integration concerns transition programs, since new legislation requires state efforts to improve transitions at the lower and upper grades.

The principal survey revealed low interest in transition programs at either end of the K-12 spectrum. However, interest is higher for principals most directly affected by the transitions. More elementary principals are interested in preschool transitions (21 percent) and high school principals are more interested in school-to-work programs (36 percent).

To best accommodate transition programs, while recognizing that Arizona principals do not yet view these as priorities, ADE could:

- Ensure that transitions (preschool and school-to-work) are an explicit part of the state's comprehensive framework.

- Publicize the legislative and research-based rationale for transition services.

- Create an aligned training strand in the state's professional development component to work with school personnel and others about the concepts and elements of transitions.

- Expand the expertise of ADE staff about the concepts and elements of transitions.

- Deregulate targeted state-funded programs to allow the use of state funds (e.g., at-risk) for transition activities, and actively encourage the development of transition activities in these programs.

Reducing Regulatory Burdens: In research and practice, there is a movement toward increased regulatory flexibility. One strategy that promotes such flexibility and reduces regulatory burdens concerns the development of one or more "consolidated applications." As part of this research, consolidated applications developed by California and Texas were reviewed. These states' applications are intended to promote schoolwide planning and have features such as combined program assurances for several categorical funding sources and provisions for districts/schools to request waivers from certain regulatory statutes. Both states offer technical assistance for schools/districts in completing these applications.

Also as part of this research, Morrison Institute analysts compared applications for a variety of categorically funded programs (both federal and state). Both minor and significant disparities in program application guidelines were noted (see Appendix D).

Toward improving technical assistance at the state level, Arizona principals *most* desire streamlined application and reporting processes. Nearly three-quarters of all principals (74 percent) stated this as a priority for state-level improvement; over half (54 percent) indicated this as their top priority. Principals indicated that computerized federal/state applications and reports might serve as an effective means to facilitate application and reporting processes. Or, the ADE could follow suit with other states in developing consolidated application forms.

In keeping with these findings, ADE could:

- Develop a consolidated application form (such as those developed by California and Texas) for schoolwide improvement, with appropriate support mechanisms such as:
  - Regional grantsmanship workshops on consolidated programs, and
  - Site-based troubleshooting and assistance.
- Develop computerized formats for applications and reporting, similar to those being implemented for recording ASAP results.
- Review and refine state program applications to ensure consistency among guidelines and directions for completion, and to reinforce elements of comprehensive service delivery.

Parent/Family Involvement and Integrated Services

In this section, parent/family involvement and integrated services are linked because effectively involving parents and families often means that their personal needs are met. These needs are often social, economic, or health-related.

In *Keeping Up With Reform*, Arizona principals ranked parent involvement as the second highest priority in terms of strengthening local comprehensive services, and third in terms of topics in which they would like "how to" advice. Fully 71 percent felt that strengthening parent involvement would help their schools; 55 percent said training in this area was a top priority.

Social/economic and health services were *not* perceived as schools' highest priorities, although more than 40 percent of all principals *did* indicate an interest in strengthening these components. Furthermore, many expressed a desire for training in these areas: one-third indicated a desire for "how-to" training in linking with social service providers; 18 percent wanted training in linking with health care providers.

In light of these findings, and assuming alignment with a coherent state policy for parent/family involvement, ADE should:

- Design and implement a program of training and assistance to local schools in formulating comprehensive, integrated parent/family involvement plans and strategies, based on the research of "what works."

As for integrating social, economic and health services for children and families, one of the most promising things the state can do is to continue to promote the development of Family Resource Centers. A majority of principals surveyed (73 percent) are interested in developing Family Resource Centers on or near their school campuses. Eighty-four percent of those *most* interested said they would require technical assistance to get started, even if they had access to a no/low cost facility to house such a center.

In support of such centers, ADE could:

- Pursue the development of Family Resource Centers or similar vehicles for delivering integrated services.

- Develop a cadre of site-based personnel with expertise in developing and running Family Resource Centers, and utilize these professionals to work with interested schools.

Professional Development

Professional development is also a high priority among Arizona principals. Sixty-one percent of the survey respondents indicated that a strengthened program of staff development would help their schools; 55 percent indicated that they would like training on maximizing professional development as a means of school improvement. The global recommendation in this area parallels the recommendation in the area of parent/family involvement. That is, assuming alignment with a coherent state policy for professional development, ADE should:

- Design and implement a program of training and assistance to local schools in formulating comprehensive, integrated professional development plans and strategies, based on the research of "what works."

In developing such a program, ADE should examine more thoroughly the results of *Keeping Up With Reform*. For example, in addition to specific topics presented in the previous sections, principals express a desire for more grantsmanship workshops and summer training opportunities. Moreover, there is strong support for training all school-level personnel—school teams, teachers, school-level administrators, and other personnel such as counselors. In particular, principals felt that teachers and school teams were most likely to benefit from training.

Local Planning

Local planning efforts are equally as important as state planning efforts. ADE has already implemented a system for district planning related to *Essential Skills* and ASAP. But as new federal and state initiatives are enacted and as the state continues to articulate its own goals, ADE should:

- Design and implement more intensive training and assistance to local schools in formulating comprehensive, integrated plans.

In *Keeping Up With Reform*, 53 percent of the principal respondents indicated that a local plan to coordinate student education, parent involvement, staff development, and integrated services would strengthen their school.

Other Considerations

State goal-setting and plans, technical assistance strategies that support schools in local improvement efforts, and school-based goals and plans aligned with state goals are global concepts underlying systemic reform. However, there are certainly many additional considerations that go into crafting a cohesive service delivery system at the state level. Morrison Institute researchers explored some of these considerations in the survey *Keeping Up With Reform*.

This section explores several cross-cutting themes that research and practice suggest help support the development of a comprehensive service delivery system. Arizona principals' priorities are reflected in the discussion.

Establishing Regional Training

Many survey results from *Keeping Up With Reform* varied by region. Principals expressed relatively high interest in the development of regional training centers (44 percent of all principals indicated this as a high priority to improve state-level technical assistance). Accordingly, ADE should:

- Develop specific strategies for targeting technical assistance by geographic location, since schools in similar locations (e.g., inner city, suburban, rural/ reservation) tend to share certain needs and characteristics that require different approaches to technical assistance. Actions might include:
  - the development of regional support centers for the dissemination of information and provision of technical assistance (in planning, implementation, and evaluation);
  - greater use of technology in the delivery of services, such as through interactive workshops held via satellite, or closed-circuit television programs/series with telephone link-ups.
  - working in closer partnership with state community colleges and institutions of higher learning to develop regional training models.

Using Practitioner Advisory Groups

One means for improving state-level technical assistance involves the use of practitioner advisory groups. Given the fact that local ownership of new policies and practices recurs as an element associated with successful ventures, this issue warrants particular attention. Over 40 percent of principals surveyed recommended that ADE expand the use of practitioner advisory groups; one of every five principals stated this as their number one priority in order to improve state-level technical assistance.

The use of practitioner advisory groups is especially pertinent to the development of state plans: for school improvement, parent/family involvement, and professional development). It is recommended that, in developing such plans:

- Advisory committees—specific to the planning domain—should be utilized comprised of state agency personnel, legislators, and practitioners.

Creating a Statewide Clearinghouse

Most reports on technical assistance address disseminating research, curricula, briefings, and similar materials to keep schools up-to-date on current practice and to promote networking. At the request of ADE personnel, Morrison Institute researchers investigated the development of a state-based information clearinghouse as one means to improve the dissemination of information (Greene & Dickey, 1993). At that time, the need for such a clearinghouse had not been established.

One-third of all Arizona principals expressed a desire for ADE to develop an on-line clearinghouse; nearly one-third (30 percent) said they would like a "hard copy" clearinghouse. Depending on ADE's priorities, ADE could:

- Establish a state information clearing-house—preferably "on-line"—to link Arizona schools with each other and with information on "best practices" in school improvement.

◆ ◆ ◆

There are two additional areas for ADE consideration that were not included on the Arizona principal survey, but that did emerge as issues through a review of the legislation, literature on state reform strategies and school improvement, and input from Arizona

practitioners. Each of these issues are addressed briefly.

Supporting Local Capacity Via Counselors

Although not included on the *Keeping Up With Reform* survey, one area for potential state examination presented itself as the project evolved. Based on examinations of "what works" in concert with reviews of certain legislation, counseling services (via direct delivery or referral) play a critical role in working effectively with students and families and are an important element of comprehensive services. Research suggests a counselor-to-student ratio of 1:300, and links effective counseling services with numerous positive outcomes such as higher achievement, lower dropout rates, and improved self-esteem.

Counseling is also a key component of comprehensive health services. And, new legislation regarding transition services implies even greater roles for school-based counselors and/or social workers, particularly in the area of career counseling (i.e., in relation to school-to-work programs). Some Arizona data show that not all schools have counselors (King, 1994), but the full extent of the problem is not known. ADE should:

- Conduct a statewide survey of schools to determine the number of school counselors and their roles and responsibilities.
- Promote the integration of counseling services for children and families as part of schools' comprehensive plans.
- Examine ways to increase school/district funds to support counselors.
- Advocate partnerships with community-based service providers and encourage the re-location of counseling services on or near the school site.

Assessing the State Use of Incentives and Mandates

Perhaps one of the most formidable challenges ADE could accept is a thorough analysis of Arizona's use of incentives and mandates to encourage and promote local school improvement efforts. As in Kentucky and other states undergoing systemic reform, such policy instruments need to be carefully articulated in relation to state goals for student education, parent involvement, and professional development. Therefore, ADE could work with legislative leaders to:

- Reexamine the use of incentives and mandates in relation to state goals for school improvement.

In such an analysis, Arizona policymakers may wish to reconsider its use of incentives such as financial awards or state recognition. A new focus for incentives might be adopted, such as for schools that have exemplary *integrated* programs that result in student achievement. A system of mandates needs to be conceived as well. As in Kentucky, such a system might begin with intensive, site-based assistance in designing local strategies for school improvement and move to progressively more severe consequences.

Building ADE's Capacity

In *Keeping Up With Reform*, a survey item regarding the creation of multi-disciplinary teams at ADE was of lowest priority for Arizona principals. Nevertheless, new roles for staff appear imminent as Arizona implements new reform initiatives (e.g., increased regulatory flexibility). ADE needs to examine its own staff capacity.

ADE assistance *is* a desired commodity for many schools that depend on the state for clear guidance. However, conflicting advice from multiple ADE sources is of continued concern to many practitioners. Staff—and especially the "frontline" program personnel that directly interface with school personnel—need training, such that all state-level communication to local educational agencies is clear and represents a unified message.[5]

ADE should explore its own means to build staff capacity as well as consider strategies used by other states. These include the following:

- Train specialists from different categorical programs that currently mandate or incorporate specific program elements (e.g., early childhood education; parent involvement) in "best practices" in such *content* areas to ensure that multiple program specialists convey a similar message to school personnel.

- Create cross-cutting teams to work on various state initiatives. Vermont, for example, has restructured its department of education into "home teams," "initiative teams," and "project teams" each of which are focused on certain elements of the state's strategic plan (cf. Lusi, 1994).

- Ensure that *all* ADE staff are fully aware of any new policies that provide regulatory flexibility such that program monitoring and compliance are balanced with expectations for *schoolwide* improvement.

The issue of state-level capacity building cannot be overemphasized. Lacking the will or skill to implement reform, all of the foregoing recommendations become nothing more than another "laundry list" doomed to collect dust on the shelf.

The systemic reform movement, and the system of comprehensive services embedded in this concept, has major implications for state departments of education, and ADE is no exception. The literature suggests that state agencies will need to restructure as they seek to define for themselves new roles and relationships with local schools in keeping with new initiatives. The literature also suggests that such efforts are doomed to fail without "buy-in" from employees charged with implementing a new vision.

First and foremost, then, the ADE administration needs to seriously consider the degree to which they want to pursue a systemic reform agenda. They need to consider their own approach to comprehensive services, and whether there is the long-term commitment required to effect change. They need to examine whether or not the traditional and more bureaucratic structure of the department may be counterproductive to local improvement efforts which are more holistic in nature.

Interview data from a select group of ADE personnel shed light on some possible reforms ADE may wish to consider (see Appendix B). For example, when asked their vision of comprehensive services, most of those interviewed were inclined to describe an array of services *within their own categorical programs*. This is certainly understandable, but may prove counterproductive in the long-term in promoting program integration and more holistic services at the local level.

In another area, while several ADE staff members indicated a desire to participate in cross-training and multi-unit teams, some felt that such efforts were not encouraged and, in fact, were actively discouraged, by the ADE administration. In yet another instance, there is no uniform definition of "technical assistance" shared by ADE employees charged with providing such assistance. Although definitions had some elements in common (e.g., supporting staff training), no two people defined technical assistance in the same way. This lack of common definition is not particularly surprising given that there are no clear definitions—much less consensus—in the research literature about what "technical assistance" means. As often as this term is bantered about, very little work on technical assistance has been published.

If there is the sincere desire to proceed in creating a "coherent and cohesive" system to support children and their families, ADE needs to focus on its own infrastructure. It needs to build its own capacity, while at the same time building local capacity through improved technical assistance.

As one way to assess its own readiness for "readiness for change," ADE may wish to consider asking a series of questions such as:

- Is there a clear ADE mission statement that focuses on students, and service to schools? Do employees share the beliefs and values that underlie this mission?

- Does ADE have an overarching philosophy and approach to family involvement? Integrated services for families and children? Professional development? ***Or***, are activities in each of these areas piecemeal? Are mission statements aligned and undergird the ultimate goal of improving student performance?

- Do ADE staff have the requisite skills and abilities to act as "critical friends" to districts and schools, as opposed to "purveyors of answers"? (Lusi, 1994).

- To what extent is the professional development of staff supported? Is staff training on new reform initiatives provided such that ***all*** employees clearly understand the move from regulatory policies to those that emphasize regulatory flexibility?

- What do ADE staff see as their roles in partnering with schools? What ***are*** the department's connections with other agencies? How closely are services aligned at the state level?

- How much autonomy and flexibility are ADE staff allowed in making decisions? To what extent do frontline workers have real input into the system? How much internal dialogue is promoted, and actually takes place, among those who provide direct services to schools? Is risk-taking encouraged?

These questions are based on five principles identified in the educational literature as underlying effective service delivery (Figure 7). Originally proposed in relation to local school improvement efforts, these five principles apply equally to examining state improvement efforts (cf. *Comprehensive Services in Arizona Schools*).

Figure 7

Principles Underlying Effective Service Delivery

Philosophy: Effective programs are based on the philosophy that all children can learn.

People: Effective programs are run by highly committed staff within highly supportive environments.

Partners: Effective programs extend services beyond those typically ascribed to public schools; i.e., they are comprehensive.

Processes: Effective programs are characterized by a site-based focus, reflection, and commitment to improvement.

Promising Practices: Effective programs incorporate multiple, proven strategies.

If people...are expected to act on a set of shared beliefs, values, and purpose that permeates the organization, it seems reasonable that they must also be given the power to act. Giving everyone in the organization the power to act implies that information and resources must be widely shared, as opposed to located only in the upper levels of the hierarchy. SDE employees must flexibly respond to needs as they arise. Flexible response is enabled by the wide availability of...information, resources, and support.

Systemic School Reform: The Challenges Faced by State Departments of Education, Lusi, 1994

SUMMARY

This chapter presents a menu of options for ADE to consider as it pursues its own reform agenda. Considered individually, these options represent yet more piecemeal approaches to fixing a system in need of repair. Considered collectively—*in the context of long-term systemic reform*—the options presented should add richness to continued dialogue on reform and, if implemented, lend diversity to the services that constitute a comprehensive service delivery system.

Simply put, this chapter suggests that a state comprehensive plan entails three "plans-within-a-plan" that articulate goals for student education in concert with parent/family services and professional development. State plans need to be carefully aligned in order to promote the ultimate goal of improving student performance. Planning needs to involve practitioners who have expertise in the specific domain under consideration.

The state's mission, policy, and plans need to be clearly—and repeatedly—articulated to the public and to school personnel. There is no such thing as too much information. And strategies need to be developed that create local ownership of the state's vision. Thus, technical assistance should be designed to involve local personnel in crafting their own customized policies and plans—not just to impart information.

Ultimately, the success of improvement efforts depends on people. Local and state educational agencies *must* invest in their people—to enhance their knowledge base, expertise, and ability to work profitably in a policy environment that promotes greater collaboration in developing solutions to complex problems.

INTEGRATING AT-RISK PROGRAMS IN A CONTEXT OF SCHOOLWIDE IMPROVEMENT

The current era of reform is directed at schoolwide improvement for *all* students regardless of how they are categorized. Such reform has implications for how Arizona "at-risk" funding can best be used. A key policy issue for state and local communities faced with a mix of funding sources is "how to use categorical funding sources to best advantage, in order to meet the needs of...children and their families in a way that does not segregate them by categorical funding streams" (Seppanen et. al., 1993, p. 132).

A BRIEF RECAP OF ARIZONA'S AT-RISK PROJECT

The state's program for funding K-3 and 7-12 at-risk programs goes back to H.B. 2217 (1988), which allocated roughly 7.7 million for at-risk programming to be overseen by the Arizona Department of Education. For the 1988-89 school year, the Arizona Department of Education solicited proposals from "high risk" districts to apply for these funds through a competitive grant process. Districts were identified as high-risk based on a number of variables such as percentages of limited English speaking students, of children receiving free or reduced-cost lunches, of children achieving below the 40th percentile on the Iowa Test of Basic Skills, of students dropping out, and district absenteeism rates. At-risk funding was extended for 1989-90 for existing sites, and expanded to new sites, including some individual schools within high-risk districts.

In spring 1989, the Morrison Institute for Public Policy, School of Public Affairs, Arizona State University was engaged to conduct a four-year longitudinal study (1988-92) of *all* at-risk pilot sites to determine the overall impact of program services on students. The study documented a number of results which suggested that at-risk programs, on the whole, did have a positive impact on students and their families. "Impact" data included fewer numbers of students retained in lower grades, more earned academic credits in higher grades, increased attendance for students in at-risk programs, and small gains in student achievement. Although individual sites were evaluated, the longitudinal study focused on the state's aggregate results and reported data accordingly. Aggregated results tipped the scales in favor of at-risk programs as a whole; individual site data, however, were uneven.

Some sites implemented processes of continuous improvement. They assessed the effectiveness of their programs for students and made program adjustments accordingly. In conjunction with parental program support and involvement, staff development, and integrated service delivery, these schools did a good job of creating environments conducive to learning. Among these sites, some achieved significant gains in student achievement; other gains were relatively small. Whether noteworthy or marginal, all "successful" sites demonstrated gains in student achievement.

Other districts/schools receiving state at-risk funds struggled, and did *not* produce discernible evidence of student, or program, improvement. Most programs that achieved positive results were noted to have a elements such as stable leadership, strong plans, good communication, and internal mechanisms for monitoring success. In contrast, struggling sites tended not to have these features and were plagued by turnover in key administrative staff.

Since the completion of the Morrison Institute longitudinal study in spring 1992, continued program oversight has been the responsibility of ADE. For the 7-12 programs, department personnel have pursued the development and collection of program evaluation impact data. They have refined a data collection form based on many of the measures used in the original longitudinal study, and have developed a computerized database to house such information. Program personnel have received computer diskettes for recording such data, and have received ongoing training. As of early 1994, no similar steps had been taken to institutionalize program evaluation data for K-3 programs. This is most likely attributable to ADE staff turnover in administering the K-3 grant programs since spring 1992.

A continuing concern for ADE and the Arizona state legislature is the accountability of individual sites receiving state at-risk funds. Policymakers want assurance that the considerable monies invested in this venture are worth the expense. As Arizona moves to a more results-oriented accountability system, the question regarding at-risk sites is really one of how to reward districts/schools that show evidence of student achievement and continuous improvement and how to assist and eventually sanction those which have not.

ARIZONA'S AT-RISK PROGRAMS: POSSIBLE DIRECTIONS FOR THE FUTURE

Morrison Institute's research for this current project suggests that the state needs to "reframe" at-risk programs in the context of schoolwide improvement efforts. Such reframing implies three things:

- At the local level, at-risk programs need to be fully integrated as a component of a comprehensive, integrated service delivery system.
- At the state level, state policymakers need to clearly define what results are expected from sites receiving at-risk funds, in keeping with the development of a results-oriented accountability system.
- At the state level, state policymakers should consider providing at-risk sites with increased regulatory flexibility concerning the use of at-risk funds.

Integrating At-Risk Programs

If, as research suggests, comprehensive, integrated programs are more likely to yield long-term results than fragmented, targeted programs, then ADE can, and should, promote comprehensive service delivery. Guidelines for at-risk programs need to be revisited to ensure that comprehensive programming is reinforced. As related to at-risk issues, however, comprehensive programming needs to be examined somewhat differently for younger and older students.

In the earlier grades, it is pedagogically counterproductive to single out specific subgroups of children for "special services." As noted researcher Henry Levin would say, what is good for one's own child, is good enough for any child. Comprehensive programming, therefore, is appropriately conceptualized as schoolwide.

For older youth who are considered to be at-risk, the concept of schoolwide improvement needs to be qualified. Serving these students in a more traditional program of study is *not* a strategy proven to be effective with "at-risk" youth. Rather, specialized alternative programs—which tend to be self-contained, integrated, and holistic programs—should be considered as part of a comprehensive high school's repertoire. For older students, therefore, comprehensive programming is appropriately conceptualized as pertaining not only to schoolwide improvement, but to improved programming within an alternative school or school-within-a-school.

To summarize, given the research base on "effective" program strategies, state guidelines for at-risk should even further emphasize sound early childhood education practices for younger children and integrated alternative programs for older students.

Results-Oriented Accountability

During the four-year longitudinal study of at-risk programs, Morrison Institute sought to establish criteria upon which sites receiving at-risk funds could be deemed "successful." As the project evolved, 15 databases were developed—in collaboration with site personnel—to assess program impact. Data gathered from each site included:

- standardized test data from the Iowa Test of Basic Skills (ITBS) which was in use during the conduct of the study.
- other indicators of student achievement and performance, such as attendance rates (all sites), retention rates (K-3), and dropout rates (7-12).
- participation data documenting student and parent involvement and staff development activities.
- teacher and student survey data.
- interview data from school personnel, parents, and students.
- program cost data.

Based on Morrison Institute's experience in evaluating such programs, multiple measures of program impact are needed, since any one indicator is highly susceptible to factors beyond schools' control and can fluctuate from year to year.

Since Morrison Institute's evaluation study, the state no longer employs the Iowa Test of Basic Skills as the primary means to gauge student achievement. It has moved to implementing the Arizona Student Assessment Program (ASAP), a system of accountability aligned with the state's *Essential Skills* curriculum frameworks that includes both norm-reference and performance-based measures.

Evaluations of sites receiving at-risk funds therefore need to incorporate the ASAP system. If schoolwide improvement is the goal, then evaluations of sites receiving at-risk monies should focus on the school (traditional or alternative) as the unit of analysis. A separate *program* evaluation should be unnecessary (except in the case that an alternative school or school-within-a-school is considered a program).

The evaluation question should be one of whether or not sites receiving at-risk funds improve over time rather than one of how much improvement is attributable to at-risk dollars. This requires that policymakers and ADE:

1) accept the premise that educating at-risk children is more costly than educating those who are not at-risk;

2) grant to schools the authority to use extra dollars however the site sees fit to improve the learning environment; and

3) shift from *program compliance* issues and specific fiscal monitoring of at-risk funds to *assessing the holistic effect of combined funds* (i.e., to assess school improvement).

The "bottom line" results are what matter. Results should include multiple measures of program impact that incorporate ASAP. The development of the "right" combination of multiple measures, however, is no easy task and is anticipated to take time and energy to develop a workable, credible, and reasonable system.

Once measures are defined, ADE personnel need to clearly articulate expectations to at-risk site personnel. These expectations should be accompanied by an explication of a system of rewards and sanctions for achieving school goals. This report suggests that "rewards" should consist of a two or three year funding reapproval cycle, instead of requiring annual reapplication forms. "Sanctions" should consist of mandated technical assistance to assist schools:

- ✓ formulate a local plan for comprehensive, integrated service delivery;
- ✓ conduct/analyze a local needs assessment;

- ✓ develop/implement a research-based plan for:

  —either an early childhood education program or alternative school program;

  —parent involvement strategies that are aligned with educational goals;

  —professional development that is aligned with educational goals; and

- ✓ develop an evaluation plan that effectively integrates ASAP results.

Such technical assistance ideally should be provided by teams comprised of ADE personnel, personnel from successful at-risk sites, and others with specific expertise (e.g. social service or health providers, university-based professionals, outside consultants).

Regulatory Flexibility

Some at-risk sites have successfully blended at-risk program strategies within more comprehensive frameworks for service delivery and some have not. Although the reasons for lack of program integration are varied, "arbitrary guidelines" and lack of local and state leadership promoting such services are cited by at-risk project staff as major contributors to continued fragmentation in the system.[6]

Among the sites that have attempted to construct more holistic programs, five were investigated by Morrison Institute researchers as part of the CARE Project (and documented in the report *Comprehensive Services in Arizona Schools*). Personnel in these schools confirm feeling that they must constantly convince district, state, and federal program monitors to focus on their holistic total school improvement efforts than on strict compliance with procedural and fiscal guidelines. Apparently, the mind-set that school improvement efforts can—and must—extend beyond the classroom has not "caught on."

Overall, ADE needs to reexamine how sites receiving at-risk funds are monitored. Increased regulatory flexibility may be warranted, freeing sites from specific programmatic compliance reporting.

Reframing At-Risk Programs: A Platform Upon Which to Build

Should ADE and state policymakers wish to revise the at-risk program in light of suggestions in this report, it appears prudent to build on the foundation of work that has already been done with respect to these programs. For example, as part of the CARE Project, Morrison Institute researchers examined Arizona legislation pertaining to at-risk funded programs. The most recent legislative proposal was Senate Bill 1513 (1994), referenced as "Comprehensive At-Risk Education." This bill provides a good platform on which to restructure the state's at-risk project.

Importantly, the bill focused on schools rather than districts. It required school-based plans for serving at-risk students. Local plans were to address nine elements. Abstracted from SB 1513 (1994), these elements are shown in Figure 8.

SB 1513 (1994) captured the essence of what can currently be recommended for the continued administration of state-funded at-risk programs—with one exception. The focus of the bill needs to move away from *program* improvement to *school* improvement. At-risk funds should no longer be for "at-risk" programming; rather, they should be designed to enhance the ability of the school to meet the needs of ***all*** students. This is not just a semantic argument; it is a philosophical statement that supports state and federal goals.

The component of the plan that requires evaluation cannot be constructed without state assistance. As noted, ADE's role is to help establish criteria upon which sites will be judged as eligible for continued funding. This report recommends a broad-based evaluation system incorporating ASAP information. Local sites needs to thoroughly understand these criteria prior to developing an evaluation strategy and should receive technical assistance in developing and implementing the evaluation.

Figure 8

Components of a School's Comprehensive Plan for Serving At-Risk Pupils

1. Evidence that the planning process involved administration, staff, parents and other community members; Provisions for on-going review of the plan.
2. Results of a needs assessment.
3. Documentation of efforts to integrate local, state, and federal programs.
4. Delineation of specific educational outcomes and plans to achieve them; Measurable objectives.
5. Research-based program strategies, including strategies for parent involvement (required for programs in grades K-8; encouraged for programs in grades 9-12).
6. Strategies for professional development aligned with student educational goals.
7. Documentation of school efforts to solicit the support of corporate and individual volunteers.
8. Detailed strategies for offering and/or securing school-based/school-linked social and health services.
9. Means to evaluate specific objectives.

In exchange for more results-oriented accountability, at-risk funded sites should *not* be micro-managed in reference to how at-risk monies are used. Sites should be given the freedom to determine the use of monies as they see fit to implement local improvement efforts. If improvement is not manifest over an agreed-upon period of time, more specific program/fiscal monitoring is in order. A precedence for increased regulatory flexibility in exchange for "high-stakes" accountability is found in proposed legislation on incentives for school restructuring (Senate Bill 1403, 1994). Although this bill did not pass, ADE and state policymakers may wish to reexamine the bill for ideas that could be integrated into revising the at-risk project. For example, some volunteer at-risk sites could be used as research sites to test out a system of high stakes accountability in exchange for even greater regulatory flexibility.

Furthering the Goals of Systemic Reform

Arizona has several existing programs in place that lend themselves to comprehensive programming. For example, the K-3 At-Risk Pilot Projects, full-day kindergarten programs, and at-risk preschool programs all promote good early childhood education programs. Resources could be combined and used to promote sound early childhood programming inclusive of preschool programs and transition programs to kindergarten.

For older students, there are multiple programs designed to meet a similar intent (e.g., the 7-12 At-Risk Pilot Projects, Dropout Prevention projects, some discretionary "at-risk" projects funded by the Division of Vocational-Technological Education). Guidelines in each of these programs could be aligned to reinforce programmatic elements shown to be effective in working with older at-risk youth (e.g., those that integrate vocational education/school-to-work components). Schools could then be better encouraged to leverage these funds to implement more comprehensive programs.

Combining categorical funds that essentially promote the same goals and target similar populations could reduce paperwork and facilitate integrated programs. Such efforts meet the challenge presented at the beginning of this section of how to best use categorical funding in order to meet the needs of children and their families in a way that does not categorically label them. Therefore, in addition to attempts to expand funding for sites serving large percentages of at-risk students, ADE in conjunction with the legislature should

carefully examine ways to redeploy existing programmatic funds.

BARRIERS TO REFRAMING ARIZONA AT-RISK PROGRAMS

It is relatively easy to envision a system within which at-risk programs could be integrated. It is another matter completely to define the details of the system and implement it. The literature on state roles in reform, Arizona's history, and other states' experiences validate that educational reform is extraordinarily difficult.

Systemic change requires fresh perspectives on time-honored traditions. It requires a new mind-set among state policymakers, ADE, schools, and the public—a way of creating solutions based on reframed definitions of problems. The problem is *not* that students fail; it is that learning environments have yet to achieve their potential to maximize student potential. The problem is *not* that parents fail to become involved; it is that definitions of appropriate parent roles in schools are constantly evolving. The problem is *not* that the state has failed to support schools to improve; it is that the policy environment in which the state operates has fostered the creation of a bureaucracy that is no longer functionally aligned with reform. Reframing problems forces a shift in creating new solutions.

There is also the onerous task of holding schools accountable. For years, researchers and practitioners have struggled with what should be considered appropriate accountability. Definitions of accountability have changed and continue to evolve. State policymakers, ADE, and schools need to exercise patience, realizing that the development of a good system of results-oriented accountability will take time...and money. The state needs to continue to invest in the development of a system that will allow policymakers and the public to determine whether schools are, in fact, making a difference.

Finally, with respect to at-risk and other categorical funds, there is a long tradition of such funding—all with their own constituencies. Fighting fragmentation means uniting special interest groups and building consensus that coordination and collaboration are in the best interest of all populations. Ultimately, this implies moving from targeted, "pilot" programs which are exclusive to a limited number of schools to a more equitable, and universal, system of school improvement.

Putting the pieces of reform together so that policy provides strong, coherent support for school improvement is a complex undertaking. Systemic reform ideas seem to require unprecedented efforts to integrate separate policies, new strategies of policy sequencing, novel processes to involve public and professionals in setting standards, challenges to traditional politics, complex efforts to balance state leadership with flexibility at the school site, extraordinary investment in professional development, and creative approaches to serving the varied needs of students. To compound the challenge, states are facing these extremely demanding issues at a time of severe fiscal difficult. Nonetheless, policymakers are crafting strategies to deliberate, develop, and implement more coherent policy that supports ambitious teaching and learning.

—*School Reform in the United States: Putting it into Context*
Fuhrman, Elmore & Massell, 1993

SUMMARY

Educational reform in the 1990s poses formidable challenges to educators and policymakers at all levels of the educational system. Reformers are directing their attention toward improving the environments and opportunities for learning that are closest to students—local schools. In turn, state and federal roles in the reform movement are defined in terms of how they can best support local school improvement.

Based on research and practice, state roles to support school improvement are defined as follows:

- Define high standards of learning by which student success can be gauged.
- Develop outcomes-based measurement systems by which student and school improvement can be assessed.
- Remove regulatory barriers to school improvement efforts.
- Improve transitions for students moving between preschool, elementary, secondary, and postsecondary education/employment through the development of program services and linkages.
- Integrate and align multiple, and often competing, "comprehensive" programs and frameworks.
- Provide incentives for schools to improve family involvement in schools.
- Improve social, economic, and health services, with the goal to improve families' (and therefore children's) quality of life.
- Invest in professional development, recognizing that staff resources are a school's most important asset.
- Improve connections and linkages between educational institutions and their local and state communities.

Arizona has made, and continues to make, considerable progress with respect to some of these roles (e.g., the state's curriculum frameworks, Arizona *Essential Skills*, and companion Arizona Student Assessment Program). Other roles need expansion and refinement.

This report suggests that as ADE and state policymakers proceed in designing an Arizona *Goals 2000* plan to improve student achievement, they craft and align state plans to serve students' parents/families and support professional development with respect to the training, certification, and evaluation of school personnel.

It suggests that once state plans are clearly articulated, ADE implement parallel strands of technical assistance for schools in the areas of student programming, parent/family services, and professional development. A major component of such technical assistance should be to facilitate the development of local plans for integrating student education, parent/family involvement, and professional development.

The report mentions many specific ideas for ADE to consider in enhancing and expanding their technical assistance repertoire (e.g., regional training, greater use of practitioner advisory groups, creating a statewide clearinghouse for information on at-risk programs and strategies). Ultimately, the pursuit of any or all of these strategies depends on ADE-defined priorities.

From the perspective of systemic reform, the most significant suggestion in this report concerns an internal assessment of ADE capacity. No state plan or series of technical assistance activities is likely to be successful unless ADE personnel thoroughly understand and "buy in" to the state's philosophy and goals. This report suggests that ADE seriously

examine (or reexamine) its mission,philosophy, and roles in relation to schools as a part of reforming Arizona's educational system.

Finally, the report examines how Arizona "at-risk" programs and funds might be better integrated into a more holistic system designed to promote school improvement. The report suggests that:

- At the local level, at-risk programs need to be fully integrated as a component of a comprehensive, integrated service delivery system.
- At the state level, state policymakers need to clearly define what results are expected from sites receiving at-risk funds, in keeping with the development of a results-oriented accountability system.
- At the state level, state policymakers should consider providing at-risk sites with increased regulatory flexibility concerning the use of at-risk funds.

In the spirit of reform, Arizona should move away from "at-risk" programs to more holistic school improvement. At-risk funds provide needed and valuable resources for school improvement efforts in areas that serve high percentages of students predicted or known to be at risk. Funding should continue, but explicitly acknowledge the goal of total school improvement—not simply program improvement. Furthermore, schools should continue to be evaluated with respect to more holistic outcomes. However, state assistance is needed to help define and refine an evaluation system. Finally, the state should consider granting sites that receive at-risk funds increased flexibility in exchange for results-oriented accountability.

ENDNOTES

1. The Arizona At-Risk Pilot Project is documented in detail in three annual project evaluation reports (Bierlein, Sandler, Martin, & Melnick, 1989 *and* Bierlein et. al., 1989; Bierlein, Vandegrift, Hartwell, Sandler, & Champagne, 1990; Vandegrift, Bierlein, & Greene, 1991); two policy reports (Bierlein, 1990; Vandegrift, Bierlein, & Greene, 1991); and eight briefing papers produced between January 1991 and January 1993. Replicable model components are described in *Promising Practices for At-Risk Youth: Blueprints for Success*, Volume 1: Primary Programs and Volume 2: Secondary Programs (Vandegrift, J.A., Greene, A. & Heffernon, R., 1993).

2. Rebarber (1991) also defines a "comprehensive accountability system" as one that has clear and measurable goals, assessment tools that measure progress toward the goals, and incentive structures that reward goal-achievement and ensure adjustments in case of failure. He, too, noted that—at this time—no state had fully implemented accountability systems.

3. See the companion report *Comprehensive Services in Arizona Schools: A Research and Planning Primer* (Vandegrift et. al., 1994).

4. This discussion is based, in part, on a personal conversation with Dr. Shirley McCune, former Assistant Secretary of Education. Dr. McCune is a renowned expert on leadership and staff development.

5. Input from at-risk project site personnel regarding these issues is documented in Appendix A in the report *Comprehensive Services in Arizona Schools: A Research and Planning Primer*; other practitioner perspectives are included as part of this *State Strategies* report (Appendix C).

6. See Appendix A in *Comprehensive Services in Arizona Schools: A Research and Planning Primer*.

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APPENDIX A: TEACHER INSTITUTES IN THREE STATES

— Prepared by Andrea Greene

CONNECTICUT INSTITUTE OF TEACHING AND LEARNING

State of Connecticut Department of Education[1]

The Institute of Teaching and Learning (ITL), which is part of the Connecticut Division of Professional Development and Certification, provides major training and professional development opportunities for teachers throughout the state. The intent of ITL activities is to go beyond what individual schools and districts have the capacity to provide locally. The content focus tends to be on enabling teachers to respond to and prepare for state and national curriculum standards. For example, the state has developed a new tenth-grade mastery test for mathematics which is based on the math Standards developed by the National Council of Teachers of Mathematics (NCTM). Teachers can attend ITL workshops to learn teaching methods that are aligned with preparing students to perform on the mathematics mastery test.

During the summer, one-week and two-week institutes are offered which provide in-depth training on one topic for school teams. Teams are required to make a two-year commitment to participate. During the school year following the summer institute, state department consultants make monthly site visits to the schools to provide observation, feedback, and technical assistance on the new content or method. The same school team then returns the following summer for more extensive "training-of-trainers" inservice, which enables them to provide training to other teachers at their school sites. A nominal registration fee is charged, which goes back to the state general fund.

Other services of the ITL include the following:

- providing on-site technical assistance to districts in developing state-mandated professional development plans;
- conducting one-day thematic institutes each month during the school year on topics related to the state's education initiatives (e.g., integrated instruction; school-to-work transition);
- coordinating Principal's Academies and Leadership Academies;
- working with para-professionals who are preparing for teacher certification.

The planning and coordination of ITL services is centralized, but delivery and management of the services are decentralized. The regional delivery model consists of six state-supported Regional Educational Service Centers. Each center is managed by an executive director and serves a schools within a particular geographic region in the state.

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1. H. Portner (personal communication, March 3, 1994)

ACADEMY FOR THE ADVANCEMENT OF TEACHING AND MANAGEMENT (now called) Academy for Professional Development

New Jersey State Department of Education[2]

The Academy was started in 1984 by a New Jersey governor who made a significant commitment of state funds to education. By 1989, the Academy employed 20 full-time trainers who worked out of a corporate training center in central New Jersey. In addition, the Academy coordinated the training activities of three Regional Curriculum Service Units (RCSU's) that provided training on similar topics.

At their peak, each of the RCSU's had a staff of about 15 trainers. Training emphasis tended to be on instructional strategies and effective teaching practices rather than on curriculum content. Institutes for school administrators focused on developing management and leadership skills. Participating schools and/or districts were required to send a team for training, and the team had to sign a contract agreeing to participate in follow-up activities for some designated period of time after the initial training. Training was intensive and involved on-site follow-up by staff who went to the schools and provided coaching in the form of observation and feedback. Schools or districts paid a fee for participating; however, the fee was not cycled back into the Academy but rather went into the state's general fund. If the fees had gone into the Academy, it would have been almost self-supporting.

Despite wide recognition as an exemplary model for statewide professional development, the Academy was drastically cut in 1990 when a new governor was elected through a hiring freeze. Due to the uncertain future of the Academy, many staff members took positions with schools and districts.

The current Academy staff consists of six full-time trainers, plus some additional trainers who work on a consultation basis. They offer a broad range of topics, but few sessions and in limited regions. On-site follow-up is now limited to a few districts who are able to buy into an "affiliate program." Through this program, schools or districts can pay $7500 which provides them with a discount on training and follow-up support at their sites. The Academy continues to charge a registration fee which continues to go back into the general fund. Linkages with the New Jersey Chapter of the National Staff Development Council have enabled the Academy to remain active and viable, even under tremendous economic problems. Staff are hoping for expansion in the next couple of years due to a new political climate for education. The Academy has two visions for the future: 1) Building local capacity for professional development at the school level, and 2) Linking Academy activities with a teacher re-certification process.

RHODE ISLAND SCHOOL STAFF INSTITUTE (now disbanded)

Rhode Island Department of Education[3]

The Rhode Island School Staff Institute (RISSI) was started in 1985 in response to a legislative mandate that resulted from pressure from the teachers' unions. RISSI was supported at a level of about $270,000 per year, half of which was state funding and half of which was pieced-together from several categorical federal funds (e.g., Chapter 2, Drug Education). The institute linked the state education department directly with classroom teachers. Small groups of teachers within a school would design their own professional development plan and write for a RISSI grant to fund their professional development activities at the school level.

2. M. Quinn (personal communication, March 7, 1994)

3. D. Crowley (personal communication, March 14, 1994)

Funding went through the superintendent's office for access by the teachers who received the grant. RISSI typically received requests for over $400,000 of grants, but was only able to fund about half of them.

RISSI was disbanded in the early 1990's when a new governor drastically cut the state education budget. The entire department of education is currently reorganizing around a new policy framework, based on an educational reform agenda. The four reorganization areas will be: student learner goals, professional development, child opportunity zones, and decentralization. A new statewide plan for technical assistance, professional development, and certification is in the design phase. It is expected that some of the concepts behind RISSI will be maintained in the new plan, although the exact form and content are not yet defined.

APPENDIX B: ADE INTERVIEWS— A SUMMARY OF RESPONSES

—Prepared by Linda Dickey

ADE personnel were consulted primarily to obtain their input and advice in towards the development of a principal survey on technical assistance. Interviewees were also asked their opinions about certain topics that Morrison Institute analysts were exploring at the time. We wish to express our appreciation to the staff members from the following units for sharing their insights and perspectives:

Bilingual Education (Verma Pastor)
Chapter 1/Even Start (Mike Hughes)
Chapter 2/Title II (Bill Hunter and Steve Merrill)
Comprehensive Health (Brenda Henderson)
Early Childhood Education (Mike Bell)
(K-3 at-risk, full day kindergarten, preschool at-risk)
Indian Education (Katie Stevens)
Migrant (Jane Hunt)
Secondary (7-12) At-Risk (Trudy Rogers)

Questions and summaries of responses are summarized briefly.

QUESTION: What technical assistance does your unit currently provide to schools/districts?

Interviewees listed a variety of activities as technical assistance including:

- sponsoring conferences, meetings, workshops, and/or inservice
- monitoring programs for compliance
- developing/sponsoring the development of materials
- reviewing applications
- assisting sites set up and design programs
- providing stipends to support the continuing education of teachers
- producing and disseminating a newsletter

According to staff, the most frequently requested types of technical assistance pertain to:

- compliance issues: budget/financial, planning, paperwork, resolution of compliance issues
- classroom practices, teacher practices, hands-on practices
- legislative/regulatory updates
- leadership, collaboration, team-building
- networking/information
- capacity building/how to obtain funding

How regularly are events scheduled?

Staff from six of the eight units directly addressed this question.

Five units reported providing activities on a regularly scheduled basis (annually or biannually). Annual meetings are typically designed to "kick-off" the program implementation year and provide updates on legislative/regulatory changes. It was often mentioned that specific topics would be

addressed at regularly scheduled meetings when it was evident that many programs would benefit from the information.

Additionally, four program units reported offering technical assistance upon request. Activities classified as "by request" are tailored to the specific needs of the site requesting such assistance (e.g., completing program applications).

QUESTION: How frequently does your unit currently monitor schools and/or districts for compliance? (What is the cycle for project monitoring? How many sites are monitored each year? How?)

The frequency and nature of monitoring is driven by the funding cycle. In some form, monitoring occurs generally once during the year, although it is not always on-site.

On-site monitoring is a function of funding source requirements, ADE staff availability, number of funded sites, and sites reporting problems. Larger programs try to visit districts at least once per funding cycle; smaller programs continuously monitor sites. The number of sites monitored per year ranged from 20 to over 100.

The definition of monitoring is extended to include "desk reviews" conducted through a review of program documentation and telephone calls.

QUESTION: What procedures are used for financial auditing of programs funded through your unit? (On-site visits?)

Financial auditing is conducted per federal funding source requirements. The internal ADE audit unit automatically provides an audit for those programs whose funding is less than $100,000. Programs over that amount must use part of their funding to hire a public accounting firm for the audit.

Most programs are audited by the internal ADE audit unit. This process is referred to as an A128 audit. The ADE audit unit has established expenditure benchmarks and if a program greatly deviates from one a benchmarks a more detailed examination is undertaken. Most audits also serve a compliance function.

The audit is done on an annual basis with a few programs requiring a quarterly expenditure report. A quarterly report is closer to a compliance monitoring than an actual audit. One respondent comments: "Ours is more of a review to see if their spending pattern is reasonable for what they projected in the budget and...they're not spending in the wrong categories." The expenditure reports are also reviewed "in terms of how they're spending against their budget, etc. Some are only required to send annual ones so a lot of time, unfortunately, the final expenditure reports...[identify] problems after they have happened."

A more formal ADE audit is conducted by sending an auditor to the program site to examine both financial and programmatic issues. Problems or findings are discussed with the ADE program administrative staff. In a financial audit "they review not only the books and the cash flow out in expenditures but also they look at the program and they'll make [a] determination as to whether there's a questioned cost in the program." A report of these audits is then sent to the funding unit at ADE.

Two respondents commented that they had no formal auditing requirements. One unit did not directly fund programs and the other unit stated "we monitor for program compliance. If we think there is something wrong we bring it back to audit." One unit was not aware of any mandated audit.

The idea of audit as monitoring is mentioned by several respondents.

> The financial monitoring that occurs from within, from the state department of education is regarding the annual application; how the dollars are going to be spent relative to the mission the district has chosen.

The ADE audit unit "checks for accuracy in terms of completing the form and in terms of simple mathematics." At the unit level, financial monitoring is conducted from the perspective of "being able to draw the most direct line between the dollar and the child."

QUESTION: How does your unit currently use data reported in year-end evaluation or completion reports?

Seven responses mentioned that data are used at the local or site level. Five indicated use at the federal level. Five specifically cited using data at the state level. Data was used at more than one level by several programs.

Data aggregated at the state level. The greatest use of this data is to meet formal reporting requirements to state needs. Five respondents specifically mentioned the use of this data in the preparation of reports for the federal government. One programs restricts data reporting to only that required for federal reports.

The financial portion of these reports determines how much money is being carried over from one program year to the next. These figures can be examined to determine if the funds and people served are within the scope of the funding requirements.

Data aggregated at the state level is primarily used for planning activities which encompass needs assessments, evaluation of the program in relationship to state goals and objectives, and future funding emphasis. A majority of responses emphasized the use of this information for issues relating to compliance such as the correct expenditure of funds and appropriate carry-overs. Other compliance issues mentioned were how well the program is being implemented, participation, evaluation, and accountability. Evaluation was specifically mentioned in terms of measuring progress.

Nonaggregate uses of data. Local site level uses include collection of demographic information, program accountability, fund carry-overs, and, in general, what progress is being made at each site.

Year-end evaluation or completion reports provide ADE unit staff with direct input as to what technical assistance, training, or in-service topics are needed. This can be through direct request by a program site or through review of these reported by ADE staff. This material is also used to generate presentations. Development of technical assistance is also derived from the data and this can be at either a state or local level. The information tells ADE staff what technical assistance is needed fin terms of topics or themes. It also indicates areas for professional development activities.

Feedback to sites. Feedback to sites was mentioned by three respondents and two specifically stated that they don't provide feedback. Reasons given for not providing feedback are since the districts generate the data they already have it, plus a lack of demand. One response stated that feedback has been given to sites in the form of ADE generated reports based on site self-monitoring reports. The executive summary which accompanies this aggregated data to the federal government is sent out for site level feedback.

The use of a statewide computer system as a means of data collection was reported to be in the testing stage. When implemented, the network would serve as a means of data input by individual sites. This data would be stored at the state level and used to generate reports.

> We can take a look at different populations. So what...we'll be able to do is match...the results of the individual school systems with the results of similar types of school systems.

QUESTION: How do you envision a school's comprehensive plan for the delivery of service to children and families?

Responses to this question were diverse: some saw a comprehensive plan within the context of their own categorical program while others mentioned a need to look at the whole picture. In general no shared vision was articulated. The most comprehensive response included

instructional services, social services, and—in general—a "birth to death" concept:

> I envision that school will look at their entire delivery of instructional services. they will also look at the support services that are needed: the health, the attendance...the social services that support that in order to allow a child to function in the classroom. I also think that they need to look at their community ties because when you look at programs like school to work transition, you look at a birth to death kind of assessment of education.

Other responses addressed elements of a comprehensive vision or offered other useful insights:

- Schools must know their communities and learn how to broker services to meet the whole needs of students although schools should not be expected to do everything.
- Another mentioned the 8:00 to 2:30 school day as being obsolete. School should have services available before and after those hours; it can't all be done in 6.5 hours. Services should be offered in the classroom.
- When districts are planning they need to be able to see how all of the pieces fit together, if they want to do long range planning. Federal services have to be viewed in this context first, then state. You have to show people how to broker services they can't provide—brokering of services is a real art.

A second grouping of responses addressed this vision on a programmatic or other more micro-level.

- The vision was expressed in terms of what is currently underway — school-wide projects. This in-depth planning process requires schools to take a look at the different populations of children they serve, determine their needs, and design the appropriate program(s). This program will address the comprehensive needs of their children.
- Viewed only in the context of the program, a school's comprehensive plan will be included as part of the program application. They will state what they are going to be doing in the various areas. This will be kept on file so when they are monitored a comparison can be made between the plan and the actual services.
- Within the scope of the programs funded by this unit, every district and every school is perceived as different. In terms of comprehensive plan, what would be best is really a local issue.

Two responses indicated that they didn't fund services or that they deal with specific academic issues.

A final comment on comprehensive plans is that different categorical programs must be used to fund various needs as previously identified and defined. "Then in the application once that's all designed, the, the individual program simply becomes a definition of what the specific objectives of that program are.

QUESTION: How do you define a comprehensive plan?

Three people specifically responded to this question. Two respondents defined a plan within the scope of their program (e.g., comprehensiveness in terms of subject-specific curriculum and assessment).

A third defined a comprehensive plan as "one that looks at all the needs of the student and how do you meet them, whether it's through the district or otherwise."

QUESTION: What do you see as ADE's role in assisting schools to create or improve a comprehensive plan?

The theme common to all responses was that ADE needs to develop its role as the leader. Five components to this role were identified.

- *Catalyst.* ADE must serve as a catalyst by setting the foundation the foundation for change. A major part of this foundation is the development of a state comprehensive plan. This is viewed as an essential first step prior to any planning efforts at the district or school level. "We're going to have to wait until that is put together, at least we get some feedback from the districts before we're going to know how the whole thing is going to turn out."

- *Teaching/training.* ADE needs to assist schools and districts how to broker services they can't directly provide to students.

- *Collecting and disseminating information.* Information dissemination needs to be developed as does a process for assisting school and/or districts in networking with experts in their fields. "...there's a lot of good things going on in this state that we can make other districts aware of and create an information exchange."

- *Monitoring.* ADE must also be responsible for monitoring change to make sure critical elements or activities occur.

- *Collaboration and cooperation:* Another piece is the integration of the units within ADE—the creation of multi-disciplinary teams. As one staff member noted: "I think that ADE needs to come together with an understanding of across the agency. We need to see how state assessment, state curriculum alignment, state standards which is becoming a part of the federal, fits in with the philosophy of federal spending."

QUESTION: What is your opinion of creating multi-disciplinary technical assistance teams?

Almost all responses supported the formation of multi-disciplinary technical assistance teams at the ADE level. One response did not directly address this question in the context of the proposed changes. Several benefits to this approach were identified:

- *Professional development.* Some units are too focused on their program.

  "They're dealing just with one program and they're so focused on that program they don't have any idea even within this agency what else is going on and I think working in an interdisciplinary team would be good professional development for ADE employees."

- *Setting an example.* "I think we have to develop it [at the ADE level]...we have to do it here at the state to show them that it can be done out there...in the district level."

- *Learning.* "...the strength in that [multi-disciplinary teams] is the fact that...our own people will begin to learn from one another."

Customizing the services of these teams was identified as essential by three respondents .

- "It's going to be extremely difficult. We have to get out of the...idea that we can deal with all school districts the same."

- "I think care needs to be given as to how those are put together. And they may need to be modified to meet the individual district's demographics, the needs within those districts."

Two cautions were expressed regarding the implementation of these teams. The first emphasized the importance of keeping the teams focused rather than implementing a "shotgun" approach. The danger is that schools could end up receiving less than they do now. Another area of concern was the recognition that ADE may not have the appropriate knowledge or level of expertise needed by a particular site, therefore, many levels of technical assistance and professional development would have to be offered, possibly the inclusion of consultants in these teams.

Disadvantages to this approach generated three overall categories of responses: *loss*, the

process of change at the ADE level, and *difference in the operation and nature* of schools at all three levels (elementary, junior, secondary).

1. Loss was described in the context of over generalization and a decline in specialization—if you get too multi-disciplinary you can lose the real specialists in content areas. A second type of loss is that of services with the majority of services going to those schools "in need." This could result in a differentiation in services delivered.

2. Three responses addressed changes at ADE as potential problems with one response expressing the need for the agency to grant release time. Potential concerns raised the issue of territorialism: "I'm not sure I would call this a disadvantage as much as a potential hurdle to get over, but we're going to have to deal with the territorialism and also, those that are focused on their program." The actual change in the "paradigm" itself will cause a lot of "heartache" in the sense that directors and specialists will be expected to sit down and work with each other.

3. People will be required to view things in a different way which may be difficult to accomplish. The distinction between the needs and nature of the three levels of education was raised. One response stated that it would be easier to implement this with elementary schools or rural schools, but at the larger urban high school there would be too many people to deal with lessening the chances of success. Other responses assumed that a multi-disciplinary team would be visiting a school for an evaluation or monitoring. It would be too much for a lot of schools if more than one program representative showed up at the same time. Another downside pointed out was that rural schools have a tendency to attach themselves to the person and are not receptive to change.

Advantages to the multi-disciplinary team approach are found through the sharing and cooperation needed to get the work done. This approach is perceived as more creative. Relationships between parts will become clearer enabling people to see things from different perspectives. Better us of material and human resources was also mentioned as an advantage. Savings would be recognized through the creation of more flexibility in the type of assistance offered providing a benefit to both ADE and the schools. Also mentioned was increased effectiveness in providing comprehensive services.

QUESTION: What feedback from schools would be helpful for your unit to assist you in improving technical assistance?

Answers to this question fell into several basic themes: *defining technical assistance* from the district and/or school level (i.e., what do they want), *how can this be delivered*, and *managing the change in perspective* needed to address the proposed changes in the reauthorization legislation.

Districts or schools need to tell ADE how they define technical assistance and what activities fall under this definition. They might also address their impressions of ADE and the assistance that is currently provided.

> I just think we need to know what it is they want, but then after we find out what they want, then the [multi-disciplinary] teams at this department should be addressing them not individual units.

Of those interviewed, most specifically mentioned having difficulty getting to sites to provide technical assistance due to low travel budgets. ADE staff also mentioned that schools need to learn to work outside of the after-school training format (e.g., 3-5 p.m.). In their opinion, most training can't be effectively provided in this context and it is all but impossible to conduct meaningful planning meetings within this same time frame. Schools need to develop alternative schedules for provision of training and planning. These plans must be communicated to ADE.

Managing the change in perspective addresses changes required at ADE and changes at a more local level. The proposed changes in the reauthorization legislation requires across program cooperation and integration at the

Department level. Site-based management also requires each school to have knowledge of different programs as a means of integrating the community into their planning. Both sets of changes require a more systemic perspective.

According to ADE personnel, units at the department need to be sensitive to the ability of school districts to respond to RFPs as well as administer programs.

> I feel for the small school district because we see this all the time in our...work with many of them, and I'm thinking of the one or two school districts that don't have the expertise to actually write the application.

Other concerns mentioned included how to create continuity for programs in districts where administrative turnover is high; also, how to encourage more schools to apply for funds that would assist them in meeting state or district mandated goals. Another addressed the issue of the role and beliefs of program coordinators, since a program coordinator's beliefs about what can and can't be done determines how program money will be used. Still another emphasized the need for [ADE] teams and increased communications: "Maybe we didn't understand the whole...question. Maybe we've just created a bigger problem."

QUESTION: Is there anything at the department level (ADE) that would assist you/your unit in working more effectively with schools? If yes, what?

Responses were categorized as being either *policy*, *resource*, or *procedure* oriented. Responses were well distributed among the three categories.

Staff requests requiring a policy change include having districts evaluate the services provided by ADE. This evaluation would be the basis for the elimination or retention of services because the districts could communicate what is good as well as what is bad about a service. A second recommendation was for the adoption of flex time enabling employees who travel to set their work hours outside of the traditional 8-5 day. The last recommendation is the incorporation of a new philosophy into the mission statement. A new philosophy that everyone from ADE down to the bus drivers and janitors is responsible for the students needs to be adopted.

A specific resource mentioned was an ADE level assessment and evaluation unit, not just a research and development position but a person with hands-on responsibility: "Somebody who has an evaluation and assessment background as a resource to us and to help carry out some of that analysis—not just give us the data, but help us carry out the analysis...to me, that is probably the biggest need." Another response requests continued access to R&D and collaboration in R&D as a need. Also mentioned were planning time which would allow better communications and a shortage of staff to carry out all requirements of programs.

A procedural change necessary is cutting of some red tape—sometimes process becomes the most important product. Staff noted a need for ADE employees to look at how rules and regulations could be made to work for them rather than as constraints: "I think sometimes we use the rules and regulations incorrectly in that we are not as flexible as we might be with the schools and therefore not as effective as we might be." Another echoed this sentiment by stating that ADE was in a serious, micro-management stage. Several noted that greater coordination among units should be encouraged.

One response didn't feel there was really anything ADE needed to provide because the ASAP and Essential Skills programs are forcing programs to work together along with the curriculum specialists.

QUESTION: Any other comments?

Concluding comments generally reinforced the ideas mentioned. The first comment reiterated the necessity of asking the districts what they want rather than assuming needs and wants. A second comment emphasized the importance of listening to the schools and districts:

> The districts need to tell us...what it is that they do like, not just what they don't like. I think it's real important so that if they do like something then we can keep doing it, and duplicate it...it's kind of like...the districts don't want anything to do with us until they really do need something.

Some districts don't call ADE because they know from past experience they won't get help. When assistance is provided it should be at the district level, one-on-one. Large meetings are only good for information. ADE also needs to take an active role in involving parents in education.

Most did comment that they look forward to implementing the changes when they are approved.

> I do look forward though to what's going to happen...It's not that we've attempted to stay separated from each other, it's just that we haven't had the individual need to get together in many cases.

APPENDIX C: PROMISING PRACTICES AT-RISK SITE QUESTIONNAIRE

Part of this project was intended to explore how to best use successful at-risk sites as demonstration sites. The questionnaire included in this appendix was designed to provide input on this question.

Sites completing the questionnaire were selected on the basis of previous research by Morrison Institute. As a result of their initial four-year evaluation study, 14 K-3 sites and 11 7-12 sites had specific programs profiled in the publications *Promising Practices for At-Risk Youth: Blueprints for Success*.

These 25 sites with exemplary programs were surveyed in October 1993. During November and December 1993, districts/schools that did not respond to the original survey were contacted twice for follow-up (once by mail; once by telephone). One K-3 site—Ganado Primary School—and four 7-12 sites—Casa Grande Junior High School, Ganado Middle and High Schools, and Maricopa High School—did not respond to the survey or follow-up requests.

Sites were asked about potential roles they would be willing to play as demonstration sites. In addition, site input regarding ADE technical assistance was sought. The latter information was used to help formulate specific items on the survey *Keeping Up With Reform*, distributed to all Arizona public school principals in spring 1994.

The following pages include a copy of the questionnaire and summaries of results.

Promising Practices Site Questionnaire: Technical Assistance

The Arizona Department of Education, in collaboration with Morrison Institute, is in the process of developing a state-wide technical assistance plan related to at-risk education. The plan is being developed in anticipation of a (potential) legislative expansion of at-risk support for students in grades K-12. As part of the plan, ADE and MI are examining how existing *Promising Practices* sites can best be used as "demonstration sites" for other schools/districts in Arizona regarding the program(s) profiled in the *Promising Practices* publications. At this point in time, we need to know the types of technical assistance your school/district would be willing and able to provide to colleagues throughout the state. You would be asked to provide assistance related only to the specific program(s) highlighted in the books. Your time in completing this brief survey is greatly appreciated.

SCHOOL / DISTRICT: _____

PROJECT DIRECTOR: _____

PROGRAM(s) PROFILED: _____

1. As Project Director for this program, would you be willing to provide technical assistance to staff from other schools or districts interested in learning more about your program?

   ____ YES ____ NO (if NO, stop here)

2. What types of technical assistance would you be willing or able to provide? (Check all that apply. For each type of technical assistance checked, indicate whether you would perform the service pro bono or only if a stipend was provided.)

Type of Technical Assistance	Pro Bono (Free)	Only if a stipend was provided
Accompany and/or make arrangements for people wanting to visit the program.		
Visit other sites to provide on-site technical assistance about starting or modifying a program.		
Make presentation(s) at ADE-sponsored conferences, institutes, or other in-state events.		
Share forms, brochures and other program-related materials with other sites.		
Submit written materials for a state-level clearinghouse on at-risk education.		
Other (Please describe. Use additional space if necessary.)		

3. What kinds of technical assistance offered by the Arizona Department of Education do you currently find *most* valuable? *Least* valuable?

4. Are there any kinds of technical assistance you would like made available that are not currently being offered (e.g., regional training centers; summer sessions)?

5. Other comments/concerns?

Thank you. We appreciate your cooperation in providing this information.

QUESTION 1: Would you be willing to provide technical assistance to staff from other schools or districts interested in learning more about your programs?

A total of 20 of the 25 sites responded to the questionnaire. All 20 of those responding indicated one or more roles they would be willing to play as demonstration sites.

QUESTION 2: What types of technical assistance would you be willing or able to provide?

Responses are summarized in Table C-1. Percentages are calculated on the number of sites responding; not the total number of sites surveyed. Detailed survey responses are provided in Table C-2.

Table C-1

Types of Technical Assistance *Promising Practices* Schools are Able/Willing to Provide

ACTIVITY		ALL (N = 20)		K-3 (n = 13)		7-12 (n = 7)	
Arrange for site visits	Free	18	90%	13	100%	5	71%
	For a stipend	0	-	0	-	0	-
Share materials	Free	17	85%	13	100%	4	57%
	For a stipend	2	10%	0	-	2	29%
Submit written materials for clearinghouse	Free	16	80%	12	92%	4	57%
	For a stipend	2	10%	0	-	2	29%
Make presentations at ADE-sponsored conferences, institutes, or other in-state events	Free	12	60%	10	77%	2	29%
	For a stipend	5	25%	2	15%	3	43%
Visit other sites to provide on-site technical assistance	Free	8	40%	6	46%	2	29%
	For a stipend	10	50%	6	46%	4	57%
Other*		8	40%	5	39%	3	43%

*NOTE: Respondents who did not check particular items are not tabulated, with the assumption that the site is unable or unwilling to provide this type of technical assistance. These "missing" responses are why percentages do not add up to 100.

Other:

- Whatever would be helpful. (4)
- Teacher exchanges would be interesting—a team of teachers could visit a school for 3-5 days—then those teacher would become the host school.
- Inservices with displays explaining programs and [exemplary] state applications available for viewing.
- Legislative support group of some kind
- Assist in creation and implementation of detention education programs.

Table C-2
Results of the Technical Assistance Survey

	Arrange for site visits		Visit other sites		Make presentations		Share materials		Submit written materials for clearinghouse		Other	
	Pro bono	Stipend	Pro bono	Stipend	Pro bono	Stipend	Pro bono	Stipend	Pro bono	Stipend	Pro bono	Stipend
K-3 (n=14)												
Avondale	1		1		1		1		1			
Ganado	Did not respond											
Hyder	1			1	1		1		1			
Kayenta	1				1		1		1			
Machen	1			1	1		1		1		1	
MCGB	1		1		1		1		1			
Morristown	1		1		1		1		1		1	
Murphy	1			1	1		1		1			
Picacho	1		1				1					
Somerton	1			1		1	1		1		1	
Tempe	1		1		1		1		1			
Tuba City	1			1		1	1		1			
Whiteriver	1			1	1		1		1		1	
Wilson	1		1		1		1		1		1	
Subtotal	13	0	6	6	10	2	13	0	12	0	5	0
% K-3	93%	0%	43%	43%	71%	14%	93%	0%	86%	0%	36%	0%
7-12 (n = 11)												
Apache Junction				1		1		1		1		
Casa Grande Jr	Did not respond											
Creighton	1			1		1	1		1			
Dysart											1	
Ganado (J)	Did not respond											
Kayenta	1		1					1		1	1	
Marana	1			1	1		1		1			
Maricopa	Did not respond											
Tucson	1			1		1	1		1			
Pima Co. Detention	1		1		1		1		1		1	
Subtotal	5	0	2	4	2	3	4	2	4	2	3	0
% 7-12	45%	0%	18%	36%	18%	27%	36%	18%	36%	18%	27%	0%
GRAND TOTAL	18	0	8	10	12	5	17	2	16	2	8	0
% TOTAL	72%	0%	32%	40%	48%	20%	68%	8%	64%	8%	32%	0%

QUESTION 3: What kinds of technical assistance offered by the Arizona Department of Education do you currently find *most* valuable? *Least* valuable?

K-3 Site Responses

- Currently we rely on the state department of education to work with us on our District Assessment Plan. [This is] helpful to us on ASAP issues.
- I don't believe we have received any technical assistance.
- I appreciate the assistance for filing report which are due for renewal of the project. Any time that I have had any questions, the Department of Education has always found someone to answer them. I cannot rank any of the services as least valuable.
- Phone communications. Our questions are almost always answered; advice is also offered and is always well received.
- MOST: Teachers' Academy, K-3 Conference, Update workshops, on-site visits
  LEAST: Budget preparation
- Large group meetings are usually not helpful. Problem-solving, sharing of ideas, Q&A sessions, etc. facilitated in small groups is helpful. Outside consultants are sometimes given more credibility.
- Bilingual Unit Regional Trainings are an excellent support. Bilingual Unit assistance in grant writing is very valuable.
- Inservices/workshops. I have received very little written materials from the state department. Sometimes I feel left out—maybe a note could be issued to distribute duplicates to program coordinators. (Only top administrators) usually get all written correspondence.
- The technical assistance and support provided by Morrison Institute has been invaluable. Their data and dissemination of information on needs of at-risk districts has done more to educate the public than anything we have done in the past. The K-3 Advisory Committee has always provided regional inservice and training opportunities and has been an advocate and support system for all K-3 projects. In the "old days," the ADE K-3 specialists were helpful in both budgetary and programmatic matters. They also were very supportive to the K-3 Advisory Committee and its many activities. We are please that the K-3 specialist role has been filled again.
- Recently there has been little technical assistance from ADE....Last year (1992-93) our communications with ADE were the source of some frustration. The School Support Unit seems to have made a shift in philosophy between 1989 and 1992. In the first years of the at-risk funding, the K-3 specialists were informed, helpful and accessible. In 1992, the communications from ADE began to take on the tone of enforcement. Who would want to look for help to the enforcer?

7-12 Site Responses

- In addition to the week-long summer institute, the workshops provided during the school year are helpful.
- I really haven't used any technical assistance—Don't really know what is available.
- MOST: Legislative news regarding state senate, house, and governor attitude toward secondary at-risk; summer at-risk institute; at-risk programs at vocational association convention.
- MOST: hands on, experiential, practical, gangs, learning styles

- The workshop on "gangs" was particularly informative and helpful.

QUESTION 4: Are there any kinds of technical assistance you would like made available that are not currently being offered (e.g., regional training centers; summer sessions)?

K-3 Site Responses

- We would like to continue our association with the Morrison Institute. On the past, the K-3 Teachers Academy was an excellent training opportunity as was the K-3 State Conference.
- Early applications
- Not sure of what's available
- Teachers always enjoyed the summer session on the [old] K-3 Conferences. I am happy to see the new listing of services will include regional conferences.
- Someone in the department to come to our school and make a personal presentation to out K-3 parent group on specific concerns. This would be a special event; not a common occurrence.
- Regional training; program application on disk for IBM and Mac; Parent-oriented workshop or perhaps technical assistance in marketing such a program with parents
- I would like technical assistance that is specific to the needs of my school and I would like it to be proactive, rather than reactive.

7-12 Site Responses

- A support network among programs/coordinators; A resource exchange of useful information/ materials concerning at-risk.
- Strategies: Reducing absenteeism, truancy; staff development—sensitizing/training non-at-risk project staff to work with at-risk students; summer session through state universities that have academic credit options (Without this option, teachers are reluctant to sign up for at-risk institute sessions.); regional training centers that offer intensive training sessions on varied aspects of working with at-risk students.
- Consultant visit or inservice on how a school can use the annual at-risk data report for schoolwide program development.
- We would like computer-assisted curriculum that is linked to the Arizona *Essential Skills*.
- On-site training would be extremely valuable. All service deliverers would benefit from on-site interactive training which could be tailored to the individual program needs.

QUESTION 5: Other comments/concerns?

K-3 Site Responses

- We are excited about making technical assistance to other schools available to encourage them to start such a program.
- I feel that the Department of Education is to be commended for taking the stands concerning the importance of the *Essential Skills* and ASAP evaluation instruments. I know that this is a lo' ' work and a big headache, but it is a much more valid measurement of our minority students and their abilities. It helps us as a district to know what our children can do and hot how much worse they do than the nation as a whole!
- Will K-3 funding continue? It would be nice is we had firm funding

information before the end of the school year.

- ADE doesn't have the personnel necessary to provide the TA that districts need—personalized to their needs—but it would really make a difference if we could work together as a team to work out identified problems in our projects, and then get some help and follow-up. The change process is so lengthy and frustrating—teacher and administrator turnover has an impact—all the other programs with ensuing paperwork that are reported differently have an impact. Then we get some [person] who insults my intelligence by implying that I don't know what early childhood means. Give me a break.

- I'm so glad that I am involved in the at-risk program. I'm hoping that it will continue to be a priority for educational needs. I would like to get more involved in a letter campaign or a phone campaign to explore our concerns.

- We have had no communication this year (1992-93) as to the membership of the K-3 Advisory Committee or who our regional representative is or if there are any regional training plans.

7-12 Site Responses

- It would be helpful to have smaller sessions designed to allow projects serving similar populations to discuss effective strategies as well as existing challenges. These sessions could function as short-term "think tanks" for identifying and creating more effective intervention strategies.

- Other topics...violence prevention in schools.

APPENDIX D: SIDE-BY-SIDE COMPARISON OF PROGRAM APPLICATIONS

—Prepared by Louann Bierlein

As part of the research for this project, Morrison Institute analysts compared program applications and requirements for a number of programs that support "at-risk" children and their families, in whole or in part.

The analysis revealed—at a glance—a number of discrepancies between applications/ requirements. Although some discrepancies may be necessary due to differences in federal program requirements, others could be eliminated through revisions designed to promote consistency (e.g., the ADE signature page).

A sample of the descriptive program "abstracts" used in the analysis are provided for review.

Application and Reporting Requirements for Select Federal and State Grant-based Programs Supporting "At-Risk" Children and Families (in whole or in part)

	Chapter 1 (Federal)	Chapter 2 (Federal)	Migrant Child Education (Federal)	Tobacco, Alcohol and Other Drugs (Federal)
Cover Page	Fairly standard ADE federal project form; 4 signatures	Fairly standard ADE federal project form, 3 signatures	Fairly standard ADE federal project form; 3 signatures	Fairly standard ADE federal project form; 4 signatures
Budget	1 form: Standard ADE/USFR form	2 forms: 1) Standard ADE/USFR; 2) Fund Allocation Worksheet (requires breakdown by allowable targeted assistance areas)	3 forms: 1) Standard ADE/USFR; 2) estimated FTE; 3) 3-4 pg. functional rationale	2 forms: 1) Standard ADE/USFR; 2) 1 pg. functional rationale
Target Population	Low-income/low-achieving K-12 (including private schs.) or school-wide focus if eligible	K-12 public and private school students and staff	migrant students pre-K through 12	all K-12 students (including private schs).
Needs Assessment	Must assess effectiveness of current program & how evaluation data is utilized	Not specifically required	Must assess needs of students and parents (summarize actual data); review other district programs	Not specifically required
Program Description	1 pg. form for each goal; includes: activities, objectives, outcomes	1/2 page form for each program area; includes objectives, activities, method of eval; and reasons for program selection	5 standard goals w/ objectives developed by district	Goals, objectives, activities, timeline, evaluation, person responsible
Staff Training	Allowed, not required; May use up to 5%	Allowed, not required	Allowed, not required; must list what offered	Required for all certified and classified staff
Parent/Community Involvement	Required—must be involved in planning, design and implementation of program; informed of progress	Required—must check off assurance and describe such involvement in design, planning and implementation of application	Required—parent involvement is one goal area; must have active migrant parent advisory council	Required—must include parents and coordinate with other community efforts; must have school community advisory committee
Program Linkage Requirements	Align w/ dst curriculum; regular ed programs; adult ed	None required; funds must supplement, not supplant	Must estimate # served by other key federal/state programs (e.g., head start, bilingual, spec. ed., K-3 and 7-12 at-risk, JTPA + others); describe coordination	Must coordinate with other community programs/efforts
Evaluation	2 reports—1) participation #s & non ITBS data (due summer); 2) aggregate NCE gains on ITBS (due Fall)	?? No such paperwork provided by ADE	1 report—mainly student, staff & parent participation #s (due summer)	2 reports—1) district-level "compliance" checklist; 2) school-level, "hard" data on disciplinary/problem indicators (e.g., suspensions, retentions), self-ratings of impact, & compliance checklists (both due early Fall)

Application and Reporting Requirements for Select Federal and State Grant-based Programs Supporting "At-Risk" Children and Families (in whole or in part)

	Indian Education—Johnson O'Malley (Federal)	Even Start (Federal)	Eisenhower Math and Science (Federal)	Homeless (Federal)
Cover Page	Fairly standard ADE federal project form; 3 signatures	Fairly standard ADE federal project form; 3 signatures	Fairly standard ADE federal project form, 3 signatures	Fairly standard ADE federal project form; 4 signatures
Budget	1 form: Standard ADE/USFR	2 forms: 1) Standard ADE/USFR; 2) more detailed budget summary	2 forms: 1) Standard ADE/USFR; 2) budget total per key activity in description	2 forms: 1) Standard ADE/USFR; 2) must breakdown by activity w/in description
Target Population	"eligible" Indian K-12 students	At-risk and handicapped preschoolers and their parents	K-12 public and private school staff as primary target; K-12 students as secondary	K-12 public school homeless youth
Needs Assessment	Not specifically required	Must complete—fairly detailed	Must present priority need findings (no info on how done or by whom)	Not specifically required
Program Description	For each goal requires: objectives, budget, and total participants	Goals, activities, services, etc.	1 page form per activity requesting: description, timeline, standards to judge success	General description of services (no specific goals, objectives, activities, etc.)
Staff Training	Allowed, not required	Allowed, not required	Required—primary focus of project	Not addressed
Parent/Community Involvement	Requires Indian Education Committee (IEC) to be involved in program planning, implementation, and evaluation	Required (e.g., adult education; home visits; support services)	None required	Not specifically addressed
Program Linkage Requirements	Not specifically required	Must link: 1) w/other community agencies and 2) with other federal projects	Must identify other sources of funds & use checklist to identify community resources utilized	Must coordinate w/: regular ed. program, state/local agencies serving homeless youth. Also integrate homeless children w/ non-homeless children
Evaluation	2 reports, annual (due December) and semi-annual (due February). Contain summary of goals, objectives, activities, quantitative evaluation data (mainly participation #s), comments and budget.	Control group data were submitted as part of sample; ADE requirements unclear	1 report—focused exclusively on descriptive information, participation numbers and self-ratings of impact	?? No ADE paperwork offered

Morrison Institute for Public Policy

Established in 1981 through a gift from the Morrison family of Gilbert, Arizona, Morrison Institute for Public Policy is an Arizona State University (ASU) resource for public policy research, expertise, and insight. The Institute conducts research on public policy matters, informs policy makers and the public about issues of importance to Arizona, and advises leaders on choices and actions. A center in the School of Public Affairs (College of Public Programs), Morrison Institute helps make ASU's resources accessible by bridging the gap between the worlds of scholarship and public policy.

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The Institute's funding comes from grants and contracts from local, state, and federal agencies and private sources. State appropriations to Arizona State University and endowment income enable the Institute to conduct independent research and to provide some services *pro bono*.

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