# Section E
## Analysis of State-Level Systems Change in Education and Human Services

E

# Analysis of State-Level System Change in Education and Human Services

Prepared by
Beverly Parsons
InSites
Boulder, CO

Prepared for
The Danforth Foundation
St. Louis, MO

# CONTENTS

E

E

# ACKNOWLEDGEMENTS

E

E

The materials in this guide are intended for seminar use by teams seeking to bring about fundamental change in education and human services in state systems. The materials assume that the seminar facilitator is quite familiar with system change concepts, and is well-versed in effective group process practices. The guide provides some background materials on system change, but does not provide specific materials regarding group process practices, since they are quite readily available from other sources. Building effective teams is a major purpose of the seminar. The materials also assume that the team members represent a broad mix of roles within the systems under consideration, including the beneficiaries of the systems.

The materials are designed with the expectation that they will be used in a one-day intensive team seminar. However, they are formatted in segments to allow the facilitator to readily adapt them to other time arrangements. They are also formatted with the expectation that facilitators will differ considerably in the amount of time they think is appropriate to spend on a given topic for their particular group. *It is further assumed that a facilitator would observe a seminar or receive training prior to using these materials.*

The materials are presented in four sections:

- Facilitator's Guide: The Guide presents a suggested format for organizing a one-day session with a team responsible for bringing about change in their education and human services systems.

- Background Readings: The readings are designed for the facilitator rather than team members. However, there may be cases when the readings would be appropriate for the team.

- Transparencies: The transparencies are for use by the facilitator during the session. The facilitator may wish to copy them as handouts for the team members.

- Handouts: These materials are designed for distribution to the team members. Some are an abbreviated version of a background reading while others are materials to be used as part of an activity.

E

## OVERVIEW

The seminar is divided into nine segments.

I.    Opening Events

II.   Introduction to System Change

III.  Underlying Principles of System Change in Education and Human Services

IV.   Identifying Desired System and Results

V.    A Continuum of System Change—An Overview

VI.   Examples of System Change

VII.  Building Your Own Continuum of System Change

VIII. Connecting Today's Work with Future Sessions

IX.   Wrap-Up

The seminar is intended to help people first understand what system change is and why it is important. Secondly, participants analyze their current education and human services systems to understand existing, and often invisible, characteristics that affect how one proceeds to change the social systems.

Once this basic understanding is achieved, participants engage in activities to develop a picture of what their desired system would accomplish and how it would function.

With this end in mind, participants then investigate how to move from the current situation to the desired situation. They look at the stages of system change and the nature of change for various types of people involved in the process. They use a "Continuum of System Change" to guide this process. Then they modify the general continuum presented here to fit their situation. This information is used as the team moves to planning specific actions to bring about desired change.

The expectation is that the seminar will help participants develop a shared understanding of their current education and human services systems and options for moving to systems that better meet their needs.

**E**

Below is a map of the materials (background readings, transparencies, and handouts), and how they tie to the segments of the seminar. The three columns on the right contain materials' page numbers within this volume.

| | Background Readings | Transparencies | Handouts |
|---|---|---|---|
| | Page | Page | Page |
| I. **Opening Events** | | | |
| A. Introduction | | | |
| B. Purposes for the Day | | | |
| C. Processes for the Day | | | |
| II. **Introduction to System Change** | | | |
| A. Why Change Systems? | | | |
| B. Definitions of System Change | E–17 | E–34 (#1) | |
| III. **Principles of System Change in Education and Human Services** | | | |
| IV. **Identifying Desired System and Results** | | | |
| A. Introduction | | E–34 (#2-5) | E–38 |
| B. Group Task | | | |
| V. **A Continuum of System Change —An Overview** | | | |
| A. Introduction | E–21 | | E–39 |
| B. Stages of System Change | E–24 | E–35 (#6) | |
| C. Participants in System Change | E–27 | E–36 (#7) | |
| VI. **Examples of System Change** | | | |
| A. Partial Continuum – Standards | | | E–42 |
| B. Full System | | | E–44 |
| VII. **Building your Own Continuum of System Change** | | | |
| A. Introduction | | | E–46 |
| B. Group Task | | | |
| VIII. **Connecting Today's Work with Future Sessions** | | | |
| IX. **Wrap-Up** | | | |
| A. Evaluation | | | E-48 |
| B. Other | | | |

**FIGURE 1 — SEMINAR MATERIALS MAP**

## SEMINAR ACTIVITIES

This seminar is used to broaden the team's thinking about the strategies for facilitating system change. Such information can then be used as the team develops a specific action plan for change.

This format is offered simply as a suggestion to the facilitator. Each facilitator can develop a seminar design drawing from these materials and ideas. The Seminar Materials Map (Figure 1) links background readings, transparencies, and handouts to each segment of the seminar. The background readings are organized for each seminar segment and provide the content for the facilitator to use.

Following training in the use of these materials, it is essential that the facilitator review the background readings, transparencies, and handouts for each segment of the session to determine how the segment would best be designed for the particular situation.

---

### Logistics
**Materials**

The following materials are needed for the seminar:

- Blank transparencies
- Flip chart paper for groups
- Flip chart with stand
- Masking tape
- Colored pens (1 per table and several for facilitators)
- Overhead projector

**Room Arrangement**

Have people seated around one large table, the outside of a u-table configuration, or around several round or rectangular tables. (The choice depends upon the number of people, work within the groups, and interaction between groups.)

---

## I. Opening Events (15-60 minutes)

**Introductions** — Ensure that everyone knows each other. Introductions may be used to become familiar with others' perspectives and/or backgrounds. There are many ways of doing such introductions. Review books on group process skills if you want examples.

**Purposes** — Explain that the purpose is to develop strong team functioning and a shared understanding of system change, and to set the stage for developing an action plan for system change.

**Processes** — Explain the processes and agenda for the day. Handle any general ground rules and expectations for how the group will work together. Again, review books on group process for effective ways to establish ground rules and group expectations.

## II.  Introduction to System Change (30-90 minutes)

**Why Change Systems?** — Engage the group in a brainstorming session to identify why they think changes are necessary in their education and human services systems.  This is a vital piece. If they aren't convinced change is necessary in their situation, the rest is of little meaning.

**Definitions of System Change** — This segment helps build an understanding of what system change is. (See background reading for definitions.) You may wish to start with general brainstorming to see what definitions people currently have.

## III.  Principles of System Change in Education and Human Services (60 minutes)

The transparency (#1) for this segment can be used to illustrate how certain principles or assumptions (often unspoken/unrecognized), underlie system functions. It is essential to recognize the fundamental principles that currently exist and those that need to change to undertake system change. The background readings include principles that various groups have suggested be changed. See Definition 3 in background reading entitled "Definitions of System Change." Have the group develop its own list and examples.

## IV.  Identifying Desired System and Results (30-90 minutes)

**Introduction** — Use four transparencies (#2-5) to show likely changes in system structures as well as changes in the desired results to be accomplished by the education and human services systems. The handout has information on this.

> **Group Task:** Discuss the desired type of system and the desired results. Indicate that the ideas discussed will be used at the end of the day to build a continuum of system change.

## V. Continuum of System Change—An Overview (30-60 minutes)

This section begins with a mini-lecture; detail depends on the group. The suggested approach is a 15 to 20 minute background of the concept of a continuum of system change showing the stages of change and the roles of various groups in the change process. Then allow for questions and discussion.

**Introduction** — See the background reading for introductory ideas.

**Stages of System Change** — See the transparency (#6) and background reading for resources.

**Participants in System Change** — A transparency (#7) and background reading are provided. A summary handout is provided that covers both the Stages and Participants of System Change.

## VI. Examples of System Change (1-3 hours)

An example of a continuum of system change is provided which uses one system change lever—Standards. This example illustrates the stages of change for the various participants in order to fundamentally change the system related to how standards are used.

The second example is of full system change with the particular end results described in the final column of the continuum. This example incorporates current thinking among reformers about the desired features of systems that bring together education and human services in the best interests of children, youth, and families. Since a consensus has not been reached on the desired system, this continuum is provided as an example; it is expected that teams will build their own continuum, drawing on the day's discussions.

### Standards

The handout is an example of the continuum using only standards of what students should know and be able to do. This does not constitute full system change. Rather, its purpose is to show that any one change has implications for all parts of the system.

**Group Task:** Have participants review the continuum example and place their state on each row. Discuss the implications of this configuration.

There are many ways to do this task. Here is one way.

Create mixed-role groups of approximately six people. (Another option is to have same-role groups, who then compare perspectives in the system.)

Reproduce the continuum on a very large wall chart (4' x 6') with only rows and columns of the matrix indicated. Have groups put sticky notes on each cell indicating the position of their state in terms of the stages of system change. (Perhaps use different colors for different groups, especially if groups represent single-role groups.) Discuss the patterns. The background reading provides major points for discussion.

The marks should be placed where most of the same type people are (the rows in the continuum); another option is to draw a line across several stages to show the spread, darkening the line where most people are.

### Full System

This example incorporates many features of the education and human services systems that may need to change.

**Group Task:** There are many possible ways to use the full system continuum. For example:

Discuss the right-hand column explaining that it describes the type of system that is this continuum's goal. Have groups discuss similarities/differences with their goal. Draw from the discussion in Section III of the seminar.

In small groups have participants place their state within this continuum (as they did for the standards example), modifying the right-hand column as well as any preceding cells in the rows to fit their revised goal.

Discuss the patterns of this more complex situation. (See background reading on "Patterns within the Continuum.") Emphasize that these results are preliminary, not intended as definitive state patterns. They are to be used to stimulated thinking and probably raise as many questions as they answer.

## VII. Building Your Own Continuum of System Change (15 minutes)

A blank continuum is provided for teams to use, although is likely that people will prefer to take the full example and modify it.

**Introduction** — The idea is to have a continuum that roughly depicts the team's current vision of the desired system, to be used in future team meetings as they develop an action plan for change.

> **Group Task:** It is unlikely that the full group will engage in building their own continuum. Rather, have the group identify a task force of three to five people to work on a draft, drawing upon all of the team's work for the day.

## VIII. Connecting Today's Work with Future Sessions (30 minutes)

Conduct a group discussion about the implications of their work for use in future meetings or at other events, particularly the development of specific action plans for desired change. Where they placed their state on the continuum will help determine what next steps to take to move toward their desired system.

## IX. Wrap-Up (15 minutes)

**Evaluation** — Ask participants to complete the evaluation form.

**Other** — Other wrap-up activities as appropriate.

This section contains readings for facilitators. It is expected that facilitators will draw from these materials as well as from their own experience and research to present comments on each topic appropriate for the particular group.

Please refer to *Figure 1 — Seminar Materials Map*, to determine the relationship between these materials and each segment of the seminar.

## DEFINITIONS OF SYSTEM CHANGE

Different definitions exist for the term "system" or "systemic change;" shown below are five to consider. Groups working on system change are encouraged to develop their own definition, which would likely include portions of the following.

## Definition 1 — Changing Multiple Parts of the System

One of the earliest notions of system change was that changing only one part of the system was inadequate; many system aspects need to change. However up until the 80s when such interventions were being attempted, specialists in each part of the system worked in their corner of the world with little concern or attention to what others were doing. Consequently, one change could easily cancel the positive effects of another.

## Definition 2 — Recognizing Interconnections among Parts of the System

Soon people realized that attention needed to be given to the interconnections among the parts of the system, and the interactions among changes within those parts. In the late 80s when the term "system change" began to gain considerable popularity, the term was typically used to draw attention to the connections among the parts of the system.

## Definition 3 — Changing the Fundamental Design Features of the System

Once the interconnections within the system were recognized, people moved to an even more significant meaning of system change. They realized that deep and often unrecognized principles, values, and beliefs define the system. If we are to have significant change, these features must change.

**Examples:**

**What Students Should Know and Be Able to Do.** When the current education system was established back in the early 1900s, people primarily focused on students gaining basic reading, writing, and arithmetic skills as well as knowledge in other areas. Although those things are still desirable, we have added a whole new level of learning that schools are expected to help provide. Given the increasing complexity of society, people also want students to be able to apply basic knowledge and

skills to complex situations, to be decision makers, problem solvers, and able to access information.

**Designing the System around Learning Instead of Teaching.** Another example of the shift from the old system to the new is in how we view teaching and learning. When the education system was established, the main mode of teaching was delivery of information. It was expected that if the teacher stood up in front of the class and delivered information to the students, they would learn. Over the years much research has been done about how people learn. Recent research shows that if we want students to acquire the higher-level skills of application, integration of information, decision making, and solving complex problems, a different type of learning situation is needed. Students need to be interacting with other people as well as with information. They need projects where they are pulling information together from many different sources and looking at how to apply it in meaningful and practical situations. Such an approach to learning means that the teacher plays a very different role—no longer lecturing the class, but rather serving as a facilitator, coach, and guide as students work on projects and tasks, both collectively and individually.

This shift is illustrated by the story of the man who got a new dog. One day he was walking his dog down the street and he ran into his neighbor, Bill. He said, "Guess what! I taught my dog how to talk!" "Well, that is incredible," Bill said. "Have him say a few words." Response: "Oh, I just taught him. He didn't learn."

Similarly our education system has focused on teaching rather than learning. Therefore, another approach is to design features of the system (e.g., accountability), based on what students are to learn rather than certain actions of the teachers.

**Crisis Orientation vs. Prevention.** Much of human services' current focus is on crisis intervention, whereas in the future it will be developing prevention of crises. Such an orientation implies different services from the system.

**Multidirectional Rather than Unidirectional Information Flow.** Many of today's organizations are built on the factory model of organization, in which people at the top do most of the thinking and pass down orders to others in the system. Today we realize that such a system does not work for many of the things we need to accomplish. More often now, organizing is horizontal with people at all levels expected to think, integrate information, and accomplish tasks. Information does not flow only top to bottom, but in many different directions due to technological change and our general information society.

When considering changes in underlying principles of a system, frequently we are not totally eliminating one principle and replacing it with another. Rather the balance and emphases are shifting. For example, when teachers become coaches and facilitators of student learning rather than deliverers of information, it does not mean that teachers never lecture under the new sys-

tem, but rather that lecture is no longer the primary mode of teaching. Likewise, when the human services system emphasizes prevention, it does not mean that it no longer deals with crises intervention.

Here are other examples of shifts in the fundamental design of the system. You are encouraged to review the list for examples that seem appropriate for your situation.

| Attributes of Current Prevailing System | Desired Attributes |
| --- | --- |
| individual-centered | family-centered |
| input-driven | outcome-driven |
| remediation-emphasis | prevention-emphasis |
| centralized | decentralized |
| categorical services and funding | integrated blended services and funding |
| institutionally-based | community-based |
| credentialed professionals providing services | teams of professionals and non-professionals providing services |
| culturally and linguistically neutral | culturally and linguistically responsive |
| unchanging over time | evolving, flexible |
| input-regulated accountability | outcome-oriented accountability |

## Definition 4 — Recognizing the Process of Change

In the early 90s the definition of system change developed further. As we realized how long it takes to fundamentally change a system, we began to look at the stages within the change process, leading to yet another dimension of system change. As a system moves from one method to another, people tend to go through somewhat definable stages until the new system becomes dominant.

Early on the focus is on maintaining the old system. People assume that if they improve what they have always done, all will be well. Gradually they become aware that different things are needed, but they are not sure what. Next people tend to move into an exploration stage where they try out new ways of doing things and look for the fundamental differences, patterns, actions, and ways of operating. As these fundamentals become clear, and examples of different methods lead to desired results, people move into the transition stage —they are ready to commit to a new way of doing business. This requires that they let go of old ways of doing things. Up to now, they have been able to add the new. Now they cannot proceed without relinquishing the old, counterproductive ways. Unless they do so they won't have the resources and energy to engage in the new over the long term.

Once these deep transitions take place, people move into a period where the new emerging infrastructure is evident. Others who may have been unwilling until this time, become convinced of a better way, or at least that a new way will be rewarded and expected. Finally, people enter the period where there is a predominance of the new system. The new system is never fully locked in place, because as people approach the desired system, it is obvious that even more change is desirable.

This definition of system change is discussed in greater detail later.

## Definition 5 — Moving All Categories of Adopters of the New System

Another definition of system change focuses on the well-researched phenomenon of distinct categories of people based on how they respond to innovations. This definition derives largely from the research of Everett Rogers (1983) and has been accumulating for approximately 30 years. Rogers identifies five types of responses. (The percentage in parentheses indicates the typical percentage of people that fall into each category.):

**Innovators:** Innovators tend to be venturesome, eager to try new ideas. They are not troubled by setbacks and incomplete ideas or methods. They tend to network quickly outside their local circles. (About 3%)

**Early Adopters:** Early adopters are more a part of the local social system and contain local opinion leaders. They are not as far ahead of the average individual as innovators and are more trusted locally. (About 13%)

**Early Majority:** This type adopts new ideas just before the average person. They seldom hold leadership positions. They tend to deliberate for quite some time before adopting an innovation. The time it takes them to decide to adopt an innovation is longer than that of early adopters and innovators. (About 34%)

**Late Majority:** This type adopts a new idea just after the average person. They often don't adopt until it is an economic necessity and until there is growing peer pressure to do so. They tend to have scarce resources and want to be sure a new idea is well developed before they risk change. (About 34%)

**Laggards:** Laggards are the last to adopt innovation. They are not opinion leaders and tend to be isolated. Their point of reference is the past. (About 16%)

If a system is to be significantly changed on a large scale, nearly all of these categories of people need to be functioning under the mode of the new system.

## INTRODUCTION TO CONTINUUM OF SYSTEM CHANGE

In 1987, staff at the Education Commission of the States[1] began to look seriously at the notion of system change. They realized that the U.S. was running into a serious problem as pressure built to change the education system. State education and political leaders focused on increasing mandates and control, while school reformers built on a different set of research and knowledge regarding needed changes in schools—one of greater flexibility and involvement at the classroom level. Therefore they decided to find a way to bring together both lines of thinking, to better understand how to change the whole system, based upon the best support for student learning.

ECS established a partnership with the Coalition of Essential Schools (CES) based at Brown University and headed by Theodore Sizer, one of today's leading high school reformers. He had conducted extensive research during the early 80s which led to what the Coalition calls the "Nine Common Principles" about teaching and learning. These principles include:

- Students should be the workers, and the teacher the coach

- The school should have an intellectual focus

- There should be simple and universal goals for all students

The partnership initiated by ECS and CES initially included five states —it has now expanded to more than a dozen. The states agreed to each have at least 10 schools participate, along with district and state leaders who would work together in making changes from school house to state house. People involved in the partnership learned a tremendous amount about the stages people go through as they make change, and some of the most effective strategies.

With this starting point, the staff at ECS and InSites continued to learn about the stages of change that systems undergo. By 1992, they had evolved a continuum of change from maintaining the old education system to creating a system that had the characteristics (discussed earlier), for improved teaching and learning. The continuum also partitioned the system into six categories for understanding the dynamics of system change. (See Figure 2.)

In 1993, InSites began to develop a continuum of system change that included both the education and human services systems. For the Danforth Foundation-sponsored Policymakers' Institute that summer we used the education continuum plus some human services features. For the 1994 institute, we significantly revised the continuum for a better balance between education and human services. It was difficult to construct a continuum that adequately depicts the system-change process and components when looking at the two systems jointly.

---

[1] ECS is an interstate compact. All the states except Montana belong to it. Its purpose is to work primarily with state leaders, governors, legislators, state department people, and leaders in higher education on state education policy and leadership. The author of this guide worked at ECS from 1982-1991 before joining InSites.

| ELEMENTS OF CHANGE | MAINTENANCE OF OLD SYSTEM ➜ | AWARENESS ➜ | EXPLORING ➜ |
|---|---|---|---|
| **VISION** | Vision reflects:<br>• Learning based on seat time<br>• Teaching as lecture<br>• Mandates and inputs<br>• Education system separate from other systems | • Multiple stakeholders realize need to change from old system, but unclear on what to change to<br>• Strategic plans, study group reports from influential groups call for fundamental changes getting some attention | • Alternatives to old system begin to emerge in piecemeal fashion<br>• Stakeholder groups promote new ideas about parts of the system<br>• New examples visited/debated<br>• Growing numbers and types of stakeholders being drawn together around change |
| **PUBLIC AND POLITICAL SUPPORT** | • Support generally taken for granted<br>• Only becomes of concern when finances are needed<br>• Public informed, not engaged, by educators | • Reports on need for changes in education discussed among policymakers, in news media<br>• Public forums on need for change with input from public encouraged | • Task forces formed to recommend changes for district, school<br>• Political/public opinion leaders speaking out on selected issues<br>• Minor resource allocations to explore possibilities<br>• Public involvement in redefining desired student learning outcomes |
| **NETWORKS, NETWORKING, AND PARTNERSHIPS** | • Networking among peers often seen as subversive or insignificant<br>• A few teachers within schools begin to network<br>• Partnerships are one-shot, supplemental | • Recognition of value of networking as a way of learning new operations of education system<br>• A critical mass of teachers in a school explore joining restructuring networks<br>• Realization that partnerships need to be longer term and more integral to school mission | • Networks (including electronic) used as a way to speed up sharing of information and new ideas<br>• Networks joined across schools, districts, states<br>• Whole schools join networks<br>• School leaders begin conversations with potential partners on core educational issues |
| **TEACHING AND LEARNING CHANGES** | • Emphasis placed on using standard curriculum, instruction, assessment methods more rigorously<br>• High attention to standardized test results and ways to raise scores | • Recognition that traditional teaching and learning methods are not based on current research about learning<br>• Recognition by administrators, public, teachers that education problems are due to social, economic, technological changes that are broader than education | • Individual schools, teachers, districts debating and committing resources to learning and using new ways of teaching<br>• Multi-person and multiyear commitments to try new teaching and learning approaches<br>• New modes of assessing learning explored, developed<br>• Learning outcomes being defined |
| **ADMINISTRATIVE ROLES AND RESPONSIBILITIES** | Role/responsibility seen as:<br>• Diminish conflict<br>• Emphasize standardization of approaches, following rules, regulations<br>• Serve as major channel, source of information<br>• Top-down decision making | • Administrators (at all levels) recognize need to change roles to better support change and learning by teachers<br>• New roles, responsibilities for administration discussed<br>• Media attention on innovative leaders | • Site-based decision making (SBDM) approaches piloted<br>• Professional development for administrators focuses on new roles/responsibilities<br>• Bureaucratic layers questions, vacant positions not filled<br>• Administration learning to allocate resources to support learning outcomes |
| **POLICY ALIGNMENT** | State, district policy emphasizes:<br>• Textbook selection<br>• Standardization of instruction methods<br>• Standardized test, comparisons among schools on student achievement<br>• Hierarchical organizational structure<br>• Program evaluation results used as bias for blaming and fault finding | • Recognition that standardized tests not measuring all desired learning outcomes<br>• Attention directed to performance assessment to support desired<br>• Recognition that low achievement may be due to broader conditions rather than poor teaching<br>• Debates on how to use policy to help lead reform rather than force change<br>• Waivers to regulations made available to promote experimentation | • Schools, districts, states explore new modes of student assessment<br>• Policies debated, enacted, piloted to define graduation based on demonstrated learning rather than courses taken<br>• New policies piloted on curriculum frameworks with higher learning for all |

**FIGURE 2 — CONTINUUM OF SYSTEM CHANGE IN EDUCATION**

E

## Stages of Change

| → TRANSITIONING | → EMERGING NEW INFRASTRUCTURE | → PREDOMINANCE OF NEW SYSTEM | ELEMENTS OF CHANGE |
|---|---|---|---|
| • Emerging consensus on new system components<br>• Old components disparaged/shed<br>• Need for linkages of new components within system is understood | • Continual vision development seen as major force for change<br>• Vision includes student outcomes, system structure, underlying beliefs<br>• Recognition of need for continual refinement, development of vision with expanded stakeholder involvement | Broad agreement that in the desired system:<br>• All students can learn at higher levels<br>• Learning means achieving and applying skills, knowledge<br>• Teacher as coach, critic, facilitator<br>• Distributed decision making<br>• Vision-setting leadership<br>• Connections to other social systems | VISION |
| • Public debate on specific changes with mixed support<br>• Opinion leaders campaign for change<br>• Resistant groups vocal<br>• More resources allocated for innovation<br>• Diversity of population recognized | • Ongoing commissions, task forces established to maintain momentum for change as political leaders come and go<br>• Resources for innovation are ongoing with emphasis on meeting diverse student needs<br>• Public engaged in change | • Public, political, business involvement and connection seen as essential feature of system<br>• Allocation of resources based on new vision supported | PUBLIC AND POLITICAL SUPPORT |
| • Recognition that networks are a long-term feature of a less hierarchical system<br>• Debates on how the district can support ongoing networks<br>• Disenfranchised groups (e.g., teachers, ethnic groups) use networks for long-term empowerment | • Networks seen as accepted practice<br>• Networks act as major source of new knowledge<br>• Empowerment issues debated<br>• Multiple partners support vision and student learning | • Resources allocated for networks<br>• Effective network operations developed<br>• Networks serve as communication and information channels<br>• Empowerment issues being resolved | NETWORKS, NETWORKING AND PARTNERSHIPS |
| • Significant numbers of teachers, schools, districts intensely trying new approaches<br>• Teachers given time for planning<br>• Recognition of depth of change needed and difficulty, time and resources required<br>• Teachers convinced it's not a fad<br>• Changes being assessed | For significant numbers of schools:<br>• State, district teaching/learning assessments encourage continual improvement, recognize uneven progress<br>• Graduation based on demonstrations of established learning outcomes<br>• Teaching methods actively engage students<br>• Heavy and ongoing involvement in teacher development | For most schools in district it's the norm:<br>• To have students actively engaged in learning<br>• Student assessments how continual improvement on skills, knowledge established in vision as desired outcomes<br>• Outcome focus used in teacher and administrator preparation programs | TEACHING AND LEARNING CHANGES |
| • Methods of distributing decision making to lower organizational levels developed<br>• Emphasis on outcomes to be achieved with flexibility in how they are achieved<br>• Allocates resources to support continual learning by teachers | • Administrators hired using new criteria for leadership/management<br>• Policy supports SBDM<br>• Required school-community councils<br>• Teachers responsible for instructional decisions<br>• Infrastructure supports school change to match vision | Administrators expected to:<br>• Encourage rethinking, improvement<br>• Encourage flexibility in approaches to meet needs of all students<br>• Allocate resources to support student learning rather than rigid categories<br>• Determine SBDM for learning, equity | ADMINISTRATIVE ROLES AND RESPONSIBILITIES |
| • Task forces define student learning outcomes, frequently based on national standards<br>• Policies enacted that give schools latitude to redesign their teaching and learning approaches<br>• Recognition that all policy needs review to determine what system it supports | • Exit learning outcomes developed by broad-based stakeholder groups at state, district, school levels; outcomes emphasize problem solving, more complex learning for all<br>• Multiple means of measuring student learning used; inclusion of demonstrated skills, knowledge<br>• Major review of policy for realignment to support new system<br>• Policies across education, health, social services, etc. interconnected | Policy at school, district, state supports:<br>• Ongoing rethinking, continual improvement<br>• Allocating resources to support student learning<br>• Curriculum frameworks with high student standards<br>• Learning outcomes guide decisions at all levels of system including classroom<br>• Flexible instructional materials/methods to meet diverse student needs<br>• Alternative modes of assessment | POLICY ALIGNMENT |

FIGURE 2 — CONTINUUM OF SYSTEM CHANGE IN EDUCATION

E

However, as the consensus about needed changes has continued to shift and develop within and between the education and human services systems, and as more and more research and theory about system change has been published, we have further synthesized the ideas to create a current depiction of the process. (See "Full Continuum of System Change in Education and Human Services" in the Handouts section.)

The next section of the background readings describes the two dimensions of the continuum—stages of system change and categories of participants in system change. These sections are designed to explain the two handouts: "Partial Continuum of System Change in Education and Human Services: An Example – Standards" and "Full Continuum of System Change in Education and Human Services." The Partial Continuum uses one feature for system change—standards for student learning. This continuum is designed to help teams understand the basic ideas of the continuum. The Full Continuum provides a fuller picture of system change. This continuum is designed as a starting point for state teams. It is expected that each team will modify it to depict their new desired system.

## STAGES OF SYSTEM CHANGE

As an organization/system attempts to change from one state of being to another, we find six roughly definable stages during the progression to the new system's dominance.

### Stage 1 — Maintenance of the Old System

In this stage, people try to improve what they were already doing. They tend to say, "Well, we know that we could do this a little bit better. If we just try harder, I'm sure it will work." Soon they realize there is something to the adage: "If you always do what you've always done, you always get what you always got." Gradually they begin to say, "Maybe there is something that we need to do differently. Maybe this just doesn't work." At this point they begin to enter the Awareness stage.

### Stage 2 — Awareness

In this stage, people are aware that what they have been doing is inadequate and that there must be something better. This can be frightening because they recognize the need to give up the familiar, and yet don't know what to do instead. The awareness can also create a sense of guilt and unhappiness with past performance. Guilt and blaming one another often characterize this stage. For example, as teachers learn about other teaching strategies they may feel that they have failed or have damaged children in the past by teaching in less effective learning methods. Other people may start blaming one another. Teachers and service providers blame the administration, administration blames front line workers, and the front line workers blame students and parents.

Eventually people realize that blaming and guilt do not help. They begin to look at the alternative practices and become more open to the possibility of their own change. This leads into the Exploration stage.

## Stage 3 — Exploration

During Exploration, people begin to pick up on new ideas from many sources; this can take different forms. One method to move into this stage is to visit other schools and communities to observe new practices. Simply talking about the new ideas can be insufficient; people need to observe the practices in operation or, at the very least, by watching videotapes of new practices. Visits are most helpful because of dialogue with their counterparts which gives a more in-depth view of how practices have changed.

Another way to move people into Stage 3 is to set up study groups within the school or agency. These groups identify and read articles on new practices and then discuss what they have read and how to apply it to their situation.

These conversations are extremely important both at the Awareness and the Exploration stages. They show how we learn through interaction (whether adults or children), and that adults' discussion time leads to changes in the mental image and modelling of good teaching, service, administration, or other practice. The ground rules of effective dialogue become particularly important here (see Senge, 1990).

Another useful activity is to encourage people in all parts of the system to actually try out some new approaches. The idea is for different approaches to spring up among those who are interested in trying new things. Some teachers may be exploring cooperative learning; others may be involved in site-based management approaches; others may look at different ways to engage students in conducting projects; and still others may try performance assessment with projects and portfolios instead of multiple choice tests. Service providers may try shifting toward an emphasis on prevention or work out ways that teams could provide better beneficiary service. The focus of this stage is for people to understand at a deeper level, and experience how it works for their situation.

A couple of precautions during this stage: a common problem has been that people adopt one technique on the basis that it will solve the problems of the system; then they often advocate this approach and criticize others for not using it. This undermines the environment of trust and encouragement for learning that is essential to progress. Another problem that can occur is when people try too many things. This results in practices that are tested at only a superficial level instead of at the depth required to judge the usefulness of the approach in their situation.

During the Exploration stage, people often reach a point where so many things are happening that they can't put it all together. They try to choose one technique over another and don't recognize fundamental themes running through many of these approaches.

E

People need to identify themes and common assumptions that provide the basis for designing their new system. For example, teachers who use cooperative learning may realize that students arrive at jointly shared solutions which are better than individually developed ones. Similarly, a principal who uses site-based management may find that better decisions are made by teachers whose perspective is deeper because of being in the classroom. Teachers are more committed to solutions they understand because they have helped to work them out.

As the Exploration stage progresses, people look more deeply at the commonalties of effective practices and fundamentals that are the characteristics of the new system.

## Stage 4 — Transition

People now move into the Transition stage. At this point people begin to make a commitment to some new practices. Until now they have been able to try new things and keep the old. If critics become concerned about new practices, the reformers can lean back on the old approaches. However, in the Transition stage they begin to realize they can't do both. They are faced with the adage "The politics of subtraction are much more difficult than the politics of addition."

Until now it has been relatively easy to keep adding new practices. Perhaps they have been able to find teachers or others in the system willing to contribute extra time (probably with little pay) to try something new. However, now they realize this cannot continue as the main operational mode. Some practices must be eliminated because of cost and because of the confusion they create. Therefore, this stage is characterized by hard decisions of what to keep and discard, personnel requirements, and budget allocations.

## Stage 5 — Emerging New Fundamentals

As people move into this stage, they begin to make real commitments to new practices. One indication of commitment is when new teachers or administrators are hired based on criteria reflecting new operating methods. Another indication is when resources are allocated to support new practices, rather than to maintain the old.

A key example is when resources are allocated based on student results rather than on traditional budget categories. At this stage we tend to see 20-30% of schools or communities committed to using new practices and policies.

## Stage 6 — Predominance of the New System

This stage is called "Predominance of the New System" rather than "New System," because as people move closer to their vision of a new system they begin to see beyond to even better possibilities.

Consider the story of a city fellow who went to the country looking for Joe Jones' house. He stopped at a farmhouse and asked the woman who answered the door if she knew where Joe Jones lived. "Oh yes," she said, "just go three Cs down this road and turn left." "Three Cs?" he asked. "What do you mean

E

by that?" "Well," she said, "you go once as far as you can see, and then you do it again, and then again, and then you turn left." So too with the shaping of our vision of education and human services. We get a vision as far as we can see based on what our current knowledge is. As we get closer, we see something over the horizon that is even more intriguing and seems more appropriate.

At this point it is unrealistic to expect that everyone will have adopted the "new system" as defined. A state could be considered to be at this stage when about 65-85% of communities are operating according to the definition of the new system.

A continually evolving picture of our direction seems to be a characteristic that will be with us for a long time. Our period of history has so many changes, that we need to become accustomed to change.

## PARTICIPANTS IN SYSTEM CHANGE

People within certain roles and functions define which units of the system are involved in the stages of change. There are a number of ways to group the participants; here are two collective units and five roles played by individuals. The units and roles remain despite the design and desired results of the system.

The two collective units of the system are:

- System leadership
- School/community

The roles of individuals within the system are:

- System beneficiaries (children, youth, and families, or students within the context of their families)
- Front line workers (teachers and service providers)
- Administrators
- Policymakers
- Public

Below is a brief description of individual and collective system participants and how they tend to move through the stages of system change. The descriptions draw on an extensive body of research (see Readings on System Change). The descriptions assume that people are moving toward a system defined by characteristics most commonly promoted by reformers.

## Collective Units of the System

The nature of the leadership of the system and the norms of the school and community are key elements to track in the process of system change.

### System Leadership

A key to system change is leadership evolution as the system changes. Evolution in the leadership from the typical old education and human services systems to the new one(s) is characterized by a shift from:

- heavy hierarchy and bureaucracy to shared and distributed leadership throughout the systems
- one-way communication to multi-directional communication with extensive use of networks and partnerships
- large top-down organizations to smaller partnered and networked organizations
- decision making detached from the beneficiary to decision making open to and connected with the beneficiary
- focus on inputs and activities to focus on results

### School/Community Units

Extensive research shows that although individuals must change, there is a shared set of implicit or explicit norms that shape individual change. These norms tend to be particularly defined within a school or community. Thus, one needs to look at the progression of change. As schools and communities shift from the old systems to new ones, they tend to be characterized by a shift from:

- repeating patterns of the past to consciously looking at past patterns and making judgments as to whether these are patterns they want to continue
- a focus on the past to a focus on the future
- a focus on problems and weaknesses to a focus on strengths, assets, and possibilities
- little attention to results for the beneficiaries to major attention on how the system impacts the results for beneficiaries

## Individual Participants in the System

Individuals within the system can be grouped by the predominant role they play in relation to the education and human services system.

### System Beneficiaries

Beneficiaries' perception of their relationship to the system is a key aspect of system change—and one that is often overlooked. Beneficiaries are often seen as passive recipients rather than active participants in the shape and function of the system. In fact, this is the dominant change that occurs in the shift from the old system to the new—the beneficiaries shift from passive, powerless consumers with little responsibility to actively involved participants with power to influence the system and the commensurate responsibility to achieve desirable results.

## Frontline Workers

Teachers, social workers, and other human service providers have the most direct contact with the system's beneficiaries. The way they function and view their roles and responsibilities has a major impact on whether and how the systems change. The front line workers undergo a shift from:

- delivering information or services to a role as coach, mentor, and supporter of the beneficiaries' learning and growth

- assuming responsibility for following rules and regulations to assuming responsibility for supporting the accomplishment of the desired results of the system

- viewing themselves as authorities to viewing themselves as partners with beneficiaries and communities in the accomplishment of results

- viewing their responsibilities as within a narrow specialty to seeing themselves as partners with other service providers in helping the beneficiary view the situation holistically (recognize the interconnections between multiple needs)

- having limited access to information to having broad access to information

## Administrators

New systems tend to be characterized by a different type of administration. We look both at how the administrative functions change and who the administrators are.

- Functions: Administration moves from a fairly passive role of ensuring that rules and regulations made by policymakers are followed to ensuring that desired results are being achieved by system beneficiaries. This may mean that resource allocation decisions are made by frontline workers and at the community or school level rather than higher up in the system. Those decisions are made to achieve desired results, while leaving considerable flexibility for frontline workers, beneficiaries, communities, and schools to decide the best ways to achieve results.

  Accountability under the new system focuses on results, leaving considerable flexibility for local people to determine the methods used to achieve those results. Administrators shift from protecting turf and resources to working in partnership with others to use their collective resources and power bases to serve the beneficiary. Administrators must also think systemically while acting locally. They must look at both short-term and long-term impacts, and examine how actions taken for one purpose impact other parts of the system.

- Administrative Tasks: Responsibility for administrative functions is also likely to change. Rather than certain people having a strictly administrative position, administrative tasks are likely to be distributed among a broader group of people. For example, those with a predominately frontline role may have a certain amount of their time desig-

nated to administrative functions, thus reducing the distance between service and administration.

### Policymakers

Policies establish the broad framework and parameters of how a system functions and what it is intended to accomplish. The process of policymaking shifts from the old system to the new system in several ways. For example, policy shifts from:

- being driven by bureaucratic convenience and maintenance to achieving desired results

- being segmented and uncoordinated across systems to coordinated and systemic

- having a heavy emphasis on mandates to strategic use of incentives and waivers as well as mandates

- being highly directive at the state and federal levels to state and federal policy setting broader parameters within which effective local policy can be made

- having a focus on compliance with rules and regulations to a focus on results

### Public

The role of the public also changes from the old system to the new. The old systems tended to be quite closed to public influence; the major mode of public influence was through the election of people to various policy positions. The new systems are more open, allowing significant public involvement to shape desired results and operation modes to fit the community's needs and values. The new systems are more accountable to the public regarding operation and achievement.

## PATTERNS WITHIN THE CONTINUUM

Once the group has identified where their state is on each row of the continuum, reflect on the patterns that appear. Some pioneers are needed within and across groups who help propel the whole system forward; this creates an ongoing dynamic through the system. There is no right way to move the system toward the new configuration. Policymakers may lead in some cases, schools in others, and communities in yet others. The trick is to keep deepening the dialogue within and among groups to improve the quality of changes implemented and to clarify the basic principles upon which the new system rests.

# READINGS ON SYSTEM CHANGE

Anderson (Parsons) B.L. *A Framework for Understanding and Assessing Systemic Change*. Fort Collins, CO: InSites, 1993.

Anderson (Parsons), B.L. and Cox, P.L. *Configuring the Education System for a Shared Future: Collaborative Vision, Action, Reflection*. Andover, MA: Regional Laboratory for the Northeast and the Islands, 1988.

Anderson (Parsons), B.L. "The Stages of Systemic Change," *Educational Leadership*, September 1993.

Fullan, M. and Steigelbauer, S. *The New Meaning of Educational Change*. New York: Teachers College Press: Columbia University, 1991.

Fullan, Michael. *Change Forces: Probing the Depths of Educational Reform*. Bristol, PA: Falmer Press 1993.

Hall, G.E. and Hand, S.M. *Change in Schools: Facilitating the Process*. New York: Ginn & Co., 1984.

Hooper-Briar, K. and Lawson, H. *Serving Children, Youth and Families Through Interprofessional Collaboration and Service Integration: A Framework for Action*. Oxford, OH: The Institute for Educational Renewal at Miami University, 1994.

Kagan, S.L. "Families & Children: Who is Responsible?" *Childhood Education*, 1994.

Katzenbach, J.R., Smith, D.K. *The Wisdom of Teams*. New York: HarperBusiness, 1993.

Land, G. and Jarman, B. *Breakpoint and Beyond*. New York: HarperBusiness, 1992.

McLaughlin, M.W. and Talbert, J.W. *Contexts that Matter for Teaching and Learning*. Stanford, CA: Center for Research on the Context of Secondary School Teaching, 1993.

Moore, G.A. *Crossing the Chasm*. New York: HarperBusiness, 1991.

Parsons, B.A. and Rosen, E. *From Activity to Purpose: American Council for Learned Societies' Elementary and Secondary Schools Curriculum Development Project Second Evaluation Report*. Fort Collins, CO: InSites, 1994.

Price Waterhouse Change Integration Team. *Better Change*. New York: Irwin Professional Publishing, 1995.

Rogers, E.M. *Diffusion of Innovations*. New York: Macmillan Publishing Co., 1983.

Schaeffer, R.H. *The Breakthrough Strategy*. New York: Harper & Row, 1988.

Senge, P.M. *The Fifth Discipline*. New York: Doubleday/Currency, 1990.

Senge, P.M., et.al. *The Fifth Discipline Fieldbook*. New York: Doubleday, 1994.

Sparks, D. and Loucks-Horsley, S. "Five Models of Staff Development for Teachers." *Journal of Staff Development*. Fall 1989.

Wheatley, M.J. *Leadership and the New Science*. San Francisco, CA: Berrett-Hoehler Publishers, 1992.
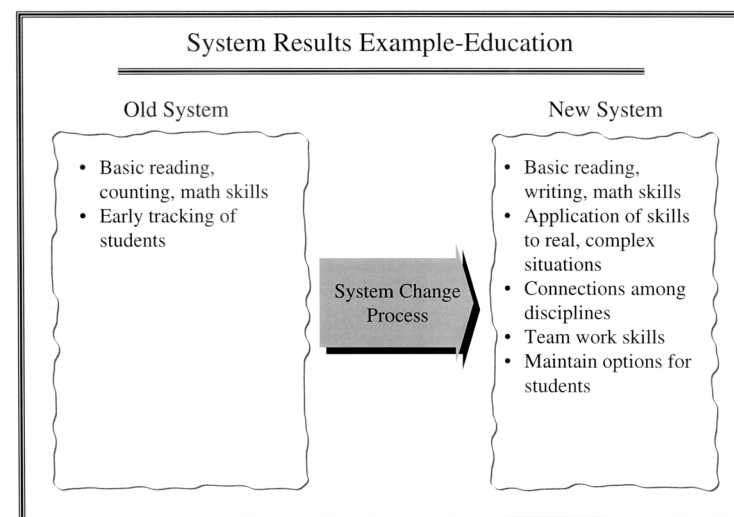
E

This section contains transparencies for facilitators to use during the session. The facilitator should feel free to modify them as appropriate for the particular group. All transparencies relate to a segment of the seminar as indicated on the Seminar Materials Map (Figure 1).
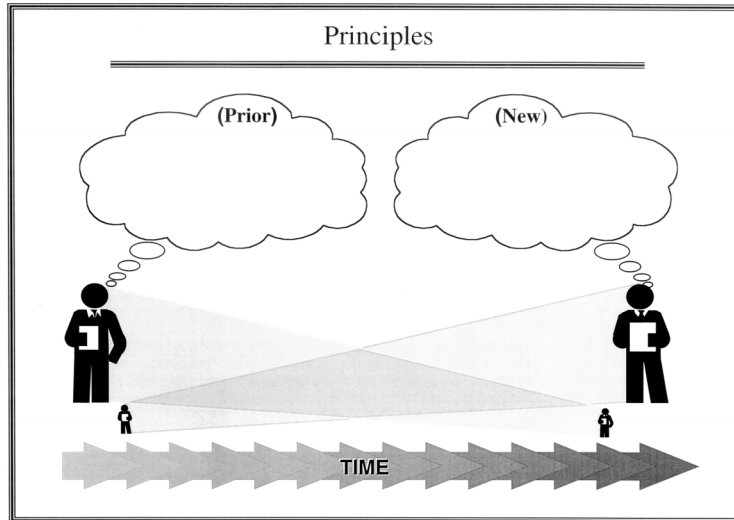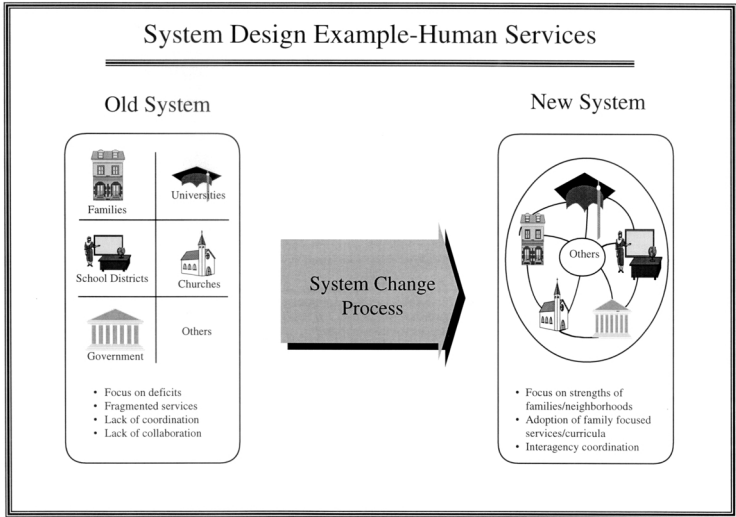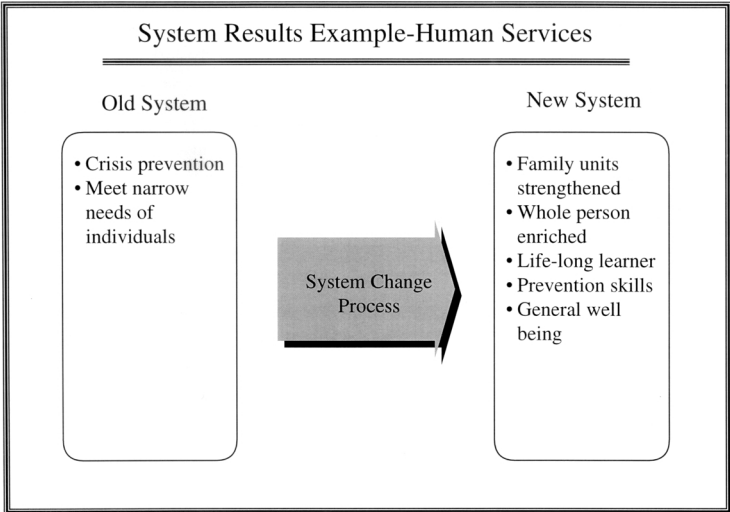
(1) Principles
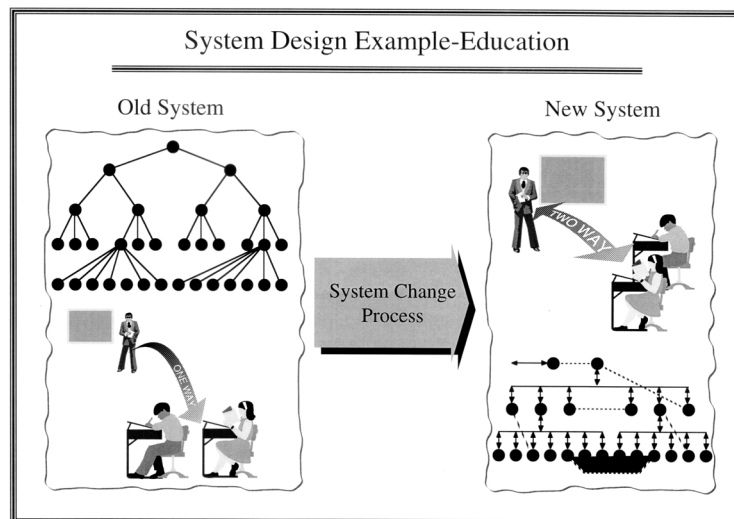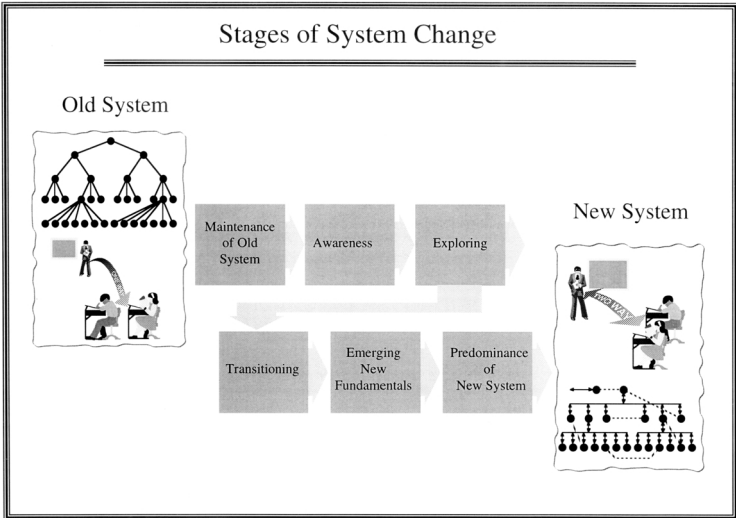


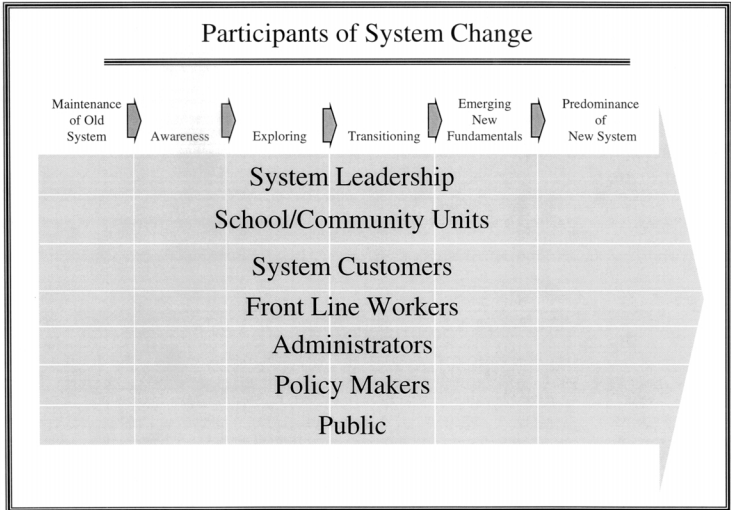(2) System Design Example—Education



(3) System Results Example—Education

**(4) System Design Example—Human Services**



**(5) System Results Example—Human Services**



**(6) Stages of System Change**

**(7) Participants in System Change**

This section contains handouts for facilitators to use during the session. The facilitator should feel free to modify the handouts as needed to be appropriate for the particular group. All handouts relate to seminar segments as indicated in the Seminar Materials Map (Figure 1).

E

## Desired New System Results and Designs

When considering system changes, keep in mind that either the desired results the system is to produce and/or the structure of the system that produces the results may be in need of change.

### Desired Results

In education, the major impetus to change is to obtain different results in terms of what students should know and be able to do. For example the existing system was designed to provide basic skills in reading, writing, and math. Now, in addition, students must learn to apply their skills in complex situations and learn to work cooperatively.

The human services system was largely designed to handle crises. Reformers are arguing for a system that has the goal (desired result) of prevention of crises.

### Desired System Design Features

To achieve the above results, the education and human services systems need certain characteristics, many of which are not a feature of the current systems. For example, if the education system is to help students apply knowledge to complex situations, teachers need to use different teaching methods. Most students do not learn to apply knowledge unless they actually undertake a project where they practice using the knowledge in a complex situation. A student learns to use new science knowledge by conducting an experiment or designing (for example) an electric motor.

Undertaking this means that class periods may need to be longer. Students need to work together, spend time doing research in the library, or talk to experts. Consequently, the system needs to accommodate longer class periods, team learning, new connections to outsiders, different resource materials in the library. The design of the system needs to be different to accomplish new results.

Likewise if human services systems are to help children and families prevent problems of abuse and neglect, the system needs to focus on creative parental education, or caseworkers with various areas of expertise working as a team.

Once the core purposes of the system and the essential ways of accomplishing the purpose change, the impact ripples through the whole system. The parts and functions are closely connected. Thinking through these interconnections and ways to stage the change process is the essence of system change.

E

## OVERVIEW OF THE CONTINUUM OF SYSTEM CHANGE

System change designed to concurrently transform education and human services is in its infancy. This continuum is a preliminary effort to organize one's thinking about system change. We expect important modifications to this continuum as knowledge and experience expands through state and local action. In many cases, the stages and elements of change are projections based on research and experience in other system change efforts—especially in education and business.

This tool is intended to help a state assess where it is in the process of change. It provides a road map based on explicit characteristics of change and goals for the future. It is intended as a basis for discussion of what constitutes system change in a state as well as where a state is in the change process. Feel free to modify it for your situation.

## Stages of System Change

The stages of system change used in the continuum are defined as follows:

- Maintenance of Old System — Focuses on maintaining the system as originally designed. Participants do not recognize that the system is fundamentally out of sync with the conditions of today's world. New knowledge about learning, service, and organizational structures has not been incorporated into the structure.

- Awareness — Multiple stakeholders become aware that the current system is not working as well as it should but they are unclear about what is needed.

- Exploration — Frontline workers, administrators, and policy makers study and visit places that are trying new approaches. They try new ways, generally in low-risk situations.

- Transition — The scales tip toward the new system; a critical number of opinion leaders and groups commit themselves to the new system and take more risks to make changes in crucial places. They selectively shed old ways of operating.

- Emergence of New Infrastructure — Some elements of the system are operating in keeping with the desired new system on a fairly widespread basis. These new ways are generally accepted.

- Predominance of New System — All elements of the system generally operate as defined by the new system. Key leaders begin to envision even better systems.

## Participants in System Change

The system has been segmented into the major participants involved in the change process. That involvement includes:  individual change in people's mastery of new knowledge and skills, ways of operating and viewing the sys-

tem, collective changes in norms and behaviors, and structural changes in characteristics of the system.

People within certain roles and functions define the units of the system that move through the stages of change. Although there are a number of ways one could group the participants of the system, we have chosen to look at two collective units and five roles played by individuals. The units and roles are ones that remain, despite the design and desired results of the system.

The two collective units of the system are:

- System leadership
- School/community

The roles of individuals within the system are:

- System beneficiaries (children, youth, and families, or students within the context of their families)
- Frontline workers (teachers and service providers)
- Administrators
- Policymakers
- Public

This page intentionally left blank.

# Partial Continuum of System Change in Education and Human Services: An Example—Standards

| Participants in System Change | Maintenance of Old System | Awareness | Exploration |
|---|---|---|---|
| **System Leadership** | • Hierarchical, bureaucratic structure reinforces coverage of content with emphasis on teaching rather than learning | • Recognition that leadership for determining student standards needs to include teachers, parents, community | • Innovative schools, teachers pilot standards, get involved in shaping standards |
| **School/ Community Units** | • Emphasis on courses, credits, grades | • Scattered attention to standards among individuals | • Teams, individuals pilot use of standards, advocate use, see benefits |
| **System Beneficiaries (Children, Youth, Families)** | • Focused on what the teacher thinks is the right answer | • Question why change is needed | • Demonstrate learning through projects, writing, non-standardized tests in pilot efforts |
| **Frontline Workers (Teachers/ Service Providers)** | • Teachers ensure coverage of required materials<br>• Service providers pay little attention to what students are to learn | • Teachers recognize value of student standards; are concerned about being held solely responsible for student learning<br>• Service providers concerned that their students are being left out | • Teachers explore implications of standards for curriculum, instruction, assessment, accountability<br>• Service providers determine their responsibilities for achieving standards |
| **Administrators** | • Monitors number of credits and courses to be taken and taught in each subject area | • Recognizes that coverage of subject matter does not ensure acquisition of knowledge and skills | • Explores implications of various approaches for resource allocation, responsibilities, accountability |
| **Policymakers** | • State, local policy identifies general subject areas to be taught; little or no specification of what students are to learn | • Dialogues about difference between specifying what is taught and what is learned | • Waivers and incentives offered to encourage piloting of standards schoolwide or district wide |
| **Public** | • Little or no involvement in determining what students should learn | • Become concerned about quality of education and efficiency of agency services | • Community forums, surveys to consider what students should learn and be able to do |

E

# Partial Continuum of System Change in Education and Human Services: An Example—Standards

| Transition | Emerging New Fundamentals | Predominance of New Systems | Participants in System Change |
|---|---|---|---|
| • Shared leadership across roles, professional organizations emerge | • Emphasis on standards as guiding vision for system redesign | • Leadership functions as a network to achieve standards with flexibility and coherence | **System Leadership** |
| • School-wide development of vision with standards | • Public reporting based on standards | • Standards guide schoolwide decision making | **School/ Community Units** |
| • See standards as important to students' future | • Take responsibility for learning | • Focused on learning valued skills and knowledge as given in standards | **System Beneficiaries (Children, Youth, Families)** |
| • Teachers actively involved in revamping curriculum framework to match standards<br>• Service providers recognize that student learning standards can be leveraged to help meet student needs | • Teachers adopt textbooks, develop curricular materials and instructional methods that match standards<br>• Service providers link student standards to meeting students' non-educational needs | • Teachers focus on creating a different environment that helps students achieve standards<br>• Service providers link standards with meeting non-educational needs | **Frontline Workers (Teachers/ Service Providers)** |
| • State, local administrators develop accountability, hiring, and resource allocation procedures to use standards to improve learning | • Evaluations of professional staff and schools include responsibility for student learning | • Use standards to shape resource allocations, responsibilities, accountability of all parties involved | **Administrators** |
| • Common ground found among diverse views on content, who is involved, and how used. | • Policies encourage local establishment of standards and using collaborative methods | • State policy provides guidelines for local development of standards that ensure equity, excellence, efficiency | **Policymakers** |
| • Different views among community segments used to enrich standards | • Results of student learning are reported to community | • Community actively involved in determining standards and monitoring process | **Public** |

E

# FULL CONTINUUM OF SYSTEM CHANGE IN EDUCATION AND HUMAN SERVICES

| PARTICIPANTS IN SYSTEM CHANGE | MAINTENANCE OF OLD SYSTEM | AWARENESS | EXPLORATION |
|---|---|---|---|
| **SYSTEM LEADERSHIP** | • Repetition of what worked in the past<br>• Hierarchical, bureaucratic, large structures<br>• Focus on inputs (amount of activity) rather than results<br>• Focus on management rather than leadership<br>• Top-down communication | Leaders:<br>• Hear about alternatives<br>• Dialogue about how to work together for change within and across systems<br>• Criticized by media and community for current system problems<br>• Realize beneficiaries can be better served | Leaders:<br>• Stimulate pockets of interest in new approaches, bring together disconnected views<br>• Support pilots using a system approach<br>• Engage segments of all stakeholder groups in decision making |
| **SCHOOL/ COMMUNITY UNITS** | • Focus on following regulations rather than achieving results<br>• Little interest in innovation<br>• Repetition of what worked in the past<br>• Focus on problems, weaknesses<br>• Focus on the past | • Innovators recognize problems created by existing assumptions, traditions<br>• New views being brought in by individuals, groups throughout system<br>• Individual, disconnected visions<br>• Increasing dialogue about change | • Members agree to have some people try new approaches without sabotage from others<br>• Exploration done on a volunteer basis<br>• Incentives to explore<br>• Feedback from explorers to whole school/community |
| **SYSTEM BENEFICIARIES (CHILDREN, YOUTH, FAMILIES)** | • Learners passively acquire knowledge<br>• Beneficiaries not actively involved in determining own needs<br>• Beneficiaries work around conflicting eligibility requirements<br>• Disempowered by system, little sense of responsibility for achieving success<br>• Focused on deficits | • Recognize boredom and frustration due to inappropriate system structures<br>• Recognize different ways of operating will be more work, but rewarding | Pilot groups of students:<br>• Work on projects, portfolios in a few classes<br>• Begin to experience shifts in their roles, responsibilities<br>• Link learning and getting needs met<br>• Take initiative for solving own problems<br>• Participate with adults in determining new structures, goals |
| **FRONTLINE WORKERS (TEACHERS/ SERVICE PROVIDERS)** | • Teachers focused on coverage of assigned content<br>• Teachers/service providers have little contact<br>• Teachers/service providers seen as primary authority<br>• Family not viewed as partner<br>• Standardized services<br>• Fragmented services focused on crisis/deficiencies | • Dialogue about problems created by fragmented services and current emphasis on teaching instead of learning<br>• Fear of change<br>• Blaming, guilt feelings about past practice | • Pilot new service delivery and education methods<br>• Share new ideas via networks, visits<br>• Participate in setting learning outcomes<br>• Recognize structural, belief barriers<br>• Emphasize meeting needs of all students |
| **ADMINISTRATORS** | • Resource allocation and service decisions made far from beneficiary<br>• Education and services to beneficiaries not coordinated across agencies<br>• Accountability based on inputs and activities, not results<br>• Administrators see role as: diminishing conflict; following rules, regulations; protecting turf and resources<br>• Bureaucratic climate | • Recognize current administrative approaches are inhibiting collaboration<br>• Dialogue about reactions to public criticism of systems<br>• Recognize limits of current ways of operating<br>• Hear about alternative administrative approaches | • Encourage teachers, service providers to pilot new methods<br>• Support waivers of regulations that limit new methods<br>• Engage teachers, service providers in dialogue about new methods<br>• Document impact of new methods<br>• Encourage teacher-developed new curriculum<br>• Encourage sharing of new human services strategies |
| **POLICYMAKERS** | Policy emphasizes:<br>• Provider-determined needs and services<br>• Segmented, uncoordinated, categorical services<br>• Bureaucratic convenience<br>• Hierarchical decision making<br>• Separate education and human service systems<br>• Evaluation used for blaming and fault finding<br>• Accountability for activities, not results<br>• Mandates, compliance | • Policymakers hear of options for changing systems to better meet needs of beneficiaries<br>• Policymakers debate options | • Waivers offered to reduce barriers to change<br>• Financial incentives and recognition for collaboration, piloting of new approaches |
| **COMMUNITY** | • Systems detached from community input and accountability<br>• Community support taken for granted<br>• Competition among special interest groups | • Publicity through news media making community aware of problems in system<br>• Alternative system designs being communicated to the public<br>• Encouragement to get involved in dialogues/forums for change put forth | • Multiple community groups trying to influence system structure<br>• Community groups becoming partners with those inside the systems<br>• Dialogue sessions for broader community groups promoted by system leaders<br>• Community surveys<br>• Draft versions of plans, goals developed with small numbers of community groups, seeking broader participation |

**E**

# FULL CONTINUUM OF SYSTEM CHANGE IN EDUCATION AND HUMAN SERVICES

| TRANSITION | EMERGING NEW FUNDAMENTALS | PREDOMINANCE OF NEW SYSTEMS | PARTICIPANTS IN SYSTEM CHANGE |
|---|---|---|---|
| • More decisions moved to frontline workers to increase flexibility and coherence for beneficiaries<br>• Professional development for all parties emphasized<br>• Focus on developing a shared philosophy and vision<br>• Reflection on new practices strongly promoted | In at least 1/3 of situations:<br>• Team approach to professional development largely designed by participants<br>• Pattern of collaborative vision, action, reflection getting established<br>• Leadership teams used<br>• Continual development of shared vision and philosophy<br>• Emphasis on quality and ongoing improvement | For at least 60% of leaders:<br>• Vision of desired systems, philosophy, and results guides actions<br>• Collaborative and shared leadership within and among systems<br>• Networks, partnerships common<br>• Multiple communication patterns present | **SYSTEM LEADERSHIP** |
| • Agreement negotiated with whole unit to adopt certain philosophy, practices<br>• Develop shared vision with serious debate, agreed-on wording acceptable to all, recognition of implications for one's own work | In at least 1/3 of situations:<br>• Networks exist for sharing among units<br>• New instructional materials with new content and methods<br>• Flexible school curriculum linked to students' real life situations and interests<br>• Teaming of service providers, teachers, parents to support student learning<br>• Untracking of students | For at least 60% of schools/ communities:<br>• Focus on strengths, assets, possibilities<br>• Focus on results<br>• Continual improvement of practices and adoption to own situation<br>• Thoughtful critique of new trends<br>• Focus on future<br>• All students actively engaged | **SCHOOL/ COMMUNITY UNITS** |
| • Emphasis on students learning new roles, responsibilities in learning and interactions with service providers<br>• Well-articulated descriptions of changed student roles, responsibilities | At least 1/3 of students:<br>• Work in teams to accomplish projects with student leadership<br>• Are part of leadership teams<br>• Take greater responsibility for own learning<br>• Help build coherence among multiple student needs | At least 60% of students and families:<br>• Learn actively (not passively)<br>• Learn to apply skills and knowledge to meaningful situations<br>• Are partners in determining needs to be addressed by system<br>• Focus on own strengths, assets<br>• Feel empowered by system and responsible for achieving success with support from system | **SYSTEM BENEFICIARIES (CHILDREN, YOUTH, FAMILIES)** |
| • New curricular, instructional methods developed<br>• Service providers, teachers, parents work as team around whole child needs in a few schools; approaches shared with other schools<br>• Broad-based professional development around new strategies | At least 1/3 of frontline workers:<br>• Serve as coaches, mentors, supporters of beneficiaries' learning and growth<br>• Respectful of different adoption patterns among colleagues<br>• Focus on increasing quality of new approaches | At least 60% of frontline workers:<br>• Focus on ensuring all students achieve high standards<br>• Coordinate around needs of beneficiaries<br>• Serve as coach, mentor, supporter of beneficiaries' learning and growth<br>• Support achievement of results<br>• Involve families as partners in meeting student needs<br>• Collaborate in groups to develop improved ways of meeting student needs | **FRONTLINE WORKERS (TEACHERS/ SERVICE PROVIDERS)** |
| • Linkages made across innovations for greater coherence, meaning, system impact<br>• Eliminate/reduce conflicting approaches<br>• Alignment of multiple innovations to support underlying values of new systems<br>• Encourage development of textbooks around new standards<br>• Encourage professional development around new strategies | In at least 1/3 of situations:<br>• Evaluation and recertification procedures for teachers and service providers embed new philosophy, practices<br>• Resource allocation consistent with new philosophy and desired results<br>• Professional development for administrators required, practices tailored to specific situations | In at least 60% of situations:<br>• Resource allocation decisions made at the community agency and school level<br>• Services to beneficiaries coordinated across agencies<br>• Results-driven accountability<br>• System procedures leverage student learning to also meet beneficiaries' needs and well being<br>• Administrators build coherence among systems; keep system flexible; encourage results orientation, and systems thinking<br>• Service-oriented climate | **ADMINISTRATORS** |
| • Policies that discourage family and student-centered, results-oriented, collaborative approaches are removed<br>• Incentives established to encourage local innovation and sharing of ideas<br>• Professional development around new approaches supported | In at least 1/3 of situations:<br>• Policies enacted that encourage (not just allow) family- and student-centered results-oriented collaborative approaches to education and human services<br>• Professional development around new approaches required for recertification | In at least 60% of situations policies require or encourage:<br>• Family, student-centered decisions<br>• Beneficiaries involved in determining desired results<br>• Results orientation<br>• Outcomes-driven and equitable funding and accountability<br>• Continual improvement<br>• High standards for all beneficiaries<br>• Local flexibility to meet needs and standards | **POLICYMAKERS** |
| • Conflicting positions highlighted<br>• Seeking common ground among opposing views<br>• Beliefs, values well-articulated and formulated to reach consensus | In at least 1/3 of situations:<br>• Locally agreed on beliefs and values serve as basis for redesign of systems<br>• Community seen as ongoing partner in system redesign<br>• Regular reporting to community by systems of their goals, accomplishments, next steps | In at least 60% of situations:<br>• Flexible, ongoing, broad-based community involvement in shaping social systems<br>• Community-shaped system goals, purposes, processes<br>• Systems report to community on their achievements | **COMMUNITY** |

E

# Blank continuum of system Change in Education and Human Services

| Participants in System Change | Maintenance of Old System | Awareness | Exploration |
|---|---|---|---|
| System Leadership | | | |
| School/ Community Units | | | |
| System Beneficiaries (Children, Youth, Families) | | | |
| Frontline Workers (Teachers/ Service Providers) | | | |
| Administrators | | | |
| Policymakers | | | |
| Public | | | |

E

# BLANK CONTINUUM OF SYSTEM CHANGE IN EDUCATION AND HUMAN SERVICES

| TRANSITION | EMERGING NEW FUNDAMENTALS | PREDOMINANCE OF NEW SYSTEMS | PARTICIPANTS IN SYSTEM CHANGE |
|---|---|---|---|
| | | | **SYSTEM LEADERSHIP** |
| | | | **SCHOOL/ COMMUNITY UNITS** |
| | | | **SYSTEM BENEFICIARIES (CHILDREN, YOUTH, FAMILIES)** |
| | | | **FRONTLINE WORKERS (TEACHERS/ SERVICE PROVIDERS)** |
| | | | **ADMINISTRATORS** |
| | | | **POLICYMAKERS** |
| | | | **PUBLIC** |

E

## PARTICIPANT EVALUATION FORM

*Your responses to the questions below will help the sponsors of this session and developers of the materials improve their work with groups such as yours. Thanks for your thoughtful comments and responses. Use the back of the page if you need more space.*

1. **Issues.** To what extent were the issues addressed in the meeting timely and important?

   _____

   _____

   _____

   _____

   _____

2. **Issues.** What aspects of the topic did we miss that were equally or more important than those addressed?

   _____

   _____

   _____

   _____

   _____

3. **Utility.** What are you leaving the forum with in terms of new ideas, connections, motivations, plans, etc.?  What do you expect to do back home as a result of this experience?

   _____

   _____

   _____

   _____

   _____

4. **Materials.** What changes, if any, would you recommend be made in the materials?

   _____

   _____

   _____

   _____

   _____

**E**

5. **Presentation Approach**. What changes, if any, would you recommend be made in the way the session was designed?

_____

_____

_____

_____

_____

6. **Overall Evaluation of the Forum.** Please circle the number which best expresses your opinion. (1 = Excellent, 2 = Good, 3 = Average, 4 = Only Fair, 5 = Very Poor)

| | | | Rating | | |
|---|---|---|---|---|---|
| Session Elements | Excellent | | Average | | Very Poor |
| a. Planning of the session | 1 | 2 | 3 | 4 | 5 |
| b. Objectives met | 1 | 2 | 3 | 4 | 5 |
| c. Value of information presented/discussed | 1 | 2 | 3 | 4 | 5 |
| d. Overall meeting logistics | 1 | 2 | 3 | 4 | 5 |
| e. Balance of meeting process (discussions, presentations, etc.) | 1 | 2 | 3 | 4 | 5 |
| f. Opportunity to participate in discussion | 1 | 2 | 3 | 4 | 5 |
| g. Overall session rating | 1 | 2 | 3 | 4 | 5 |

7. **Other Comments.**

_____

_____

_____

_____

_____

E

E