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The process of change and the development of alternative teacher evaluation models in four schools

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THE PROCESS OF CHANGE AND THE DEVELOPMENT OF ALTERNATIVE TEACHER EVALUATION MODELS IN FOUR SCHOOLS

by
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The purpose of this study was to investigate the process of educational change in four schools where administrators and teaches designed and implemented alternative teacher evaluation models.

Using Berman and McLaughlin's (1975) three stages of change (initiation, implementation, incorporation), the results of the Change Assessment Guide (29 statements drawn from the change theory literature that support the incorporation of an innovation), narrative examples, interviews, discussion groups, and survey results, the likelihood of incorporation of each new teacher evaluation model was determined.

Results of the study showed that the development of new teacher evaluation plans at the our sites reflected Berman and McLaughlin's standard stages of change (1975). This change model (initiation, implementation, incorporation) was helpful in tracking the change process in the four schools. Three out of the four schools had a number of positives on the Change Assessment Guide and based on the narrative examples, interviews, and surveys the likelihood of incorporation was high. These three schools, designated as "successful sites," shared the rating GREAT EXTENT on 11 out of 29 statements that supported incorporation on the Change Assessment Guide.

APPROVAL PAGE

This dissertation has been approved by the following committee of the Faculty of the Graduate School at the University of North Carolina at Greensboro.

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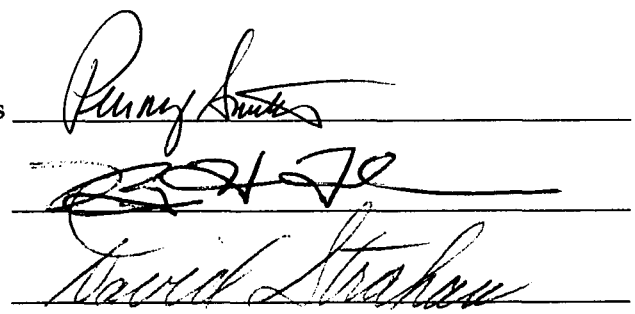
Committee Members 

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CHAPTER I

INTRODUCTION

Since World War II, the number of studies on educational change has increased. One reason for this is that the federal government has become a player in the educational arena through the initiation of new educational programs and financial support. A second reason is that the general public has shown an increasing interest in the quality of public education. This support and interest has become an accountability issue. Are these new educational plans effective and lasting? If they are, why? If they aren't, why not?

Berman (1981) noted that the results of the reform initiatives amounted to a "noncumulative hodgepodge" (p. 253). They weren't effective or systemic. Farrar, DeSantis, and Cohen (1980) found that once educational innovations were introduced in the schools they became a jumble of unresolved problems and competitive political values. The researchers likened innovation in the local school setting to a giant lawn party where there were random comings and goings and couplings and uncouplings. Orlich (1989) confirmed that confusion; he argued that educational reforms proposed by individuals and groups were contradictory in nature, poorly implemented, and eventually abandoned. Not surprisingly, the incorporation rate of these innovations was low (Berman, 1981).

One possible reason for that low success rate is that a traditional change model has been used for a disorderly world. The traditional change model was rational and linear (Lewin, 1951); reform efforts were highly centralized and controlled; and outcomes were measurable. There were clear, established goals; decisions were based on rational deliberation associated with future outcomes (Simon, 1976). Such a model had a top-down bias — decisions started from the top and worked their way down (Berman, 1981).

Another change process model began to emerge in the late 50's, one that more accurately reflected the reality of schools. This loosely-coupled approach was based on the belief that the change process was not an orderly, rational undertaking, but a chaotic, complex, and unique experience dependent on the setting. It was appropriately called by Lindblom (1959) "the science of muddling through" (p. 79). Lindblom wrote that participants in the change process had limited time, resources, and information, and could only plan based on their perceptions and experiences. The values, goals, and empirical analysis of an innovation were not distinct but intertwined. Since the means and ends of a project were not distinct, the means and ends approach was often inappropriate or limiting (Lindblom, 1959). As Goodman (1962) put it, "Change, when it comes will not be practical and orderly." (p. 31).

The value of studying the process of change, whether rational or chaotic, has been supported by a number of theorists and researchers (Lewin, 1951; Rogers, 1962; Watson, 1967; Bennis, Benne, & Chin, 1969; Achilles & Norman 1974, 1986; Berman & McLaughlin, 1975, 1977; Hall & Loucks, 1977; Dalin, 1978; Levine, 1980; Fullan, 1982, 1991; Schon, 1983; Huberman & Miles, 1983, 1984; Elmore & McLaughlin, 1988; Louis & Miles, 1991; Miles, 1993). Ideally, studying change expands our understanding of the process, and increases the likelihood that changes will be incorporated.

Change researchers and theorists have also paid attention to the natural cycles of change and described evolutionary stages which provide an organizational framework. Often the stages of the change process have been called different things, but they refer to the same process. Berman and McLaughlin (1975) presented one widely accepted three-stage theory of change stages that included initiation, implementation, and incorporation. Initiation was the research, invention, and design of an innovation; implementation conveyed information about the innovation and the opportunity for trying it out; and incorporation was the establishment of an innovation as part of an ongoing program.

Current research and theory state that the more positive factors in place for an

educational innovation, the more likely that it will be incorporated. Among the positives frequently cited are administrative openness to innovation, faculty commitment to improvement, teacher involvement in the planning and management of the innovation, and availability of the resources necessary to implement the innovation (Joyce, 1983; Huberman & Miles, 1984). The stages of change and the positives necessary for the incorporation of an innovation provided the stimulus for this study.

Statement of the Problem

One thing that has made the incorporation of an innovation so difficult has been the contradictory nature and uniqueness of the beast. Schools are both organizations and loosely-coupled entities that are resistant to change (Weick, 1978). They have physically distinct classrooms, a division of knowledge and specified education requirements for teachers (Goldman & Smith, 1990). Yet schools are also operationally semi-autonomous; teachers determine their own behavior in their individual classrooms (Weick, 1978). Teachers are in the unusual position of maintaining traditional values and preparing children for a changing world (Zaltman, Sikorski & Florio, 1977). A sense of tension between a school and social, political, and bureaucratic variables makes change in schools a complex undertaking (Berman, 1981).

Compounding the difficulties of educational change is the fact that reformers have often failed to do a number of things when initiating change in the schools. They have not diagnosed problems properly; not resolved implementation issues; not developed leadership on the local level; not planned adequately; not included teachers and the community in the planning process; and not added monitoring and feedback mechanisms to the innovation design (Gross, 1979). The act of implementing innovations in school settings should be considered an active process involving those who will use the innovations, but often is, instead, a passive one treating the potential users as recipients rather than as partners. Change needs input, resources, flexibility, leadership, and support from a number of external and internal groups.

One educational initiative with its own set of complexities is formative teacher

evaluation. Predictable barriers to this type of change include prospective participant reluctance to be a part of something new, unclear legal ramifications, lack of formal approval from those in charge, lack of time to do the plan, participant procrastination, and a move away from "accountability" in a time of increasing interest in accountability.

Summative teacher evaluation, a form of evaluation that is found in most school systems, is considered to be inappropriate for experienced teachers who have already proven themselves competent (Barber, 1985). Instead, formative evaluation is a much more appropriate mechanism for capable teachers who wish to explore particular educational issues in depth. Yet, this innovation may encounter resistance not only because of its uniqueness, but also due to inadequate attention to change process research and theory, and/or both its uniqueness and the inadequate attention to change, and the fact that it is counter to the prevailing "culture" of accountability.

The Purpose of the Study

The purpose of this study is to investigate the process of educational change in four schools where administrators and teachers designed and implemented alternative teacher evaluation models.

Research Questions

The following research questions guided the investigation of the process of change and the development of alternative forms of teacher evaluation models in the four schools in this study:

1. In what ways do the innovations at the four schools reflect Berman and McLaughlin's (1975) standard stages of change — initiation, implementation, incorporation?

2. What are the similarities and differences of responses on the Change Assessment Guide (29 statements drawn from the literature that support the incorporation of an innovation) among the four alternative teacher evaluation models?

3. How helpful is Berman and McLaughlin's model in tracking the change process in the four schools?

4. What is the likelihood of incorporation of the innovation at each site based on the Change Assessment Guide results, case studies, interviews, and survey results?

Conceptual Base

Attempting educational reform is nothing new, but successful educational reform is far from common. Reform can include anything from reconceptualizing the roles of educators to redesigning curriculum and introducing teachers to new instructional techniques.

Embedded in the idea of reform is change — specifically the process of change. If education is to be made better, to be re-formed, then by definition change is involved. With educational change there is the process of creating the innovation, introducing the innovation to the intended participants, trying out the innovation, and adopting it, adapting it, or dropping it (Berman & McLaughlin, 1975). An understanding of and careful attention to the process of change should help make an educational innovation an integral part of a school program and increase the chances of incorporation.

One reform initiative being made in school districts across the country is the shift from an authoritarian, top-down style of management to a decentralized style of decision making that stresses teamwork and total staff commitment to customer satisfaction. One variation of this form of management is Total Quality Management (TQM). Deming, an American physicist and quality control specialist, is considered to be the founder of TQM, which was first used in industry. Recently, elements of TQM have spread to education. TQM consultants recommend that schools create a climate free from fear and remove barriers among departments, grade levels, staff, teachers, administrators, and school board members. They advocate that school sites be evaluated, rather than individual teachers.

One component of the 1980-1990 reforms to decentralize decision making and to

promote teamwork within education is the shift from summative to formative teacher evaluation models. The primary purposes of summative evaluation are to check for teacher competency and to safeguard the organization; a formative model emphasizes professional growth in teachers and becomes a part of a staff development process. Teacher self-evaluation and peer review can be a part of the formative evaluation model. Formative teacher evaluation is more appropriate than summative evaluation for a majority of experienced teachers, because they have already proven themselves competent and are ready to concentrate on professional growth activities (Barber, 1985). Renewed interest in formative alternatives to summative evaluation is a result of the growing popularity of management models like TQM.

The introduction of formative teacher evaluation models in schools is an educational innovation where the change process can be studied and documented. Although individual school settings are unique, educators and researchers can learn from each school experience and discover what is more likely for successful incorporation of an innovation in that setting. Attention to educational innovation in each setting should influence the possibility of system acceptance of the alternative models as well.

Significance and Importance of the Study

This study speaks to one segment of educational reform. Looking back, the world changed from the agrarian age to the industrial age to the information age to the present knowledge age (Drucker, 1989; Naisbitt, 1982; Toffler, 1990). We are now in a period where knowledge is expanding at an amazing rate. The shift to the information age requires individuals to become lifelong learners and have strong communication, technology, and problem-solving skills. Teachers must be prepared to meet these new challenges by being able to assist students in acquiring the tools needed to function in the knowledge age. Ideally by participating in formative teacher evaluation, teachers will be better able to assist their students in achieving these goals.

Researchers should examine the process of change in relationship to specific innovations to determine what works and what doesn't, and to try to understand why things

succeed or fail. Observing and documenting the process of change with new formative teacher evaluation models in four schools will help researchers and educators determine what conditions are necessary to facilitate incorporation of the innovation.

Limitations

The following limitations were made:

1. This study was limited to the teachers and administrators participating in alternative teacher evaluation plans in four public schools in the Southeast.

2. There is no consideration of randomness so the researcher makes no claim that the outcomes are generalizable to other settings.

3. The study is limited to the use of the change factors included on the Change Assessment Guide.

4. The primary researcher is involved with related work at the four sites. There is the possibility of involvement-bias. Steps taken to reduce involvement-bias include numerous data sources (written and verbal input) with emphasis on written documentation not related to the researcher.

5. The study is conducted primarily at the implementation stage of the innovation which severely limits the application of conclusions about the likelihood of systemic change.

Definition of Terms

Alternative teacher evaluation is different from traditional teacher evaluation in that it emphasizes professional growth in teachers (formative evaluation) rather than accountability (summative evaluation).

The Change Assessment Guide (CAG) was developed by the researcher and is comprised of 29 factors drawn from the literature that support the incorporation of an innovation.

Evaluation involves the development of a process that judges worth, measures the degree to which specified tasks are accomplished, or provides assistance in developing new programs or skills (Random House College Dictionary, 1982, p. 1109).

The intent of formative teacher evaluation is to help teachers improve their performance and develop good teaching skills (Barber, 1987).

Implementation of an innovation is the "trying out" of a new idea. This is known as the pilot stage (Berman & McLaughlin, 1975).

Incorporation of an innovation is the third and final stage of the change process. It is when an innovation is institutionalized, or made a part of the regular school program (Berman & McLaughlin, 1975).

Initiation involves the introduction and planning of an innovation (Berman & McLaughlin, 1975).

Peer review is the process by which a review is carried out by a person or persons of one's own rank. Teachers provide assistance and support for each other (Barber, 1987).

Professional growth is the improvement of a teacher's performance or skills.

Self-Evaluation is making judgments about one's own teaching (Barber, 1987).

Summative teacher evaluation judges the net worth of a teacher's performance and is used as an accountability tool.

The Teacher Performance Assessment System (TPAS) is the state-mandated teacher evaluation instrument for beginning teachers and most tenured teachers in the state of North Carolina. It is a summative and formative evaluation system. The TPAS is used primarily for accountability purposes.

Traditional teacher evaluation is the evaluation plan that is used for accountability (summative) purposes and is found in most school systems across the country.

Organization of the Study

This study seeks to examine one process of educational change, described by Berman and McLaughlin (1977), as it relates to alternative teacher evaluation models in four schools and to the conditions that enhance the likelihood of incorporation of an innovation.

Chapter One includes the introduction, statement of the problem, purpose of the study, research questions, conceptual base, significance and importance of the study, limitations, and definitions of terms.

Chapter Two provides a review of the literature on the process of change and on traditional teacher evaluation and alternatives.

Chapter Three describes the methodology which includes an introduction, study participants, data sources, selection process, design, survey development, interviews, discussion groups, unobtrusive measures, and data analysis.

Chapter Four is devoted to presenting the data collected at each site, the analysis of it, and responses to research questions one, two, three, and four. It includes an introduction, alternative teacher evaluation plans, four narrative examples, and a cross-case analysis.

Chapter Five offers a summary, findings, conclusions, discussion and recommendations.

CHAPTER II

REVIEW OF RELATED LITERATURE

Introduction

This chapter includes reviews of the literature and the research related to the process of change and to traditional evaluation and its alternatives. These variables were analyzed and integrated into a conceptual framework for this study.

Process of Change

A broad interpretation of change is any departure from the traditional practices of an organization (Levine, 1980). Whether the change process is perceived as rational and sequential or unpredictable and paradoxical, the introduction of an educational innovation in a school setting is promoted as a different way of doing things. Very simply, it is a disruption in the status quo because change is not a natural act.

Historically, two views of change have dominated the literature. One view assumes that change is the result of rational processes. The other view posits that change is irrational. Theoretical models can and sometimes do account for both rational and irrational change, albeit altering the labels one gives to various categories.

Sashkin and Egermeier (1991), for example, charted the history of educational change and placed innovation approaches into three different categories: a rational-scientific approach; a political approach (top-down with change coming through legislation or external directives); and a cultural perspective (bottom-up). They also listed change implementation strategies: fix parts (teaching methods), fix people, fix schools, or fix the system. Fixing parts focused on improving instructional methods. Fixing people meant that the knowledge and skills of administrators increased; teachers improved through training or staff development plans. Fixing the school had to do with Organizational Development (OD); people in organizations learned how to solve problems more effectively. The system improved through comprehensive restructuring

which might involve decentralizing authority, implementing accountability measures, integrating the curriculum, and the professionalization of teachers. Sashkin and Egermeier (1991) wrote that from the late '50s until the '70s the scientific perspective was dominant. Educators were given information and then shown how to apply it. In the 1980s the political approach was apparent with top-down external policy controls. The cultural perspective is emerging in the 1990s, where change originates and is implemented on the grassroots level.

Miles (1993) reviewed educational change from the 1950s on. He wrote that educational change strategies were recast and transformed over the past 40 years. Miles (1993) stated that school change was more than planning, funding, and implementing good practices; change was influenced by local context. Change was led by inspiration, mobilization, vision and problem-solving; it was managed by goal-setting, facilitation, coordination, and monitoring (Miles, 1993). Miles (1993) divided school change strategies from the '50s until the '90s into ten groups. The first strategy, Training for Group Skills, emerged in the 1950s and declined in the '70s. It involved process analysis — individuals talking about what was happening in a situation, rather than staying on the official task. Self-analytic behavior was in effect. Innovation, Diffusion, and Adoption took place in the 1960s with a focus on technical rationality. Training institutes and programmed instruction (teacher proofing) were highlighted, with temporary systems (projects, task forces, retreats, workshops) put into place. Organizational Self-Renewal began in the late 1950s with emphasis on the school (organization) and not the individual. Training, process consultation, data feedback, problem-solving, and structural change were ways of inducing organizational self-renewal. Organizational Development centered on data feedback and normative change (openness, trust, collaboration, inquiry). Knowledge Transfer (late '60s and '70s) concentrated on Havelock's (1969) problem-solving orientation. Capacity building among people was emphasized, encouraging individuals to create, invent, and network. In the 1960s and 1970s, the Creation of New Schools took place. New schools were developed, rather than tinkering

with the old. The rationale was that "making new" was better. Supported Implementation of the '70s focused not only on the quality of an innovation, but on the quality of its use. Hall (1975) pointed out that implementation was an extended process, unlike the decision to adopt. An innovation was no longer an add-on, but an adaptation. In the 1980s, with less federal support, Leading and Managing Local Reform was prevalent. Reforms and the individuals associated with the reforms were characterized as evolutionary, resourceful, and capable of coping with problems. Training Change Agents (1970s and 1980s) was used for training individuals to facilitate change through the development of trust and support. The National Diffusion Network (NDN) was an example of this; it began in 1974 and continues today. NDN coordinates, configures, and delivers information and service to educators and policy makers (NDN, 1993). Managing Reform on a Large Scale began in the '80s and continues into the '90s. In the United States, even reform on a state level has proved to be difficult, but it is a growing trend. Restructuring Schools is taking place in the 1990s in an intellectual and practical sense. Miles (1993) reminds the reader that the change strategy focus has come full circle.

Kuhn (1962) spoke to both the nonrational and rational approaches to change. He described how scientists created paradigms to support their theories. Scientific puzzles were solved using the structure of these paradigms; the paradigms also served as the basis for continued experimentation. This described a more rational and orderly approach to change. The rub was that these paradigms were used only as long as they were helpful. When they no longer helped in solving problems, a crisis took place in the scientific community. A crisis loosened stereotypes; usually younger scientists who didn't have as much at stake set about to create new paradigms. Of course, this was a complicated and confusing process and very much a nonrational approach, especially in the minds of entrenched old paradigm folks. It was critical though, that new paradigms be created to answer both new questions and old ones that never were answered by the old paradigm.

Many of the change theories developed over the past 30 years are similar in that they describe the same process. (See Table 1 on the next page.) For instance, Rogers' (1962) theory of change was a simple model adapted from new farm practices. There were five stages — awareness, interest, evaluation, trial, and adoption.

Several years later, Bennis, Benne, and Chin (1969) described three change strategies — Rational-Empirical, Normative-Re-educative, and Power-Coercive. Rational-Empirical strategies followed the rationale that people were guided by individual reason and utilized their own self-interest in determining needed changes in behavior. The Normative-Re-educative approach was social in nature; people were guided in their actions by normative cultures. The Power-Coercive strategy was how the ingredients of power were generated and applied in processes of effecting change.

Almost a decade later Rogers and Shoemaker (1971) adapted Rogers's (1962) model to include knowledge, persuasion and decision, coaching/tutoring, and confirmation. Harris (1975) stated that there were five stages of program implementation — planning and initiation, momentum, problems, turning point, continuation or termination.

Achilles and Norman (1974) and Achilles, McConnell and Peevely (1984) supported the theory that the stages proposed by many researchers had similarities in description, even though they called the stages different things. What was perceived as different was basically the absence of a common language. Using content analysis, researchers reviewed the concepts and suggested that there were three common stages — dissemination, demonstration, diffusion. These stages could also be related to communication, theory, and research as a way to strengthen understanding of change as a learning process. With these change models were the introduction and planning associated with the innovation, the trying out of the innovation, and the continuation (with or without modification) or rejection of it.

Lewin was an early describer and contributor to change theory. In his book Field Theory in Social Science (1951) Lewin described the process of change taking place organizationally in three steps: unfreezing, moving, freezing. Unfreezing a group was

Table 1
Change Theory Models

Authors	Processes or Stages
Rogers 1965	Awareness ➨ Interest ➨ Evaluation ➨ Trial ➨ Adoption
Bennis, Benne & Chin 1969	Rational-Emperical / Normative-Re-educative / Power-Coercive
Rogers & Shoemaker 1971	Knowledge ➨ Persuasion ➨ Decision ➨ Coaching ➨ Confirmation
Achilles & Norman 1974	(Dissemination) (Demonstration) (Diffusion) Awareness ➨ Interest ➨ Evaluation ➨ Trial ➨ Implementation
Harris 1975	Planning & Initiation ➨ Momentum ➨ Problems ➨ Turning Point ➨ Termination / Continuation
Berman & McLaughlin 1977	Initiation ➨ Implementation ➨ Incorporation

necessary before prejudice could be removed; the shell of complacency had to be broken. Any level of change was determined by a force field. The older and more established a force field, the more secure it was against change. Lewin stated that if group values remained unchanged, individuals within the group would resist alterations in the status quo. If group standards shifted, individual resistance to change would be eliminated.

In the 1960s, communication and change were studied by Havelock (1969). He created a dissemination and utilization communication model which transferred messages by various media between resource systems and users. Linkage was a series of two-way interaction processes which connected user systems with various resource systems (basic and applied research, development, practice). There were input messages and barriers, upward and downward knowledge flow, output barriers, and messages.

Another aspect of change was the emergence of leaders. Sarason wrote in 1972 that in the creation of new settings, a leader chose himself or the leader was chosen by the group. He noted that when a new innovation was the idea and creation of a single person, usually the core of individuals surrounding the leader had known each other previously.

The Knowledge Production and Utilization (KPU) was a change model developed by Guba and Clark (1975) which focused on community. After spending 20 years in Research & Development, Guba and Clark's 1975 model reformulated the conceptual structure, balanced individual needs with instructional goals, and represented a realistic view of the field. The KPU configurational view was analogous to the concept of community. In this model, new solutions were found to problems in the school, they were disseminated throughout the school community, and then were incorporated or abandoned.

Equally significant is group reaction to change. Dalin (1978) divided the groups affected by change into three categories: those who benefit, those who decide, and those who have to change. Depending on the innovation, these groups were either interde-

pendent or separate. Likewise, Levine (1980) stated that innovation took different forms depending on the group: new within old, totally new within the old, or piecemeal within the old. He discovered that the greater stratification among staff (salaries, prestige) or the higher the rate of production within an organization, the lower the rate of change. The higher the job satisfaction found within an organization, the greater the rate of change.

In the 1970s, Berman and McLaughlin, with a supporting team of researchers, wrote a series of comprehensive documents on change for federally funded projects in educational settings; their findings influenced the direction of change theory. The volumes were based on a RAND study which focused on 293 federally funded change agent projects in the early '70s. One thousand, seven hundred and thirty-five educators associated with the various projects were interviewed.

Based on Havelock's work (1969), the focus of the RAND study centered on what factors influenced the outcomes of change-agent projects. The researchers found that elementary projects were more successful than junior or senior high projects, that schools with more experience with innovation experienced fewer problems, and that too many innovations in one school detracted from one another and caused the success rate to go down.

Berman and McLaughlin pointed out that the rate of incorporation of federally funded innovations was low. To analyze this finding more thoroughly, Berman and Mclaughlin (1975) divided the process of change into three stages — initiation (introduction and planning), implementation (practice), and incorporation (assimilation). Initiation took in the reasons why the innovation was being introduced. Usually it was to solve a problem or to take advantage of financial opportunity. Under implementation, one of three things happened to a federal project. One, the project was mutually adapted which meant that the project design and the institutional setting were both changed as a result of the innovation. Two, the project was not implemented and nothing changed. Three, there was adaptation which meant that the Local Educational

Agency (LEA) changed the project. Under incorporation either the local school assimilated the project, whether or not the district authorized it, or the assimilation took place when the project replaced existing practices.

Berman and McLaughlin (1975) determined that a project had a good chance of being implemented in the schools if it were perceived as being a good idea, if there were an availability of funds, if local needs were met, and if there were incentives for the participants. Likewise, incorporation likely took place if the innovation had been successful, affordable, important to district priorities, and politically acceptable.

Berman and McLaughlin (1977) wrote that a successful innovation had less to do with what it was than how it was carried out. They also discovered that project leadership, early and lasting support of principals, and the quality of working relationships were important. The principal was a key person in incorporation. If a principal worked against an innovation, there was little chance for success. The decision to incorporate involved financial, organizational, and political factors. Comprehensive training and support activities were also important to project success. They improved project implementation, promoted teacher change, and increased continuation of project methods. The RAND study conducted by Berman and McLaughlin only studied federally-funded programs; that narrow focus could have affected the results.

Change research concentrated heavily on factors that hindered educational change: teachers in separate classrooms, low interdependency among teachers, a limited sharing culture, a lack of language to describe basic teaching acts, and constraints on teachers' schedules (Dalin, 1978). Coupled with this was the tension among the school and social, political, and bureaucratic variables that made the school setting a complex arena (Berman, 1981).

Reformers failed to do a number of things when they implemented educational innovations. Many of the problems centered around not involving in the planning and implementation of an innovation those most affected by the change — teachers (Havelock, 1969). Leaders did not always address problems associated with the innovation.

Many times individuals from an external source led the innovation, rather than those from the inside who were closer to the school and the community (Hall & Loucks, 1977).

Thirty years of study on the process of change resulted in a hodgepodge of findings. Some studies supported a rational change process, others a nonrational one. Although theorists and researchers did not use a common language, they agreed that the change process occurred in stages — planning, trying it out, and incorporation or abandonment. Berman and McLaughlin's study (1975) of federally funded programs resulted in three standard change stages — initiation, implementation, incorporation. Berman and McLaughlin developed the three stages to give direction to their study. They discovered there were "do's" and "don'ts" to successful incorporation of educational innovations. Do include administrators and teachers in the planning and implementation stages. Do have administrative support. Do provide participants with adequate resources. Don't rely on outside facilitators. Don't force the innovation on prospective participants. Don't make changes quickly.

A core of researchers and theorists (such as Achilles, Berman, Fullan, Hall, Huberman, Loucks-Horsley, Louis, McLaughlin, Miles) has studied the process of change over the past 15 years. Their work has been extensive and influential in affecting the direction of change theory research and, in turn, the development of educational innovations in the schools. There is a clear distinction between a change process theorist, like Fullan, who writes theories about change, and researchers like Louis and Miles who have conducted studies on educational innovations and documented and published their findings. Within the research category, there are those who do research on change and those who do research about change — meaning that some researchers observe the process of change from the sidelines and others are directly involved in it.

Hall and his associates (1973-79), at the Research & Development Center at University of Texas, looked at the areas of individual and organizational reaction to change. Hall contended that individuals' concerns related to change followed a developmental sequence. He also documented that change was a lengthy, complex process and a

highly personalized experience. The Concerns Based Adoption Model (CBAM) an instrument developed by Hall and others (1977), measured individual concerns during the change process. The Stages of Concern (SoC), also created by Hall and Loucks (1978), was a seven-level developmental scale (awareness to refocusing) documenting the stages of concern in individuals participating in educational reform.

Hall and Loucks (1977) developed surveys/checklists for individuals to check on successful implementation of innovations. They found that institutionalizing an innovation was not an end in itself, but a continuous process of renewal. The organization was taken in by an innovation, became proficient, and changed the original innovation so it worked better. This complemented Berman and McLaughlin's work (1977) on how the setting had the capability of changing the innovation.

Also complementing Berman and McLaughlin's work was Loucks, Cox, Miles, Huberman, and Eiseman's (1982) study of 146 schools implementing some type of educational innovation. They found that incorporation of the innovation was not high in their sample, perhaps due to faculties being focused on the day-to-day repetition of teaching and not on the future. These researchers took a nonrational approach to change, stating that the real world was neither rational nor predictable. In the area of reform implementation, they found that the best combination was a mixture of local and external assistance. Their results also showed that just because a project was complex did not mean that it was more difficult to incorporate. Finally, no matter what the innovation was, the adopting environment had to dictate implementation needs.

Huberman and Miles (1984) found that healthy organizations — the ones with clear goals, good communication, and a sense of cohesiveness — were the ones more likely to incorporate an innovation. These researchers also identified six areas that caused conflict with the implementation of the innovation — fidelity versus adaptation, centralized versus dispersed influence, coordination versus flexibility, ambitiousness versus practicality, change versus stability, career development versus local capacity.

Loucks-Horsley (1989) studied individuals involved in new staff development

activities and found that their development could be connected with the change process stages of initiation, implementation, and incorporation (Berman & McLaughlin, 1977). During the initiation stage, participants had informational and personal concerns and needed a clear understanding of what the innovation was about. With implementation, the focus was on participant training, support, and follow-up activities. The incorporation of an innovation meant that after several years participants' initial concerns had faded, concerns about the impact of the innovation were emerging, and the innovation was being integrated into the structure of the system.

The SHAL (representing the first letter of the schools studied — Stowe, Hempstead, Arlington, Laclede) Project, evaluated by Achilles and Young (1985) and High and Achilles (1986) focused on how well "Effective Schools" programs were being implemented in selected schools. The 19 schools studied entered into the program at different times during a three year time period. Results of the study showed that the longer a school had participated in the program and thoroughly implemented it, the better its students did on the California Achievement Test (CAT). Other findings were that implementation of an innovation took time (three years in this case); implementation of the program was a complex undertaking in all schools; and that school size influenced the results. High and Achilles (1986) studied SHAL implementation in terms of the principal's perceived use of key dimensions of power.

Fullan, a change theorist leader, has published two books and numerous articles on the topic. His 1982 book listed the factors affecting change: need and relevance of change, clarity, complexity, and quality of program, and external assistance to the innovation. In the area of school district characteristics, he noted that the history of innovative attempts, the adoption process, central office support and involvement, staff design and participation, time line and information system, and board and community needed examination. On the school level, principal and teacher characteristics were studied.

Fullan described both the rational and the nonrational approaches to change. Con-

cerning the rational change process, he stated that changes in attitudes, beliefs, and understanding tended to follow rather than precede changes in behavior (1982). Before initiating a new program, Fullan wrote that the initiators had to keep certain things in mind: developing a plan, investing in local facilitators, allocating resources, selecting schools, developing principal's role, focusing on instruction and organization conditions, stressing staff development and assistance, ensuring information gathering and use, planning continuation of the innovation, and reviewing what had been accomplished.

On the nonrational side, Fullan (1991) stated that considerable knowledge and insight into the process of change had been accumulated over the past decade and described innovation as being visionary, empowering, and dynamic. He declared that educational change with its planning, doing, and coping had a lot to do with just being able to muddle through.

Louis and Miles (1990) supported a nonrational change model. They discovered in their study of urban high schools that implementation problems were difficult to anticipate and couldn't be handled using a rational approach. This was true, they stated, because schools were loosely-linked; there was difficulty in controlling the relationships among the schools, communities, and districts; and there was limited control of clients.

Studies done after 1990 on educational innovation have mainly addressed the nonrational change process. This reflects the emphasis in the '90s on decentralization and viewing each school setting as unique. Several studies focused on Sizer's Coalition of Essential Schools, a national reform movement that advocates restructuring as part of its efforts to improve schooling in America. Prestine (1991) reported in her study on Essential Schools that organizational variables (student enrollment, community setting, geography) affected the success of the project. During the collection of data in the schools several themes related to reform emerged: a lack of stability, a lack of support, a lack of trust, a lack of commitment, a new concept of power, a need for systemic agreement, and a willingness to take risks. Paradoxically, the principal emerged as both a key

and a marginal player. The principal had to support the innovation and be willing to have teachers in leadership positions. Without the principal's support and collaboration, the project would not work. Prestine (1991) found that in the most effective projects the principals involved a few teachers intensively, gave them release time, and supplied them with a team of outside experts.

Another study related to the Coalition of Essential Schools (Muncey & McQuillan, 1993) centered on eight schools that were original members of the charter. This study was conducted over a five year period (1986-1990). Muncey and McQuillan stated that the findings were widely applicable. They found that at most of the schools studied there was not a consensus that changes needed to be made in the school structure or teaching practices. Joining the coalition forced participants to examine the school philosophy, perceptions about their jobs, the school mission, and the best ways to educate students. The faculty was divided and communication restricted because only a few faculty members were actively involved in the reform. The supporters of the reform were naive because they didn't think about the political ramifications of change and educators assumed that once the program was accepted there would be little need for reflection.

Vermont's new portfolio assessment plan for students was studied by the RAND Corporation in the early 1990s (Hollifield, 1993). Educators in Vermont saw the student portfolio as a tool for instruction, an intervention strategy, and an assessment tool. Although the initial idea of student portfolios began with the state, the total effort was a bottom-up process with teachers being heavily involved in the initiation and implementation stages. RAND's study showed that the portfolio plan accomplished a great deal in the way of curricular and instructional reform, but portfolio assessments were limited because educators were unable to find a reliable way to assess student performance. The study concluded that change required time and those associated with portfolio plan in Vermont needed additional training and support.

The 1990 Kentucky Educational Reform Act (KERA) was in response to the disman-

tling of Kentucky's educational system. It was a comprehensive reform effort where change occurred rapidly, focusing on teacher hiring, school structure, support services, curriculum, instruction, and evaluation. Coe, Kannapel, and Lutz (1991) reported that Kentucky teachers were struggling to understand the new law and implement new requirements rather than to prepare for the major philosophical and behavioral changes that KERA required. In 1993, officials from the Kentucky Association of Educators (KAE) reported that teachers hadn't been adequately trained to handle the changes the reform called for and change had occurred too quickly.

Moffett and Warger (1993) concluded that programs failed more frequently because of the process used to manage change rather than the actual content of the program. They outlined concerns associated with change: prospective participants needed to have their interests roused without being overwhelmed; participants wanted to have program information; theory associated with the innovation had to be transformed into reality; and participant concerns about being able to adapt the innovation had to be considered.

Most of the newer studies (1980 to present) examined and supported the nonrational change process. Change was a continuous process of renewal — complex and empowering. The process used to manage change was more significant than the actual content of the program.

Traditional Teacher Evaluation and Alternatives

In 1992, Scriven wrote there were five main duties of a teacher: knowledge of subject matter, instructional competence, assessment competence, professionalism, and other services to school and community. He continued that a fair, valid, and helpful teacher evaluation process to assess teachers in these areas was essential. Scriven concluded that the current system of evaluation was neither fair nor valid nor helpful.

There are two types of teacher evaluation — summative and formative. A summative approach is used as an accountability tool and is a process that allows supervisors to monitor teachers in order to protect the system from bad teaching (Barber, 1985). A formative approach promotes teacher growth by illuminating some area of difficulty

and creating a viable course for change (Barber, 1985). Its intent is to help teachers become more effective.

Some school systems have used a combined summative and formative teacher evaluation system. The results have been mixed because it is difficult to judge (summative) and assist (formative) at the same time (Popham, 1988; Barber, 1985). Administrators evaluating teachers on a summative system look for competence; on a formative system they look for improvement. A mixed system is contaminated because the end results are so different (Popham, 1988) — "fix" or "fire"? Such a system generally neither removes or improves teachers.

Summative evaluation is the most typical form of teacher evaluation found in the United States today. An administrator or evaluator indicates the adequacy of a teacher's performance following one or two observation periods. The observations result in administrator judgments that are part of the teacher's personnel file and can affect promotion, reassignment, and termination decisions. This system is designed to ensure that teachers are functioning at some "standard" level of competence.

In some states, teachers on certain levels must be evaluated on a state-mandated evaluation instrument. The state of North Carolina currently requires that all beginning teachers be evaluated on the Teacher Performance Appraisal System (TPAS). The TPAS has been in effect in North Carolina since the mid '80s. It was developed using research literature, teacher job analysis, teacher consensus, and policy/legislation. The purposes of the TPAS are to upgrade teachers' skills and to serve as a guide for reemployment (Kuligowski, Holdzkom & French, 1993). Although originally designed with the beginning teacher in mind, in most North Carolina school systems tenured teachers are evaluated on the TPAS, too. A school system has the option of using alternative methods of evaluation for tenured teachers (General Statute 115C-238.2(b), 1991).

The TPAS plan requires at least three classroom observations of a teacher by a principal or trained evaluator. One portion of the TPAS is the Teacher Performance Appraisal Instrument (TPAI). The TPAI requires the evaluator to make judgments on a

rating scale about the quality of a teacher's performance on five functions of the teaching act: managing instructional time; managing student behavior; instructional presentation; monitoring instruction; and providing instructional feedback (North Carolina State Department of Public Instruction, 1986).

Developers of the TPAS present it as both a summative and formative plan because it includes a Professional Development Plan (PDP) for teachers and a pre-conference and post-conference between the administrator and the teacher. For the PDP, a teacher and a principal decide on an area of professional growth that the teacher will work on for the following year.

The results of the TPAS evaluation system were examined between 1985-1988 by studying the evaluations of over 6,000 teachers in 15 school districts. Results of this study suggested that some time was required for an innovation, in this case a performance-based evaluation system, to come up with measurable results. It concluded that improvement in performance of teachers and evaluators during the three-year study did occur. The results also reflected the developmental and interactive nature of the improvements (Holdzkom, Stacy & Kuligowski, 1989).

In the state of South Carolina, there are three contract levels for teachers — provisional, annual, and continuing. Provisional teachers must be evaluated on a state-developed summative plan, Assessments of Performance in Teaching (APT) (Act 1987 of the 1979 South Carolina General Assembly Section 59-26-30 State Board of Education). Teachers who have annual and continuing contracts are evaluated on the APT or an alternative instrument chosen by their school district representatives. Such an instrument must meet the criteria set by the state of South Carolina.

Legislation in both North Carolina and South Carolina allows for formative evaluation of experienced teachers. Formative evaluation is an option that is growing in acceptance and helps teachers expand their professional competence (Stiggins & Duke, 1988). It enables teachers to reflect on the strengths and weaknesses of their teaching. A formative system is supportive and requires teacher input. Feedback about one's teach-

ing can come from many sources: peers, specialists or experts, students, parents, administrators, and from self-observation. Formative evaluation systems are usually built around self-observation, peer feedback, or outside evaluators or administrators.

To understand which type of evaluation model is best for teachers, it is necessary to examine the theoretical conceptions of teaching such as those proposed by Wise, Darling-Hammond, McLaughlin and Bernstein (1984). If teachers are seen as laborers, then teaching activities are planned and programmatically organized and routinized; there are standard operating procedures. In such a model an administrator evaluates a teacher using a behavioral type of instrument, frequently a checklist. Teaching as craft requires a repertoire of specialized techniques with a base of knowledge and generalized rules of application. The principal is seen as manager and evaluates teachers accordingly. When teaching is seen as a profession, teachers have a repertoire of specialized techniques and exercise judgment about when to apply those techniques. The evaluation instrument is developed by peers and teachers to diagnose difficulties and appraise solutions. The principal provides the resources necessary to assist teachers in carrying out their work. Teaching as art calls for induction, creativity, improvising and expressiveness on the part of teachers. The principal becomes a leader who encourages such behaviors.

In most school systems teachers are seen as "laborers" or "craftspeople" and the instruments they are evaluated on reflect this. There is increasing opposition to a summative evaluation model because teachers feel that principals lack the resolve and competence to evaluate them accurately, evaluations are infrequent, there is a lack of uniformity and consistency to evaluations, and evaluators receive inadequate training (Popham, 1988; Wise, Darling-Hammond, McLaughlin & Bernstein, 1984).

Successful evaluation systems have to suit the educational goals, management style, concept of teaching, and community values of the school system (Wise, Darling-Hammond, McLaughlin & Bernstein, 1984). Berman and McLaughlin (1978) stated the same thing when they declared that a successful innovation took into consideration the

institutional climate, the organizational structures and incentives, the local political processes, and expertise and leadership styles of those involved.

In many of the new alternative teacher evaluation systems where emphasis is on improvement, teachers are seen as professionals and teacher growth is emphasized. Teachers are involved in selecting their areas of improvement. Principals can assist by providing guidance and/or resources. With some plans, teachers work together in designing their own programs of professional growth and development and in a nonevaluative fashion help each other as equals and colleagues (Glatthorn, 1984). This is known as peer coaching or peer review. Teachers observe each other, give feedback, exchange ideas, and discuss future strategies. The advantages of such a system include gaining more knowledge about the work of others, a new mechanism for communicating, and teacher comfort with the process (Robbins, 1991). Barber (1985) speaks to the necessity of good peer coaching skills among teachers. Embedded in successful peer coaching are good conferencing and observational skills (Robbins, 1991).

Formative teacher evaluation methods are extensive and usually involve self- and peer evaluation. Methods include self-evaluation surveys, videotaping a classroom lesson, keeping a journal or portfolio, observing exemplary teaching, in-class observation by a peer, self-study materials, and surveys of parents and students (Barber, 1987).

There are many exemplary alternative evaluation plans. The Collegial Evaluation Program for teachers was developed at Stanford University (Dornbusch, Deal, Plumley & Roper, 1976). In this pilot program, teachers volunteered to form partnerships with peers to evaluate and improve their teaching. The plan included an introduction to collegial evaluation, considerations in choosing a partner, how to obtain student feedback, sample self-evaluation forms, considerations in selecting criteria for improvement, suggestions for observations and peer conferences, and information on professional development plans.

Educators at Greensboro Day School in Greensboro, North Carolina, developed a successful formative plan for all teachers. Created in 1981 by an administrator/teacher

group, there are six components of instructional improvement: an annual self-evaluation to target an area for improvement; the selection of a companion teacher who worked closely with the participant throughout the school year by sharing goals and evaluating progress; the observation of a teacher by a peer each semester; a professional evaluation done by and administrator; a support system for teachers which included funding for staff development; and a faculty study which focuses on at least one educational topic each year (Greensboro Day School, 1991).

Educators from the Camp Lejeune Independent School System, Camp Lejeune, North Carolina, saw the need to develop an alternative teacher evaluation plan for tenured teachers in 1989. The educators created a voluntary plan for experienced teachers that emphasized professional growth. To be eligible, teachers had to have above standard ratings on the TPAS. Educators who chose to go on the plan sat down with an administrator and designed a project for the year that reflected school goals. One example was an Advanced Placement Biology class that stressed educational equity for gifted girls; another focused on student writing portfolios.

In the state of Washington, personnel in the South Kitsap School District revised the teacher evaluation plan in 1987 to include a summative review, a summative track, a formative track, and an intensive assistance track. Tenured teachers were evaluated on basic competencies on the summative track. Once teachers completed the summative review process, they moved to the formative track where they worked on professional development activities for two years and then shifted back to the summative track for one year. Unsatisfactory evaluations on the summative track could lead to a transfer to the intensive assistance track. The formative and the summative evaluations systems were kept separate.

Another alternative evaluation program was developed by the British Columbia Teachers' Federation in Vancouver, British Columbia, in the mid '80s. It was instituted in many schools in British Columbia. Called The Program For Quality Teaching, it prepared teachers for working with colleagues as peer consultants. The training taught

participants to analyze their teaching, conduct feedback conferences, and examine their own professional goals. A network of teachers was formed to share the results of their professional explorations (British Columbia Teachers' Federation, 1986). Teachers reacted very positively to this new form of teacher evaluation.

In Vermont, a peer assistance teacher evaluation model that started with a group of high school English teachers in Windham Southeast Supervisory Union in the mid '80s was formally adopted by their school system in 1989 (James, Heller & Ellis, 1992). The voluntary peer assistance model involved a pre-conference, observation, and post-conference on the part of two colleagues working together to assist or aid professional growth.

Summative and formative teacher evaluation models serve two distinct purposes. Summative teacher evaluation is an accountability tool used to protect school systems from bad teaching. Formative evaluation promotes professional growth in teachers and can take the form of goal-setting between an administrator and a teacher, teacher self-evaluation, or peer review. Traditionally, summative evaluation has been used to evaluate teachers. A combined evaluation system (summative and formative) has gotten mixed results because the end results are so different. It is very difficult to "fire" and "fix" at the same time. Consequently, there is a movement to separate summative and formative evaluation plans.

The review of the literature on change provides the framework for this study — initiation, implementation, incorporation. The factors that support the incorporation of an innovation in this chapter became a part of the Change Assessment Guide (CAG) described in more detail in the next chapter. And, finally, the implementation of alternative forms of teacher evaluation became the vehicle for observing the process of change.

CHAPTER III
METHODOLOGY

Introduction

This study, based on Berman and McLaughlin's (1975) three stages of change, involved the examination of four school sites whose educators implemented new teacher evaluation models. Using Berman and McLaughlin's (1975) stages of change, the results of the Change Assessment Guide (29 statements drawn from the change theory literature that support incorporation of an innovation), narrative examples, interviews, discussion groups, and survey results, the likelihood of incorporation of each new teacher evaluation model was determined. The findings at each school site are described and compared with the findings of the other school sites. A qualitative and qualitative methodology was chosen for this study.

Study Participants

Four schools in the Southeast implementing alternative teacher evaluation models were invited to participate in this study. They included a high school (grades 9-12), a middle school (grades 6-8), an intermediate school (grades 4-5), and an elementary school (grades K-6). Three of the schools were located in small towns found in rural counties; the other school was in a suburb outside a large southeastern city. Educators at one site received assistance from their State Educational Agency (SEA) in designing their new teacher evaluation program. The other three schools received training in formative teacher evaluation from the SouthEastern Regional Vision for Education (SERVE), the federally funded educational laboratory serving the region. After receiving training, personnel from these three schools went back to their school sites and designed their own formative teacher evaluation plans that reflected the needs and interests of educators at their particular sites. The primary purpose in developing alternative teacher evaluation plans at the four sites was to determine if such models could better meet the

evaluation needs of veteran teachers.

Data Sources

Five data sources were used: (1) two surveys of teachers and one survey of administrators,(2) one individual interview with administrators associated with the innovation, one informal interview of administrators directly involved with the innovation on a daily basis, (3) a discussion group with teacher participants, (4) a collection and analysis of documentation associated with each alternative teacher evaluation plan, and (5) researcher observations of and conversations with participants.

Selection Process

A written invitation to participate in the study was extended to four schools in the Southeast where educators were in the process of implementing formative teacher evaluation plans. School officials were told that the purpose of the study was to investigate the process of change and determine what factors were necessary for the incorporation of an innovation. Permission to study the schools was granted by a central office administrator from each school system. Educators at each site associated with the new teacher evaluation plan were presented with verbal and written information about the study and were given the opportunity to participate in it.

Design

A variation of a multiple-case study design with a single unit of analysis (the schools) was used for this study (Yin, 1984). Qualitative and quantitative approaches were employed. The analysis was based on multiple sources of data (survey results, interviews, discussion groups, documents, researcher observation and conversation with participants) gathered in the field. This process is known as triangulation.

The study was ex post facto, meaning that the variables were not manipulated (Yin, 1984). The study was quasi-experimental; it took place after the fact (Yin, 1984). It was a descriptive study and answered such questions as "what" and "how" (Barber, Forbes & Fortune, 1988).

For the purposes of construct validity, multiple sources of evidence were used, a

chain of evidence was established, and key informants reviewed the draft of the narrative examples. Internal validity was checked through pattern matching; the same 11 clusters were used for each narrative example. For validity purposes, two professors knowledgeable in the area of the process of change and four Educational Leadership doctoral students reviewed the Change Assessment Guide, made suggestions, and found it appropriate for the purposes intended. A case study protocol was used and a data base was developed for purposes of reliability (Yin, 1984)

Instruments

One instrument used to guide the review at each site was the Change Assessment Guide (CAG) which was created by the researcher of this study. It includes 29 statements drawn from the literature that supported successful incorporation of educational innovations. Each school was reviewed on the CAG. For each statement on the CAG, the researcher wrote down evidence to support the statement, noted the strength and amount of evidence supporting the statement, and then marked GREAT EXTENT_____ SOMEWHAT_____ NEVER_____ on a worksheet. The supporting evidence for each statement at each school site (with the rating) was placed on a chart in order to note individual school status and to compare school sites. An outside evaluator independently went through the same process. The Change Assessment Guide results are found in Chapter IV. (See Appendix A for Change Assessment Guide with research designations.)

For the purpose of construct validity, the Change Assessment Guide was patterned after Berman and McLaughlin's (1975) model of change theory. For utility purposes it was designed after the assessment guides found in the SHAL Project (Achilles & Young, 1983) and the Mary Reynolds Babcock Project (Achilles, Epstein, Runkel, Egelson, & Dickerson, 1991; Achilles & Norman, 1974; Hughes & Achilles, 1974).

Based on interviews, survey results, observation, documentation, and notes from discussion groups, the innovation at each school site was assessed by using the 29 factors found on the CAG. To check for inter-rater agreements, the researcher and an

outside evaluator (a research and evaluation doctoral student) separately assessed the 116 statements on the CAG. The assessment was based on information (surveys, documents, interviews) gathered from each school site. At least 85 percent agreement between the two overall assessments was necessary, based on the recommendation of an experienced researcher. An agreement of 84.5 percent was obtained. In cases where the researcher and the outside evaluator disagreed, both parties presented evidence to support their assessments. Consensus was reached.

Survey Development

Teachers (n=67) at the four schools who agreed to take part in the study anonymously completed two open-ended one-page surveys during the 1992-93 school year. The first survey, administered in the winter, concentrated on why the teachers decided to participate in the alternative plan and the new plan's strengths and weaknesses. The second survey, administered to teachers (n=59) and administrators (n=10), focused on the importance and existence (at the site) of each CAG statement and issues related to incorporation; it was administered at the close of the school year (May 1993). The number of teachers completing the second survey decreased due to teacher absence or transfer.

On the first survey, teachers' responses for each open-ended question at each site were recorded, placed into similar categories, and percentages of agreement were determined for each category. For the second survey, administrator and teachers answers to open-ended questions were separated and recorded on paper. The responses were used as support evidence for the narrative examples. The Survey I questions and results are found in Chapter IV; the Survey II questions are found in Appendix B.

Interviews

Individual interviews were conducted with all school administrators (n=13) associated with the innovation at each site during the winter of 1992-93. (See the interview questions in Appendix C.) Interviews focused on administrators' roles in innovation development, attitudes concerning the innovation, problems associated with the innova-

tion, the future of the innovation, and community reaction to the innovation. Each interview was audiotaped and the researcher took notes. The notes, with support of the audiotape, were written as the chronicle of events associated with the change process at each site. The overriding framework for each account was the three stages of change — initiation, implementation, incorporation. The second overlay was the CAG statements that supported the incorporation of the innovation. The administrators (n=10) directly involved with the plan on a daily basis at each site were informally interviewed at the end of the school year (May 1993) concerning the future and design of the alternative plan for the following year. The researcher took notes at these interviews and placed appropriate responses in the outlines of each narrative example.

Discussion Groups

Discussion groups for teacher participants (n=80) were conducted during the winter of 1992-93. (The teacher number for the discussion groups was higher than the teacher surveys because Deep River building administrators asked a SERVE evaluator to talk to all their teacher participants about the new plan. Their comments were included in this study.) Teachers were asked to respond orally to researcher questions concerning their involvement in the alternative evaluation plan, problems associated with the plan and how they were resolved, and the strengths and weaknesses of the plan. The responses were then placed in appropriate sections of the narrative examples. See Appendix D for teacher discussion group questions.

Unobtrusive Measures

Various unobtrusive measures were used in this study. These measures included:

1. documents describing or evaluating the plan,
2. critiques of the plan,
3. meeting minutes associated with the plan,
4. publications describing the schools,
5. training materials associated with the plan, and
6. researcher's notes from on-site visits.

Data Analysis

In Chapter IV, data for each school are presented as a narrative example. Then cross-case similarities and differences are presented for each cluster.

Clusters for the narrative examples were determined by using the stages of change (initiation, implementation, incorporation) as the foundation. The second overlay was the 29 statements on the CAG; they were further refined by studying survey and interview responses. Grounded theory (Glaser & Strauss, 1967) provided the structure for inductive analysis and emergent design. Using inductive data analysis the theory became "grounded" through the process of repetition; conclusions were then drawn from the results. For example, at each site there was a plan initiator and unique features associated with each plan. Eleven clusters emerged: Introduction, Perception of a Problem, Initiator, Planning, Description of Plan, Program Acceptance, Problems and Resolution, Special Features and Effects of the Plan, Program Coordination, Changes or Additions to Original Plan, and Future. (See Table 2 on the next page.)

Building administrators at each site provided demographic information about the community, school, and teachers based on their own knowledge of the school and community, Southern Association Colleges and Schools (SACS) studies, and school honor applications. Based on these data, a descriptive narrative that started with the initiation of each new evaluation plan, continued with implementation issues, and ended with the incorporation or abandonment of an innovation was developed for each school site. Charts were created for ease in comparing the survey results, teacher evaluation plan descriptions, school demographic summaries, case study summaries, and CAG results. With these data, the researcher was able to determine how the four sites reflected Berman and McLaughlin's standard stages of change (initiation, implementation, incorporation); whether this model was helpful in tracking the change process in these schools; what the similarities and difference of responses among the four sites were on the CAG, surveys, documents, and interview responses; and what was the likelihood of incorporation of the innovation at each site based on this study's results.

Table 2
Formation of Clusters for Narrative Examples

Three Stages of Change	CAG Statements	Interview and Questionnaire Responses	Eleven Clusters
Initiation	1. Innovation is complex. 2. Innovation requires effort. 3. Directors facilitate learning. 4. Training, not technology. 5. Training is practical. 6. Materials developed locally. 7. Innovation solves a problem. 8. Plan is sound. 9. External sources sought and internal sources reallocated. 10. Changes takes time 11. Participants understand purpose, rationale, and process.	↓	1. Introduction 2. Perception of Problem 3. Initiator 4. Planning 5. Description of Plan
Implementation	12. Teachers share in decision-making. 13. Administrators lend support. 14. Strong district support. 15. Resources available. 16. Central office places few restrictions. 17. Implemented locally. 18. Collaboration and support. 19. Focus on structure, policy, regulation, and tone. 20. Management shared. 21. Management team has a license to steer. 22. Things go wrong before they go right. 23. Strategy is flexible. 24. Problems are a natural phenomena. 25. Start small. 26. Efforts are monitored, documented, evaluated.		6. Program Acceptance 7. Problems and Resolution 8. Special Features 9. Program Coordination
Incorporation	27. Design and setting are changed. 28. Innovation supplants. 29. Local resources used to incorporate.		10. Changes and Additions to Original Plan 11. Future

To protect anonymity, the four schools in this study were renamed after southeastern rivers: Yadkin River Elementary School, Dan River Intermediate School, Deep River Middle School, and Broad River High School.

The next chapter describes the change process as it relates to the development of an alternative teacher evaluation plans and possible incorporation in four schools.

CHAPTER IV

ANALYSIS OF FINDINGS

Introduction

This was a study of the process of change, specifically the implementation of alternative teacher evaluation plans in four southeastern public schools. The data collected in this study came from a variety of sources:

1. two surveys of involved teachers,
2. one survey of involved administrators,
3. individual interviews with involved administrators,
4. discussion groups with teacher participants,
5. an analysis of documentation associated with each alternative teacher evaluation plan, and
6. researcher observation and conversation with some participants.

Data reported in the initial portion of Chapter IV include responses to research questions #1 and #2. Data reported in the latter portion of Chapter IV include responses to questions #3 and #4.

Yadkin River Elementary and Broad River High School ran "pilots" of their alternative teacher evaluation plans during the second semester of the 1991-92 school year. In both cases, teachers (Yadkin River Elementary - 26 teachers, Broad River High School - 25 teachers) volunteered to be trained in alternative teacher evaluation methods and then completed one peer review. At Broad River, the peer review replaced the summative teacher evaluation conducted by an administrator. At Yadkin River, the peer review was in addition to the TPAS evaluation. For the 1992-93 school year, development teams at both sites opened up the evaluation plans to more teachers, increased the requirements, and stated that tenured teachers could choose from the state developed evaluation system or the new alternative plan.

Dan River Intermediate did not conduct a pilot. Educators at Deep River Middle School considered their alternative plan to be a pilot for the 1992-93 school year; teachers who chose the alternative plan did it in place of the TPAS evaluation.

For reliability purposes, multiple sources of evidence (surveys, interviews, group discussions, documents associated with the plans, researcher conversation and observation) were collected from all four sites. The evidence was organized and a data base was formed. A chain of evidence was formed so an outside evaluator was able to trace the steps in the study.

For internal validity, a pattern-matching strategy took place; for each narrative example the same 11 clusters were used. Inter-rater agreement for the results on the Change Assessment Guide (CAG) was 84.5 percent.

Research Questions Presented in the Initial Portion of Chapter IV

1. In what ways do the four schools reflect the three stages of the change process — initiation, implementation, incorporation (Berman & McLaughlin, 1975)?

2. What are the similarities and differences of responses on the surveys, interview responses, and CAG statements among the four alternative teacher evaluation models?

Responses to Questions #1 and #2 are presented in four narrative examples. The 11 clusters that comprise each narrative were developed from Berman and McLaughlin's three stages of change (initiation, implementation, incorporation) and the change statements found on the CAG. They were further refined by studying the responses to surveys and interviews. Common themes emerged: for example, initiator, program acceptance, special features and effects of the plan. The 11 clusters contained in each narrative example (Introduction, Perception of a Problem, Initiator, Planning, Description of Plan, Program Acceptance, Problems and Resolution, Special Features and Effects of Plan, Program Coordination, Changes or Additions, Future) tell the story of educators at four schools attempting to implement new teacher evaluation plans.

Alternative Teacher Evaluation Plans

Yadkin River Elementary School - The plan consists of a peer review with a videotape of an instructional lesson, a teacher self-evaluation, and a self-assessment of a teaching unit. The plan is an option for tenured teachers; probationary teachers may participate, but remain on the state teacher evaluation plan. Teachers on this plan are fully evaluated each year. The plan is managed by a development team consisting of three teachers and a principal. Each year, the elementary school receives approval from the school board to continue the plan.

Dan River Intermediate School - Teachers voluntarily participate in an informal peer review process. There is not an individual or a group that manages the plan. All teachers are required to be evaluated on the state teacher evaluation plan.

Deep River Middle School - This plan is an option for tenured teachers. With assistance from a building administrator teachers select administrative, school, and instructional goals to work on for the school year. Participants develop portfolios which reflect their goals. Teachers on this plan are fully evaluated each year. Administrators coordinate the plan.

Broad River High School - In place of an evaluation on the existing teacher evaluation plan, tenured teachers have the option of participating in one peer review every third year. A teacher selects an area of focus that can be observed in the classroom by a colleague. A development team (seven teachers, two administrators) manages the plan. During 1992-93, the plan was operated as a pilot; it will be presented to the school board during the 1993-94 school year.

The demographics of the four schools are presented on Table 3 which is found on the next page. Notice that each school is a different grade configuration, size, and racial mix. Three out of the four school sites are located in small towns and have a third of their students on free or reduced lunch. The narratives for each school will include discussions of the demographics.

In the following section, data are presented as narrative examples for each school in

Table 3

School Demographics for Four Sites 1992-93

Data	Schools			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
Number of Teachers / Administrators	43/2	35/2	33/2	105/10
Number of Students	780	540	475	1,631
Percentage of Students on Free/Reduced Lunch	37%	33%	28%	11%
Racial Mix of Students	94.5% Caucasian 5% African-Amer. .5% Hispanic	55% Caucasian 45% African-Amer.	85% Caucasian 15% African-Amer.	47% Caucasian 45% African-Amer. 5% Hispanic 3% Asian
Location	Rural, small town	Small town	Small town	Suburban
Grade Configuration	K-6	4-5	6-8	9-12

the sample. Next, the similarities and differences among the four sites are presented. In both cases, the clusters follow the change framework of initiation, implementation, and incorporation.

Yadkin River Elementary School

Introduction (Initiation) - The following information was adapted from Yadkin River's 1992-93 Southern Association of Colleges and Schools (SACS) Self-Study for Continuing Accreditation report. Yadkin River Elementary School is located in a rural school system in the foothills in the central part of a southeastern state. The principal, Mr. Y, reported that the community is conservative and the school reflects its traditional values.

There are 43 faculty members, a principal, and an assistant principal at Yadkin River Elementary School. A lead teacher at the school reported that many of the school's educators grew up in the area. The faculty is composed of veteran teachers.

As stated in the SACS study, Yadkin River Elementary has an enrollment of 780 students in grades kindergarten through six. The student population is predominantly white (five percent African-American, one-half percent Spanish). Thirty-seven percent of the students are on free or reduced lunch. Students are typically members of nuclear families. Although it is a rural area, most of the parents are employed in manufacturing trades. Most parents are high school graduates.

A central office administrator said that the principal of Yadkin River, a career educator in his fifties, is well-respected within the system. Mr. Y is known for running a tight ship and paying close attention to detail; he also has the conviction and courage to take unpopular stands if they will ultimately benefit students.

Area educators consider Yadkin River Elementary to be a progressive school. The faculty sponsors several curricular initiatives – including cooperative learning and whole language reading instruction. Grade-level teachers plan their curricular units together as teams.

Having a School Improvement Team (SIT) – site-based decision making – came to

Yadkin River Elementary during the 1992-93 school year. It was mandated by the school system. The SIT is made up of the principal, five teachers, two parents, and a teacher assistant. The team is provided with "improvement" guidelines from the state and the school board. Much of SIT's work centers on filling out forms and concentrating on paperwork. The alternative teacher evaluation plan did not originate with this group.

Perception of a Problem (Initiation) - As reported in a teacher discussion group (n=26), several teachers remarked how "stressed out" and "threatened" they felt with the state-mandated teacher evaluation system, the Teacher Performance Appraisal System (TPAS). On an open-ended 1992-93 midyear survey (n=26), 45 percent of the teachers stated that the TPAS had little effect on their professional development. Teachers made individual statements about the TPAS evaluation system. "The TPAS does not provide enough detail to appraise my lessons accurately." "The results on the TPAS reflect only a part of my teaching ability."

Building administrators interviewed (n=2) felt uncomfortable with the traditional evaluation instrument: "The old program is stale. It symbolizes a junked car on the lawn." "I did 75 evaluations last year and they weren't worth the paper they were written on. They were a complete waste of time." Both administrators voiced specifics: "The old instrument does not fit new teaching styles and the way we want children to learn." "The traditional form of teacher assessment does not fit with our curriculum."

Initiation (Initiator) - To begin the initiation process, a representative from the SouthEastern Regional Vision for Education (SERVE) educational laboratory contacted a central office administrator in Yadkin River's school system about having local educators participate in formative teacher evaluation training. A central office administrator said that the principal of Yadkin River Elementary School, Mr. Y, was selected to go to the initial SERVE formative teacher evaluation training because he was an effective principal. She described him as thorough and credible. Mr. Y said that he became a believer in formative teacher evaluation after the second day of training. He realized that his school personnel needed to implement formative teacher evaluation. "I had to

believe in this. Teachers had to see that I believed in it." He also thought about the future. "At other schools the frustration will grow among educators with the old evaluation system when they make the curricular changes we did."

Teachers at Yadkin River Elementary reported that Mr. Y strongly encouraged them to try the new evaluation plan. Mr. Y became the number one advocate for formative teacher evaluation in his school and in the school system. He presented Yadkin River's Elementary's plan to other principals and interested groups.

Planning (Initiation) - The initiation process continued with the principal and three teacher leaders in the school being invited to attend a two-day workshop on formative teacher evaluation sponsored by SERVE in the fall of 1991. Workshop emphasis was on the separation of summative and formative teacher evaluation systems and various formative options. The four that attended the workshop became Yadkin's development team for the alternative teacher evaluation process. This plan was site-based but was never coordinated through the School Improvement Team.

After attending the training, the development team began to meet to design a formative teacher evaluation plan for the teachers at their school. The team felt that it was important to separate formative from summative teacher evaluation. They designed a plan that promoted professional growth in teachers through peer review. The group decided to run a small formative evaluation pilot (and offer renewal credit) for interested teachers in the spring of 1992 to see if there were enough appeal in such a plan to warrant long-range planning and implementation. Twenty-six teachers expressed an interest in participating in the pilot. The development team trained these teachers in formative evaluation — video camera use, peer review, selecting an area of professional growth, and teacher self-evaluation examples. These teachers completed a self-evaluation form and participated in one peer review which involved having a peer videotape and critique an instructional lesson. The 26 teachers completed the requirements of the pilot program and responded favorably to it. One teacher talked about the openness of the model. Another commented on its nonjudgmental tone and the degree of collegial-

ity that developed when teachers participated in the plan. The process of videotaping a classroom lesson and viewing it assisted them in analyzing their own strengths and weaknesses. Said one teacher, "On tape you see the truth." With the support of the 26 teachers, the development team made a presentation on formative teacher evaluation to their school board in May 1992. They requested that the tenured teachers at Yadkin River Elementary be allowed to participate in a one-year formative teacher evaluation pilot for the 1992-93 school year. The school board approved that request.

Description of Plan (Initiation) - The formative plan developed at Yadkin River Elementary for 1992-93 included several components: videotaped and in-class observations by a peer, a teacher self-evaluation assessment, and a teaching unit assessment. The videotaped and in-class observations included a peer conference before and after the observation. Each teacher determined the area of focus for the peer reviewer. It was not necessary for teachers on the formative plan to hold annual conferences with a building administrator. At the end of the year, teachers signed a statement that they completed the program requirements. The plan called for extensive training on videotaping classroom lessons and how to conduct a peer review. Educators were ready to implement the plan. Forty-two out of 43 teachers at Yadkin Elementary School participated in the formative plan for the 1992-93 school year. Probationary teachers completed the TPAS evaluation process as required by state law and also participated in the formative plan.

The development team agreed that they wanted a formative plan that promoted professional growth. They developed a plan that they knew they could manage and would be approved by the school board. They chose teacher self-evaluation and peer review options because they understood and felt comfortable with these choices. The team felt they could add formative options each year. See Appendix E for a description of the plan.

Program Acceptance (Implementation) - Teachers tried the new formative plan and liked it. A survey conducted midway through the 1992-93 school year showed that 88

percent of the 26 teachers surveyed thought that the plan was a "great idea." The two building administrators felt the same way. "The plan holds promise for replication." "We are treating teachers as professionals." "Now we have time to take care of deep-seated problems."

Problems and Resolution (Implementation) - Problems arose with the implementation of the new plan. Recalled a central office administrator:

> When the project was first initiated, the teachers on the development team asked me to come over to the school. These teachers were distressed. Some teachers in the school were against the new teacher evaluation program. I told them to relax. With something new, some will jump on the bandwagon and others won't. Some don't want to change. I reassured them.

As it turned out, every teacher in the school but one participated in the plan for the 1992-93 school year.

Teachers on the development team reported that some teachers procrastinated in completing their plan requirements and finished everything at the last minute. They noted that initially there were not enough video cameras for all the teachers. The development team purchased more cameras.

Five teachers stated that they wanted more formative teacher evaluation options. The development team said that more methods will be added for the 1993-94 school year.

The development team conducted one formal evaluation of the plan in January 1992. The results showed that every participant (n=42) had started the evaluation process. Teachers listed some examples of new teaching techniques they had used as a result of the new formative evaluation process — higher level thinking skills, cooperative learning, use of manipulatives, positive reinforcement and feedback, and literature-based instruction. Thirty teachers thought formative evaluation was superior to summative evaluation. Three teachers stated they didn't have enough time to do the plan and two teachers said more formative options were needed. (See the evaluation results in Ap-

pendix D.)

Special Features and Effects of the Plan (Implementation) - The most significant feature of the new plan for teachers was the peer component. Individual teachers commented. "Teachers don't have to be afraid to seek help." "Teachers are working together to make this project a success." "This plan enables you to work with others for self-improvement." One teacher mentioned the videotaping component of the plan. "We are able to look back on the videos and look for different things at different times. It gives us a chance to look at ourselves and not what someone else wants to see." Individual teachers voiced their support for the plan. "We are a more unified faculty." "We feel more professional." "We feel we work on our problems without feeling so much pressure." We are committed to this program." "There is a lower stress level in the classroom." "Teachers are trying new and creative teaching techniques." "There is teacher bonding and greater morale among staff members."

With the new plan in place, building administrators (n=2) said that teachers felt freer to ask their advice about classroom problems. They also felt that they took care of school problems sooner. "We give suggestions now and don't wait for a summative review. If a teacher is having problems, we have time to make changes now." Administrators enjoyed having the time to visit with children and to drop into classrooms on an informal basis. They felt that the new plan allowed teachers the freedom to try new things and take risks.

Program Coordination (Implementation) - Another implementation issue was the perception of teachers and administrators alike that teachers developed and managed the new teacher evaluation plan. "A core group of teachers run it. This is their program. They do the school board presentations." An administrator strengthened this perception. "I supported the teacher team and took care of the brush fires." Teachers attended the initial training on formative teacher evaluation, designed a teacher evaluation plan, trained teachers, managed the plan, made outside presentations, and evaluated the plan.

Changes of Additions to Original Plan (Incorporation) - The plan was incorporated

by the school system with changes to the original plan. For the 1993-94 school year, teachers will have more formative teacher evaluation methods to choose from; a teacher journal and a teacher portfolio will be added.

Future (Incorporation) - The development team presented a review of Yadkin River Elementary School's formative evaluation plan to the school board in June 1993. The school board approved a continuation of the plan at Yadkin River Elementary School for 1993-94 and an expansion of the plan at an elementary school and a middle school in the school system.

Dan River Intermediate School

Introduction (Initiation) - This intermediate school is located in a small city school system within a rural county. It is found in the central part of a southeastern state.

According to the school's Southern Association of Colleges and Schools (SACS) Self-Study for Continuing Accreditation report (1993, April), the present intermediate school building was built in 1950 and was originally used as a high school. Then it became a junior high school and eventually a middle school (grades 6 and 7). In 1990, system officials decided to change the grade configurations in the high school (to 9-12) and the middle school (to 6-8). They also closed an elementary school. There wasn't room in the remaining elementary schools for the upper grades. The fourth and fifth grades in the town's four elementary schools came together to form Dan River Intermediate School.

There are 540 students at Dan River Intermediate School. Forty-five percent of the students are African-American; the rest are white. Eleven percent of the students come from a rural farming community where there is a high percentage of migrant families. One third of the students are on free or reduced lunch. Twenty percent of the students come from homes where the parents are professionals or highly skilled workers.

The staff includes two administrators, a guidance counselor, a media specialist, and 33 teachers. There was a change of principals at Dan River Intermediate School during the 1992-93 school year. Ms. A retired in December of 1992 and Mr. B replaced her in January of 1993.

According to Ms. A, Dan River Intermediate School is an innovative school. Their inclusion program, where children with special needs are mainstreamed into regular classrooms, is one of the better ones in the region as reported by Mr. B. Many visitors come to the school to see the program in action. Another innovation started during the 1992-93 school year; 56 of the school's 5th graders were grouped in one large classroom with a teacher and two assistants. There was a language experience base in the classroom and the students worked at interest centers. Currently, the faculty is studying alternative assessment of students and student learning styles.

Site-based decision making (having a School Improvement Team) was encouraged, but not mandated, in all the schools in the system starting the spring of 1991. At Dan River Intermediate, the SIT is made up of a teacher chairperson, two fourth grade teachers, two fifth grade teachers, an exploration teacher, the principal, and a parent representative. Mr. B says that it has been a highly effective group and there is a high level of trust among the members. "They discuss everything." The group decides how to spend the Parent Teacher School Organization (PTSO) financial contribution and staff development money. Such ideas as inclusion and a large fifth grade originated with several teachers and then went through the SIT. However, the alternative teacher evaluation plan originated with Ms. A. It never reached the point where it was discussed in the SIT.

Perception of a Problem (Initiation) - The teachers did not believe the traditional teacher evaluation system (TPAS) was a big problem. On an initial survey (December 1992), teachers (n=10) responded favorably toward the TPAS; they felt it positively affected their professional development. Teachers presented several TPAS negatives. One teacher said that the TPAS did not take into consideration exceptional and unpredictable students. Another teacher said that it was difficult to follow TPAS's six-step lesson plan with today's curriculum. Two teachers commented on the observation component of the TPAS. "In some areas I don't feel an announced observation gives an accurate picture of me." "An observation doesn't address the whole teaching perfor-

mance."

Building administrators (n=2), in separate interviews, expressed displeasure with the TPAS. Ms. A (1992 fall semester principal) and Mr. B (1993 spring semester principal) mentioned that for experienced teachers, the TPAS observation process was not helpful because these teachers had proven themselves competent and needed something beyond the TPAS. Said administrator B in May of 1993, "I have just finished a whole round of evaluations on the TPAS and I can't go beyond a superior score. It is a waste of time for me and it is not helpful for them (the teachers)."

Initiator (Initiation) - To initiate the process, Ms. A asked SERVE to do a mandatory workshop for her staff on formative teacher evaluation in the fall of 1992. Some of the teachers had received the state's mentor training and knew peer review techniques. Ms. A believed that the current teacher evaluation plan did not do enough for tenured teachers; she felt that the teachers needed something that was more growth-oriented and promoted peer involvement.

Planning (Initiation) - Continuing the initiation process, Ms. A wanted to substitute one of her observations on the TPAS for a peer observation and have one of the trained teacher mentors sign the evaluation form. This was her intent when the teachers attended the required formative evaluation workshop in September 1992. When Ms. A found out that she couldn't make the mentor substitution on the TPAS, she changed the plan. Ms. A decided to have teachers do a peer review in addition to their TPAS evaluation. During this time, Ms. A announced her retirement plans and left the school in December 1992.

When the researcher met with a core of 15 teachers who were interested in formative evaluation in March 1993, a development team to plan the alternative evaluation plan had not been formed. The teachers observed each other on an informal basis and gave each other feedback, but there was no plan, no peer partners or formative methods, and no deadlines set to complete requirements. Mr. B, the new principal, did not attend the March 1993 meeting because of a previous commitment. He commented that the teach-

ers ran the project. At this time, (March 1993) he was unclear about his stand on alternative forms of teacher evaluation.

Description of Plan (Initiation) - As mentioned, there was not a formal alternative teacher evaluation plan at Dan River Intermediate School during the 1992-93 school year. As one teacher said, "There was no structure, no deadlines." For Ms. A, the idea of peer review grew out of the mentor training several teachers had participated in with the State Department of Instruction. A group of core teachers (n=10) reported that they had participated in peer review on an informal basis during the 1992-93 school year and eight of them described their involvement. (In addition, other teachers on staff informally observed each other.) Teacher 1 reported that she participated in instructional planning with another teacher and they evaluated the success of the plans. They discussed alternative methods of instruction. Teacher 2 observed the two teachers with whom she team teaches. The two teachers used cooperative learning techniques and learning style strategies. After Teacher 2 observed her colleagues, they discussed the progress of their learning styles project. Teacher 3 observed a teacher and then that teacher observed her. They held a conference and discussed their observations. Teacher 4 observed several teachers during the year and she met with each one to discuss the lesson. Teacher 5 observed two other teachers and the focus was on student management styles. She talked with other teachers about learning styles; one teacher observed her instructional presentation. Teacher 6 worked closely with another teacher. They discussed new classroom ideas and planned together. Teacher 7 discussed strategies for the inclusion (mainstreaming children with special needs into the regular classroom) program, cooperative learning, and peer teaching with a colleague. Teacher 8 observed a teacher several times in different classroom situations (whole class instruction, classroom centers, tutoring). The two teachers discussed what teaching techniques worked best for certain children and how they felt the lessons went.

Program Acceptance (Implementation) - Based on administrator interviews, discussion with teachers, survey results, and researcher observation, the idea of a new teacher

evaluation plan at Dan River Intermediate School was not a priority for teachers. A new formal evaluation plan was never implemented. At a school where many new things are tried, this plan never got off the ground. Teachers (n=10) and building administrators (n=2) were unclear about the legal ramifications of a new evaluation plan, the effect on hiring/firing, and whether the school board would buy in. Principal B put it well when he said,

> For a staff such as this one, it (formative teacher evaluation) could be extremely beneficial. This is a very supportive staff when it comes to dealing with one another. They share ideas and collaborate as much as any staff around. So, there is quite a bit of informal peer evaluation taking place. The formal aspect just didn't catch on (or hasn't).

A teacher at Dan River reinforced the sense of collegiality and willingness to take risks found at the school. "Teachers always work together here. Some have developed or improved on others' ideas. This is a very open school."

Problems and Resolution (Implementation) - Based on the comments made on the teacher and administrator end-of-the-year surveys, there were several perceived problems associated with implementing a new teacher evaluation plan. There was the perception that there was no need to develop a new teacher evaluation plan. Other problems centered around a lack of adequate training, no time to do the program, no program structure, and a lack of planning time to formulate a teacher evaluation plan. Individual teachers were forthright in their feelings. "The plan must be more concrete." "We realize it would be a good opportunity, yet the time factor was a definite barrier, especially time for conferencing." "We became too comfortable without any real time limits and time ran out before we actually had a chance to become very involved." "I would like to have deadlines for observing and conferencing along with time set aside during the day to take care of things that needed to be discussed." Based on researcher observation, there was never anyone in charge of this project and no one appeared to have a license to steer. There was not the push to plan and implement an alternative teacher evaluation plan. Other innovations at Dan River were priorities (inclusion, 5th

grade center-based program, learning styles project) that took time and effort on the part of many teachers, leaving them little time to spend on another new program.

Special Features and Effects of Plan (Implementation) - An unique feature of this "nonplan" was that at least half the staff at Dan River Intermediate School engaged in peer review activities (choosing a focus area and peer reviewer, observing, conferencing) without being told to do so or without a plan to guide them. What was equally significant was that teachers thought that peer review was a natural process of being an educator and valuable, but did not want to formalize a new evaluation plan for themselves or get "credit" for it.

Several teachers mentioned the value of the peer review process. "I feel peers are more aware of classroom situations. You can share strategies with peers." "Teachers can risk being honest about their growth needs without feeling it will affect their evaluations."

Program Coordinator (Implementation) - Ms. A, the previous principal at Dan River Intermediate School, started out as the program coordinator. She initiated the training on formative evaluation for all teachers in her school, believing they needed something more in the way of teacher evaluation that promoted professional growth. She developed a plan which included a peer review component. After Ms. A retired in December 1992, there was no program coordinator — no one assumed a leadership role in implementing a formative plan.

Changes or Additions to Original Plan (Incorporation) - The original plan included a peer review in place of an observation on the TPAS. When Ms. A discovered this was a legal impossibility, a peer review was added to the TPAS evaluation process.

Future (Incorporation) - There was no incorporation of a teacher evaluation plan at Dan River Intermediate School. The teachers (N=10) polled in May 1993 supported the idea of an alternative plan, but gave reasons why they were unable to do the plan for the 1992-93 school year — no real plan, no time, no deadlines, not enough training, no leadership. The "push" for an alternative teacher evaluation plan at Dan River will need to come from another source.

Deep River Middle School

Introduction (Initiation) - Deep River Middle School is located in a small town (population 17,500) found in the central part of a southeastern state. As reported by the assistant principal of Deep River Middle School, the community is conservative — a Republican stronghold (more than two-thirds of the registered voters). It strives toward upward mobility with 80 percent of its high school graduates pursuing post-secondary education; residents are pro-education. The town's inhabitants are 85 percent white and 15 percent minority; the minority is mostly black, but with a growing Hispanic presence. There is social stratification within the community; poor whites constitute a significant proportion of the lowest social class in town.

Deep River Middle School opened as the town's first junior high (grades 7-9) in 1963. Eventually another junior high across town was built. In 1985, a new superintendent with innovative ideas was hired by the local school board. The superintendent felt that the two junior high schools should be converted into middle schools. A professor with a middle school background from a nearby university was hired to lead the conversion process and in 1986 Deep River became a middle school (grades 6-8). The transition for 6th graders from an elementary school to a middle school was a smooth one, but many teachers at Deep River continued to believe in the junior high concept and their teaching still reflects this belief.

The racial composition of the community mirrors the racial mix of the school, 15 percent minority and 85 percent white. There are 28 percent of Deep River students on free or reduced lunch. The student population is 475.

There are 33 full-time certified staff members, a principal, and an assistant principal. It is a veteran staff and the turnover rate is low. Of the 33 full-time staff members, 29 of them were eligible, because of tenure, to participate in the alternative teacher evaluation plan and 28 elected to participate. As reported by the assistant principal at Deep River Middle School, the teachers can be characterized as "demanding and extremely professional." They are dedicated to children and learning, but they can be intolerant and

impatient. These "weaknesses" can be carried over into their relationships with administrators. Since 1986, Deep River has had four principals.

Having teacher input in school decisions occurred at Deep River throughout the 1980s. It became a formalized process initiated by the central office in the late '80s when a management team was formed at Deep River consisting of representative teachers and administrators. As reported by a building administrator, the process of site-based decision making came easily to this staff.

Perception of a Problem (Initiation) - Mr. D, a central office administrator and former principal, was frustrated with the TPAS teacher evaluation system. He believed that the six-point lesson plan included in the TPAS was artificial and limiting, and it did not encourage teachers to be risk takers. He wanted an evaluation instrument that challenged veteran teachers and freed up principals to work with new or weak teachers. The school system needed an evaluation plan with some substance. Mr. D said, "We wanted to get away from a dog and pony show."

Planning began in 1989 when Mr. D and a former associate superintendent asked the State Education Agency (SEA) about alternative teacher evaluation plans. They looked at school systems that had implemented new evaluation plans emphasizing formative evaluation. In 1990, the central office administrator and a Deep River Middle School teacher discovered an alternative teacher evaluation plan in a neighboring school system that they believed would work in their own system. The emphasis of the selected plan was on formative teacher evaluation and collaboration between teachers and administrators. It consisted of career status teachers with "above standard" scores on the TPAS being able to develop a professional development project (i.e., student portfolios, integration of computer technology) for the year with assistance from a building administrator. Teachers who chose this option were on a three-year cycle — two years on the alternative plan and in the third year a TPAS evaluation. Mr. D and some school representatives proceeded to modify the plan to meet the needs of educators in their system. They kept the collaborative aspects of the plan and in place of a project inserted three

goals areas for teachers. A teacher portfolio was added to reflect the goals the teachers had selected; teachers who chose the alternative plan did not have to return to the TPAS.

In discussion groups, 24 out of the 25 teachers participating in the new plan at Deep River Middle School voiced concerns with the TPAS. "It was meaningless, only a show. Anyone can act three times a year." "I stagnated on the TPAS." Individual teachers talked about the weaknesses of the TPAS. "It was limited and narrow." "The TPAS evaluation process was not related to what I was doing in the classroom." "The TPAS system did not focus on teaching ability; one's rating was dependent on the principal's style." "The old evaluation system overworked administrators — it required too much time, too much paperwork, and too many observations."

One teacher said she accepted the TPAS evaluation plan because she didn't think there were any other options. A building administrator at Deep River supported that statement. "Teachers didn't know there were provisions in the state legislation for alternative forms of teacher evaluation for tenured teachers."

Initiator (Initiation) - Mr. D, a central office administrator, coordinated the planning and implementation efforts of this plan. Because of his frustration with the TPAS, he spent time searching for alternative models. When Mr. D and a colleague found a plan he believed would work in his system, he shared his findings with the superintendent and the school board. He started the formal alternative teacher evaluation planning process with a seven person team of system administrators and teachers. He then presented the new plan to the system's superintendent, school board, and principals.

Mr. D thought it was best to pilot the plan in one school. Deep River Middle School was eventually selected. A number of veteran teachers taught at Deep River Middle School and there was a new principal who supported an evaluation plan that emphasized professional growth for teachers. Mr. D presented the new plan to the Deep River staff and they agreed to participate in the pilot. He facilitated a two-day workshop with Deep River's management team in the summer of 1992, explained the plan in detail to them and received their support. In the fall of 1992, Mr. D explained the new teacher

evaluation plan to the Deep River staff. During the 1992-93 school year, Mr. D kept the superintendent and school board informed of Deep River Middle School's progress on a monthly basis and presented the system's alternative teacher evaluation plan at state and regional conferences.

Planning (Initiation) - School system officials saw a need for a new evaluation system in 1989 and searched for a new instrument. When they found one, the formal planning process began in January 1992. A planning team consisting of seven teachers and administrators modified the plan they borrowed from another system. After getting school board approval to pilot the new plan for a year, it was presented to the system's principals in the spring of 1992. Deep River Middle School's newly named principal wanted to pilot the plan at the school. Deep River's staff voted 22 to 8 (in the spring of 1992) to accept the new plan. The school's management team participated in a two-day workshop to learn more about it during the summer of 1992. The plan was again presented to the staff in the fall of 1992. Tenured teachers at the school had the option of remaining on the TPAS or trying out the new plan.

Description of Plan (Initiation) - The new evaluation plan became an evaluation option for tenured teachers at Deep River Middle School during the 1992-93 school year. It was a collaborative evaluation plan with an emphasis on professional growth for teachers. Twenty-eight out of 29 eligible teachers chose to participate in the plan. Teachers individually met with a school administrator and selected at least three measurable goals to work on for the year. They included a school goal (such as fostering home-school relations or improving eighth grade writing), an administrative goal (e.g., achieving certain computer competencies or making more effective use of computer technology), an instructional/student goal (such as initiating seminar teaching or cooperative learning in the classroom), and an (optional) personal goal (e.g., Academically Gifted certification or becoming a member of the school's management team). Together the administrator and teacher determined a plan of action and the resources necessary to achieve the goals. The teachers developed portfolios that reflected their goals for the

year. The teacher met with an administrator midyear and at the close of the school year to discuss progress. Goals could be changed during the year and/or continued into the next year. The administrators made informal visits into teachers' classrooms and made comments on note cards for teachers. The note cards were placed in the teachers' portfolios. (See Appendix E for a description of the complete plan.)

Program Acceptance (Implementation) - Based on the results of a midyear (1992-93) survey and responses in discussion groups, participating teachers liked the newly implemented teacher evaluation plan. The initial teacher reaction to the new plan was 90% positive on the first survey. Twenty-four out of 25 teachers in discussion groups praised the plan. "It is a real motivator for teachers." "The new plan generates excitement." "It was well-received by the staff." "It is a self-directed plan." "I would never go back on the TPAS." "The new plan personalizes the evaluation process. It allows me to work on the things I want to work on. It recognizes each of us is unique." "With this plan I am able to be experimental, take risks, be creative."

Administrators (n=4) interviewed were equally complimentary about the plan. "I am excited about the plan." "With the curriculum changing, we are on the cutting edge." "The new evaluation plan is more in line with what we are about as a school system." "It is a welcome change."

Problems and Resolution (Implementation) - Mr. D said that he made some assumptions about the introduction and implementation of the teacher portfolio. Because the new plan shifted the responsibility from the administrator to the teacher, Mr. D thought that teachers would take the initiative with the portfolios. From Mr. D's viewpoint, this was not the case. Introduction of the teacher portfolios occurred a month (October 1992) after the original introduction of the new teacher evaluation plan. Based on teacher and administrator responses, teachers initially did not know what to do with the portfolios. Did a portfolio reflect the goals the teacher was working on for the year or was it a collection of things a teacher had done during the course of a school year? What about assessment of the portfolio?

After the introduction of the portfolio component of the plan, the Deep River faculty felt uncomfortable. Unsure of the portfolio content and assessment, they were also upset because the portfolio tasks were so time-consuming. In December 1992, a teacher said,

> A clearer explanation about what goes into the portfolios (is necessary) so that this information can be collected all along, rather than doing it in a panic — before you go in to see the principal!

After some verbal explanation on the part of administrators about the portfolio, additional written information about portfolios, and the passage of time, teachers (n=25) stated in discussion groups in March 1993 that they felt better about the portfolio component of the plan. A teacher portfolio workshop will be conducted for teachers in the fall of 1993.

Another problem Mr. D perceived was that the two Deep River building administrators did not visit the teachers' classrooms enough. Because the two building administrators were not required to observe teachers under the new plan, they might have been reluctant to visit teachers' classrooms, afraid of putting people off. Two teachers noted in discussion groups that the building administrators did not visit their classrooms more than once during the school year. Noted one teacher, "I see less of an administrator. Is the number of visits dependent on my goals?"

A building administrator felt that the observation procedure needed to be refined for the next year, perhaps designing a visitation form for the administrator visit, rather that depending on a note card. He found that when he made comments on the note card he relied too heavily on the TPAS observation format.

This same administrator saw a need to streamline the documentation forms and portfolio documentation for the 1993-94 school year. The forms presently being used were too complicated and lengthy.

The new plan was evaluated by an outside evaluator in the spring of 1993. The evaluator met with four small groups of teachers throughout a school day. Teachers

responded to questions about the plan and the evaluator took notes. The results shared by the evaluator showed that most teachers believed the TPAS provided structure and guidance for new teachers, but was not an appropriate instrument for tenured teachers. Teachers were overwhelmingly positive about the new plan and wanted to see it continued. The primary area of concern for teachers was the portfolio component of the plan. The teachers felt that they were not initially given enough information and guidance to develop satisfactory portfolios for the year. (See Appendix F for the evaluation of the new plan.)

Special Features and Effects of the Plan (Implementation) - Individual teachers described unique features of the plan. "It personalizes the evaluation process." "It allows me to work on the things I want to work on." "The plan recognizes that each of us is unique." Two teachers talked about the professionalism of the plan and how it shifted responsibility from the administrator to the teacher. "Teachers feel like they are treated more professionally." "They think they feel more a part of the evaluation process." "They have enjoyed choosing their goals and their focus for the year." Portfolios were eventually seen as a plus by some teachers. Two teachers commented on portfolios. "Teachers had to learn how to keep or document evidence of completion of a plan." "The portfolio is a wonderful way to keep track of, collectively look at, reflect on what individual teachers are doing." "It is a more positive way to see, evaluate, and alter professional growth." Teachers liked the informal visits by administrators and were actually disappointed when administrators did not show up in the classrooms. Administrators were pleased that they had been relieved of unnecessary paperwork and had more time to concentrate on probationary teachers.

Program Coordination (Implementation) - Based on individual interviews with administrators and discussions with teachers, program implementation ultimately rested with Mr. D and the two building administrators.

Mr. D spearheaded the entire project and was crucial to its success. He coordinated meetings associated with the plan and kept the superintendent and school board ap-

praised of its progress. Mr. D reviewed teacher portfolios. This central office administrator kept in contact with Deep River's two building administrators about the status of the plan. Based on the researcher's observations, teacher reaction to Mr. D was guarded because he was a central office administrator and influential.

The two Deep River building administrators scheduled and conducted individual meetings with teachers to discuss goals (three a year for each teacher). They made informal classroom visits and wrote comments on note cards for teachers' portfolios.

Changes or Additions to the Plan (Incorporation) - The plan was incorporated with changes and additions. For the 1993-94 school year, there are plans to streamline the forms associated with the plan. Involved teachers will participate in a teacher portfolio workshop; portfolio documentation will be improved. Administrators will be looking for a more effective way of "writing up" informal classroom observations.

Future (Incorporation) - Mr. D and Deep River's two building administrators presented a review and evaluation of the plan at a school board meeting in April 1993. The school board approved the plan as a permanent evaluation alternative (incorporation) for tenured teachers in the system at that meeting. For the 1993-94 school year, the plan will continue at Deep River Middle School and be an option for teachers in three elementary schools and another middle school in the system.

Broad River High School

Introduction (Initiation) - Information for this section was found in the 1992-93 Secondary School Recognition Program (SSRP) application, US Department of Education. Broad River High School (grades 9-12) is located in a suburban area south of a large southeastern city. It is near a large military facility. Broad River High School is found "inside the beltway" and there has been a struggle for the school not to fall into urban blight. The community is comprised of individuals from various backgrounds and ages — military personnel, retirees, new immigrants, African-Americans, whites.

As reported in the SSRP, Broad River High School opened in 1978 with excitement and high expectations from the community. There was an existing high school in the

community; Broad River High School was built to relieve overcrowding. It was felt that the first principal of Broad River High School took a core of the best teachers from the existing high school. A rivalry developed between the two schools which was healthy from a curricular and instructional standpoint, but damaging to the community.

Broad River's present principal has been on board since 1986. He staged an aggressive public relations campaign in the community to publicize the strengths of Broad River High School. He emphasized that Broad River High School maintained a safe and orderly environment; educators cared for students in a small-school manner; and that teachers demonstrated innovative instructional techniques (collaborative teaching, cooperative learning) in their classrooms.

An assistant principal said that site-based decision making has never been mandated by the state or the school district. Staff at Broad River High School have informally been participating in site-based decision making for years through department meetings. Site-based decision making formally came to Broad River High School in 1991. A teacher representative from each school in the district was invited to attend a site-based decision making workshop conducted by a professor from a nearby university. The representatives then went back to their respective schools and trained their colleagues. At Broad River, site-based decision making occurs at the department level. Each department is responsible for deciding how their allocated funds will be spent and what new programs will be initiated.

The student population at Broad River High School is 1,631. Three percent of students are Asian or Pacific Islander, five percent are Hispanic, 45 percent are African-American, and 47 percent are white. Eleven percent of the school population qualifies for free or reduced lunch. (This figure may be low because high school students are embarrassed about applying for free lunch and there is an abundance of jobs for teenagers in service occupations in the surrounding community.)

The Broad River High School's staff is comprised of 103 classroom teachers, two media specialists, and ten administrators. The administrative team is made up of a

principal, three assistant principals, and six administrative assistants.

Perception of a Problem (Initiation) - As part of the initiation process, an assistant principal of Broad River High School spoke for the entire administrative staff (n=10) when he said that the paperwork and time needed to do evaluations on the existing evaluation system overwhelmed them. There was no payback for teachers or evaluators. The principal of Broad River High School said that teachers were unhappy with the summative evaluation process. A central office administrator stated that summative (the district's existing evaluation system) and formative teacher evaluation could not coexist within the same program. Because state legislation allowed for school districts to come up with their own alternative evaluation plans for experienced teachers, an administrator in the central office wanted a formative teacher evaluation instrument for tenured teachers.

In discussion groups, teachers (n=20) talked about their dissatisfaction with the summative evaluation system. Individual teachers commented. "The evaluator had no expertise in my subject area." "I was not going to tell an administrator my weaknesses." "I don't think you can fully judge teaching abilities by putting teachers in uncomfortable situations on two different days."

"The old evaluation plan did nothing to improve my work in my subject area." The teachers noted that the focus of the old teacher evaluation instrument was not on professional growth.

Initiator (Initiation) - Continuing the initiation process, a central office administrator, Ms. C, knew that teachers and administrators disliked the existing state evaluation plan. She talked with personnel in the SEA in 1991 about the resources available for developing an alternative teacher evaluation plan. The SEA personnel told her to call SouthEastern Regional Vision for Education (SERVE), the federally funded educational lab serving the region. SERVE personnel were conducting formative teacher evaluation workshops and were looking for interested educators. Ms. C called SERVE and arranged for a team of teachers and administrators from her district to attend the SERVE

formative teacher evaluation training in the fall of 1991. Teachers from Broad River High volunteered to attend the workshop.

Planning (Initiation) - After the 1991 training session, a team of two administrators and seven high school teachers from the school district met on a monthly basis to design a formative teacher evaluation plan. Although this idea didn't originate within a department, it was a site-based plan. Team members were given "carte blanc" by the district administration and as one administrator put it, "We didn't push." The development team wanted a separate formative evaluation plan for experienced teachers that emphasized professional growth and was coordinated by teachers. They believed that the peer review format with a videotape option should be the mainstay of the plan. A team participant reported that there was high level of trust among members and that they worked together well.

Team members thought that it was best to try the idea out with a volunteer group of teachers during the spring of 1992. They designed a training session for interested teachers that included the rationale of formative teacher evaluation, videotaped demonstrations of lessons in the classroom, and procedures associated with the plan. In lieu of a second evaluation on the traditional evaluation instrument, they could participate in one peer review which included a pre-conference, observation of a videotaped classroom lesson by a peer, and post-conference during the spring of 1992. Twenty teachers from the high school agreed to participate. Ms. C, the central office administrator, designed a formative teacher evaluation survey for teachers to complete after they participated in the pilot. Teachers reported that they were pleased with the new formative teacher evaluation process; it emphasized professional growth and collegiality among teachers. The development team then met to design the formal formative evaluation plan for the 1992-93 school year.

Description of Plan (Initiation) - The formative teacher evaluation plan the team implemented was voluntary for tenured teachers. To participate, teachers attended a training session conducted by the development team that included information about

summative and formative evaluation systems, peer conferencing techniques, and practice videotaping instruction. Teachers selected an area of professional growth that was observable in the classroom and taught a lesson while being videotaped or observed by a peer. Prior to the observation, the two teachers conferred about the lesson's focus; after the observation they met again to discuss what took place and how the teacher could improve. The peer observer held the information "exchanged" in the conference in confidence. That is, no report of the feedback was given to the principal. At all times, the teacher being reviewed was "in charge" of the process. At the end of the school year, teachers signed a form stating that they completed the evaluation process.

Experienced teachers who chose this option are on a three-year evaluation cycle. Every third year they take part in the formative plan. For the other two years of the cycle they are not evaluated. When experienced teachers were on the old teacher evaluation plan they were evaluated every third year. A description of the plan is found in Appendix E.

Program Acceptance (Implementation) - Based on a midyear survey (1992-93), 95 percent of the teachers (n=20) liked the newly implemented plan. It improved teacher morale and was less stressful than the previous evaluation process. Other positives were that the plan was teacher-driven, provided authentic feedback to teachers, and alleviated some the of the administrators' duties.

Administrators (n=3) reported that they received overwhelmingly positive comments from teachers about the new plan. Administrators liked the plan as well. "It is a better use of time." "It has been a boon to administrators." The Broad River High School principal reported, "Teachers are very excited about the new plan. They could have been critical. I was impressed with this."

Problems and Resolution (Implementation) - Those directly involved with the implemented plan said problems associated with it were minor. During the 1992 spring pilot, teachers did not turn in their paperwork on time. An administrator said, "Administrators will not carry the sticks for this project. It is not my role to remind teachers to get

their paperwork in." Teacher leaders of the project strongly encouraged participating teachers to complete activities associated with the project and complete the paperwork. As a result, the peer reviews took place at the same time and everything was done at once.

Central office personnel initially failed to recognize the new teacher evaluation paperwork and the completed forms were misplaced by several office workers. Once alerted about the new forms, the problem was solved. At first, video cameras were in short supply. The central office administrator, Ms. C, found funding to purchase the needed video cameras.

In discussion groups (n=20), a teacher said that it was difficult to decide on an area of focus for the peer review. She wanted a list of suggestions. Another teacher said that she had difficulty finding the time to do the project. Three teachers mentioned that the evaluation plan did not have the formal approval of the school board and that concerned them.

Ms. C coordinated an evaluation of the plan in the spring of 1992. The evaluation form was comprised of Likert Scale statements and open-ended questions. Teachers strongly agreed that self-evaluation and peer review helped them improve their teaching and that it was a better system of teacher evaluation than the existing summative system. Overall, observing themselves on videotape received slightly higher ratings than did feedback from peers. Teacher comments focused on the quality of the feedback they received form their peers. The most frequently cited disadvantages of the new plan were finding a common time to conference with a fellow teacher and procrastination. (See Appendix D for evaluation results.)

Special Features and Effects of Plan (Implementation) - Unique features of this newly implemented plan included teachers being able to choose their own area of focus and peer review. Teachers talked about the positive effects of the new evaluation plan. "We (teachers) are less intimidated, thus more natural. We can improve from input and view the instrument as constructive criticism." "There seems to be less stress and a greater

degree of cooperation among colleagues." "The teachers I have talked with are more interested in improving than when the evaluation was an done by an administrator." "We (teachers) are in control and like it that way. Teachers are better able to evaluate themselves." "I feel more professional and in-charge of my own evaluation — less like I was "performing" to please someone else. I can focus critically on my own teaching and choose what I want to work on. Very empowering!" "It has given me a visual picture of my performance in the classroom and an opportunity to view a fellow teacher and get some ideas that can be applied to my methods." Teachers talked about the reflective aspects of the plan. "The teacher is no longer trying to perform this ideal lesson to please another observer. The individual becomes more reflective of his or her own methodology and thus more interested in the evaluation process."

Remarked Ms. C, "The teachers have an increased sense of professionalism, new relationships with colleagues, a more reflective view of teaching, new roles as leaders, and improved classroom instruction."

Program Coordination (Implementation) - This was a teacher-run project. Seven out of the nine development team members were teachers. Teachers on the development team attended the initial training, developed a new teacher evaluation plan and training, conducted the training for other teachers, and managed the evaluation plan in the schools. Said Ms. B, the central office administrator on the development team, "I have been hands off. The teachers have done it."

Changes or Additions to Original Plan (Incorporation) - There were changes and additions to this semi-incorporated plan. For the 1993-94 school year, the evaluation plan will have more structure. Evaluation materials and a handbook will provided to teachers during a training session. There will be deadlines for getting forms in. A teacher portfolio option will be added as an additional formative evaluation method.

Future (Incorporation) - All 13 schools in the school district will have some tenured teachers on the alternative evaluation plan for the 1993-94 school year. The plan will continue to be a pilot until it is presented to the school board during the 1993-94 school

year. Said the principal of Broad River High School, "This plan will wither unless it replaces the summative (evaluation for tenured teachers). It will be a fad unless it is institutionalized."

On the following pages are the questions and results of Teacher Survey I administered at the four schools during the winter of 1992-93 (Table 4). Questions on the survey focused on teachers' reactions to old and new evaluation plans. Note that teachers at Yadkin River Elementary, Deep River Middle, Broad River High School were very supportive of their new evaluation plans; Dan River Intermediate teachers were not. A summary of the four narrative examples (Table 5) follows the Teacher Survey I results. The summary shows how the four school sites compared among the eleven clusters. Dan River Intermediate's outcomes are different from the other three school sites. Table 6 is the CAG results; the CAG is comprised of twenty-nine statements drawn from the change literature that support the incorporation of an innovation. Note that Yadkin River Elementary, Deep River High School, and Broad River High School shared the assessment GREAT EXTENT on 11 CAG statements.

Cross-Case Analysis

Introduction (Initiation) - Although they represented different grade configurations (elementary, intermediate, middle, high school) and varied in size, there were many commonalities among the four school sites studied. At all four sites, there was a majority of veteran teachers who had been at their schools for a period of time; they were the ones who had proven themselves competent on previous teacher evaluation instruments and were ready for something more. None of these schools was located in affluent neighborhoods or served wealthy students. In fact, at three sites at least a third of the students were on free or reduced lunch.

Perception of a Problem (Initiation) - At all four sites, it was an administrator who perceived that there was a problem with the teacher evaluation instrument in place. The "problem" centered on two areas. With the original teacher evaluation instrument,

Table 4

Teacher Survey I Results from Four Sites – Dec. '92

Survey Questions	Teacher Responses at Each Site			
	Yadkin River Elementary School n=26	Dan River Intermediate School n=10	Deep River Middle School n=11	Broad River High School n=20
1. What was the purpose of the previous teacher evaluation instrument?	Assess teacher's performance – 53% Teacher improvement program – 34% Help children – 4 % Put round pegs in square holes – 4% Accountability – 4%	Evaluate and improve teacher performance – 82% Make teachers aware of knowledge – 9% Look at certain ways to teach – 9%	Tied to student achievement – 33% Help teachers do a better job – 22% Evaluate teacher performance – 11% Assess strengths and weaknesses – 11%	Accountability – 35% Plan and conduct a model lesson – 22% Determine teacher strengths and weaknesses –17% Assist weak teachers – 11% Ensure job retention – 9% Give administrators something to do – 4% Meet state requirements – 4%
2. How did the previous evaluation instrument affect your development as a teacher?	Little effect on development – 45% Not helpful – 10% Pointed out strengths and weaknesses – 5% Crushed creativity – 5% Judgmental – 5% Made me nervous – 5% Administrator wanted certain things – 5% Pressured me to stage a performance – 5% Made me aware of teaching techniques – 5% Taught me 6-step lesson plan – 5%	Pointed out weaknesses – 40% Made me aware of strengths – 33% Caused me to look critically at my teaching techniques – 13% Gave me confidence – 7% Made me aware of closure – 7%	Made me aware of what areas need to be stengthened – 47% Positive effect – 13% Lesson plans – 13% No effect – 13% Helped me understand state's expectations – 7% Not helpful – 7%	Little effect on development – 41% Increased stress level – 22% Put me on guard – 7% Helped me work on weaknesses – 7% Kept me on task – 4% Emphasized aspects of teaching I neglected in the past – 4% PET class was good – 4% Stressed mastery – 4% Intensified paperwork – 4%
3. Was the previous evaluation instrument an accurate appraisal of your teaching abilities?	Accuracy varied – 21% Yes – 29% No – 50%	Yes – 60% No – 40%	Accuracy varied – 25% Yes – 50% No – 25%	Yes – 45% No – 55%

Note: Percentages are rounded off. Respondents may have given more than one response to a question.

Table 4

(cont'd)

Survey Questions	Teacher Responses at Each Site			
	Yadkin River Elementary School n=26	Dan River Intermediate School n=10	Deep River Middle School n=11	Broad River High School n=20
4. Why did you decide to participate in the new teacher evaluation plan?	To grow & learn – 15% Professional plan – 11% Schoolwide project – 11% Peer component – 7% Helpful – 7% Dislike TPAS – 7% Better way to look at teaching – 7% Improve teaching – 7% Recommendation of principal – 4% New – 4% No pressure – 4% Successful – 4% Positive method – 4% Like it – 4% In-depth evaluation – 4%	Peer component – 29% Less stressful – 17% Growth - 12% Wanted change – 12% Able to focus on a specific area – 12% Immediate results – 6%	New and different – 15% Time for a change – 15% Less stress – 15% TPAS meaning-less – 15% A challenge – 8% More beneficial – 8% Save time for administrators – 8% Assess continual growth – 8% Monitoring what goes on in classroom – 8%	Peer component – 19% To improve – 15% Not stressful –8% Professionalism – 8% I'm in control –8% Openess –4% Compare methods – 4% Interesting – 4% Videotaping – 4% Avoid old system – 4% Self-evaluation – 4%
5. What is your initial reaction to the new plan?	Great idea – 88% Not enough experience to say – 12%	Good, positive – 42% Its strength is the peer component – 17% Want to give it a try – 17% Not intimidating – 8% Curious –8% Stresses professional growth – 8%	Positive, excited – 60% Less formal approach – 10% Been a motivator – 10% Well received – 10% Unclear expectations – 10%	Pleased, impressed – 72% Professional plan – 18% Willing to give it a try – 5% Can't respond at this time – 5%

Note: Percentages are rounded off. Respondents may have given more than one response to a question.

Table 4

(cont'd)

Survey Questions	Teacher Responses at Each Site			
	Yadkin River Elementary School n=26	Dan River Intermediate School n=10	Deep River Middle School n=11	Broad River High School n=20
6. What are the strengths of the new plan?	Less stress – 26% Working with a peer – 22% Teacher in control – 22% Self-evaluation component – 7% Stresses improvement – 7% Authentic – 4% Detailed plan – 4% Teachers don't have to be afraid to seek help – 4% No formal observation by principal – 4%	Peer component – 37% More awareness – 9% I'm able to decide on a focus – 9% Positive –9% Workshop training – 9% Specific feedback – 9% Flexible – 9% Teachers can be honest about our growth needs – 9%	Stresses individual teacher needs – 25% Learn new methods of teaching – 12.5% Experimental – 12.5% Flexible – 12.5% Less stress – 12.5% Able to communicate with supervisor – 12.5% Improve instruction – 12.5%	Professional – 22% Focus on improvement – 22% Improve teacher morale – 14% Less stress – 14% Peer component – 9% Alleviates administrators' duties – 5% Authentic feedback – 5% Self-evaluation – 5% Videotaping – 5%
7. What are the weak-nesses of the plan?	More formative teacher evaluation choices needed – 27% Dislike being taped – 9% Difficult to find appropriate peer partner – 9% Uncertainty about future of plan – 9% Misuse by some teachers – 9% No legal guidelines – 9% Too new to tell – 9% Teachers felt railroaded to do this – 9% No time – 9%	No time – 43% Peer reviewer weak – 14% Teacher unable to find suitable peer reviewer – 14% Lack of detailed knowledge about plan – 14% Hard to adjust – 14%	No time – 20% Not sure how to document activities – 20% Unsure about portfolio expectations – 20% Administrator may select a goal of little interest to teacher – 20% Teacher procrastination – 20%	Possible abuse of system – 82% Teachers may not take it seriously – 18%

Table 4
(cont'd)

Survey Questions	Teacher Responses at Each Site			
	Yadkin River Elementary School n=26	Dan River Intermediate School n=10	Deep River Middle School n=11	Broad River High School n=20
8. Do you have the training, information and resources to successfully participate in the project?	Yes – 95% No – 5%	Yes – 56% No – 22% Unsure – 22%	Yes – 63% No – 25% Unsure – 12%	Yes – 100%
9. How have the teachers been involved in the planning and implementation of the plan?	Teachers involved at all levels – 25% Teacher discussed plan with other teachers – 20% Unsure – 15% Meetings conducted by teachers – 15% Teachers conducted brainstorming sessions – 5% Teachers presented materials to us – 5% Teachers created materials – 5%	Teachers held meetings to discuss plan – 20% Teachers volunteered to take part – 20% Teachers given flexibility in program planning – 20% Peer component – 20% Planning lessons together – 7% Did training – 7% Decided on an evaluation form – 7% Unsure – 7%	Teachers helped present plan – 30% Teacher representatives involved in initial planning – 20% Teachers explained plans in workshop – 20% Teachers talked about plan in staff meetings – 20% Individual conferences with administrators to set goals – 10%	Teachers attended initial project training – 38% Teachers developed pilot – 38% Teachers explained project to faculty – 19% Teachers trained other teachers – 5%

Table 5

Summary of Narrative Examples

Clusters	School Examples			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
1. Introduction	Large K-6 school, located in a rural area	Medium-sized 4-5 school, located in a small town	Medium-sized middle school, located in a small town	Large high school, grades 9-12, located in a suburb
2. Perception of problem	Mr. Y, principal, needed a teacher evaluation instrument that fit with new curriculum	Ms. A, principal, needed a teacher evaluation instrument that was relevant for tenured teachers	Mr. D, central office administrator, needed a teacher evaluation instrument that promoted profes-sional growth	Ms. C, central office administrator, needed a teacher evaluation instrument that involved less paperwork and time, promoted professional growth
3. Initiator	Principal	Principal	Central office administrator	Central office administrator
4. Planning	Development team, 3 teachers 1 administrator	Principal	2 administrators, 5 teachers	Development team, 7 teachers 2 administrators
5. Description of plan	a. Teacher self-evaluation b. Peer review	a. Informal Peer review	a. Goal setting between an administrator and a teacher (maximum of 4 goals/year) b. Teacher portfolio	a. Peer review
6. Program acceptance	High	Mixed	High	High
7. Problems and resolution	a. Few video cameras; purchased more b. Teachers initially reluctant to try plan; encour-aged by others	a. No formal plan – not resolved	a. Confusing teacher portfolio component, provided training b. Lengthy forms; streamlined forms c. Administrator classroom visits; visit more often	a. Few video cameras; purchased more b.Teacher procrastination; encouraged to finish

Table 5

(cont'd.)

Clusters	School Examples			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
8. Special features and effects	a. Peer review and video-taping – less stress, profes-sional growth, quicker resolution of problems, improved instruction	a. Peer review – increased collegiality and support among staff members	a. Teacher portfolio, goal-setting between administrator and teacher – professional growth, improved instruction	a. Peer review – less stress, professional growth, increased collegiality among staff, increased teacher leadership, improved instruction
9. Program coordination	a. Development team (3 teachers and 1 administrator)	None (Spring '93)	a. Administrative team (3)	a. Development team (7 teachers and 2 administrators)
10. Changes or additions	Additions for 93-94 a. Teacher portfolio b. journal	Initial changes for 92-93 a. Add peer review to TPAS	Changes for 93-94 a. Teacher portfolio training b. streamlined format c. new administrator observations	Changes for 93-94 a. More structure to program manual Additions for 93-94 a. Teacher portfolio
11. Future	Extended to an elementary school and a middle school Plan approved by school board ('93-'94)	Uncertain	Extended to 3 elementary schools, 1 middle school Permanent approval by school board	Extended to all 13 schools in district Remains a pilot, will seek permanent school board approval during '93-'94

Table 6

Change Assessment Guide Results from the Four Sites – May 1993

Item	School Results			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
1. The scope of the innovation is ambitious in regards to complexity and amount.	Great Extent	Never	Great Extent	Somewhat
2. The scope of the innovation is ambitious in regards to effort.	Great Extent	Never	Great Extent	Somewhat
3. The directors facilitate learning necessary to implement the innovation.	Great Extent	Somewhat	Somewhat	Somewhat
4. The emphasis is on training rather than technology.	Great Extent	Somewhat	Somewhat	Somewhat
5. Training focuses on practical classroom issues rather than theory.	Somewhat	Somewhat	Somewhat	Great Extent
6. There is local development of materials rather than relying on an outside consultant.	Great Extent	Never	Great Extent	Great Extent
7. The innovation is seen as a solution to the problem.	Somewhat	Somewhat	Somewhat	Great Extent
8. The innovation is served by a sound plan based on theory and research.	Great Extent	Never	Somewhat	Somewhat
9. There are efforts to seek external resources and reallocate internal resources.	Great Extent	Somewhat	Great Extent	Great Extent

Table 6

(cont'd)

Item	School Results			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
10. The participants at all levels realize change takes time and plan efforts accordingly.	Somewhat	Somewhat	Somewhat	Somewhat
11. The participants have a shared understanding of the purpose, rationale and process of the innovation.	Somewhat	Somewhat	Somewhat	Somewhat
12. The teachers share in decision making.	Great Extent	Great Extent	Somewhat	Great Extent
13. The building administrators lend moral and organizational support to the project.	Great Extent	Somewhat	Somewhat	Great Extent
14. The innovation is initiated with strong district suport.	Somewhat	Somewhat	Great Extent	Great Extent
15. The necessary resources (time, money, material, equipment) are available.	Great Extent	Somewhat	Great Extent	Great Extent
16. The central office places few bureaucratic restrictions on involved schools.	Great Extent	Somewhat	Somewhat	Great Extent
17. The innovation is implemented locally.	Great Extent	Somewhat	Great Extent	Great Extent
18. There is collaboration and support between central office and the school.	Great Extent	Somewhat	Great Extent	Great Extent

Table 6
(cont'd)

Item	School Results			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
19. The innovation focuses on the structure, policy, regulation and tone of the system	Great Extent	Somewhat	Great Extent	Great Extent
20. Management of the innovation is carried out by administrators and teachers.	Great Extent	Somewhat	Somewhat	Great Extent
21. The management team has a license to steer.	Great Extent	Somewhat	Great Extent	Great Extent
22. Things go wrong with an innovation before they go right.	Somewhat	Somewhat	Great Extent	Somewhat
23. Strategy for the innovation is a flexible tool, not a blueprint. Do, then plan.	Somewhat	Somewhat	Somewhat	Great Extent
24. Problems associated with the innovation are seen as a natural phenomena.	Somewhat	Somewhat	Somewhat	Great Extent
25. Implementation efforts are initially limited to a few schools.	Great Extent	Great Extent	Great Extent	Great Extent
26. Implementation efforts are monitored, documented, and evaluated.	Great Extent	Never	Great Extent	Great Extent
27. The innovation design and instructional setting are changed as a result of the project.	Great Extent	Never	Great Extent	Great Extent
28. The innovation supplants rather than supplements.	Great Extent	Never	Great Extent	Great Extent
29. Local resources are allocated to incorporate the project.	Somewhat	Never	Great Extent	Great Extent

principals were consumed by paperwork and the evaluation process was time-consuming. Second, the evaluation process was not helpful for experienced teachers or the administrators who were evaluating them. In fact, the existing teacher evaluation process was perceived by all four administrations as being a complete waste of time for the evaluation of competent, experienced teachers.

Initiator (Initiation) - At four sites, it was an administrator (two principals, two central office administrators) who searched for a new teacher evaluation plan for teachers. They made inquiries among their peers, contacted their SEAs, attended conferences, and read professional journals. Teachers did not initially seek an alternative to their original teacher evaluation instrument. As one Deep River Middle School teacher noted, "We never knew we had an option." (Any empowerment of teachers concerning teacher evaluation options occurred after the implementation of the alternative teacher evaluation plan rather than before.)

Planning (Initiation) - At three out of the four sites, excluding Dan River Intermediate School, the planning team was comprised of a majority of teachers and one or two administrators. These teams designed the plans, decided who was eligible to participate in the plan, and made decisions about implementation strategies. At all three sites, the teams decided to conduct pilots to test out their designs and gauge teacher support.

Description of Plan (Initiation) - At Yadkin River, Deep River, and Broad River, the plans shifted much of the responsibility of teacher evaluation from the administrator to the teacher; there was an emphasis on the professional growth of teachers. At these same three schools, teachers had the resources to strengthen their professional skills. At one site (Deep River Middle School), the emphasis on professional growth of teachers took the form of goal-setting sessions between a school administrator and a teacher; an administrator assisted the teacher in deciding what three goals teachers worked on for the year. At the other two sites, the emphasis was on peer review, on teachers reviewing other teachers. At two out of these three sites (Yadkin River and Broad River), the videotaping of a teacher conducting a lesson (along with a pre-conference and post-

conference) was a major component of the peer review process.

Program Acceptance (Implementation) - With three out of the four plans — excluding Dan River — teachers liked the new teacher evaluation plan. "I am in control." "This plan is comprehensive, emphasizes teacher growth, and is individualized to meet the needs of each teacher." This acceptance by teachers at the three sites is reflected in the Teacher Survey I results. Teachers at Dan River Intermediate School never bought into the idea of a formal formative teacher evaluation plan on the Teacher Survey I. Eighty-two percent of Dan River teachers survey believed the TPAS evaluation instrument was used to evaluate and improve teacher performance. Forty-two percent of these same teachers described the peer review plan as "good, positive". Interestingly enough, the formative teacher evaluation plan will be continued at the three schools where teachers were enthusiastic and supportive.

Problems and Resolution (Implementation) - Educators at all four sites had a difficult time realizing that problems associated with implementing an innovation were a natural part of the change process and, in fact, should be welcomed. Said one school administrator, "I want things to run smoothly." In fact, development teams at three out of the four sites built used pilot projects to test out their designs. Problems that arose were resolved — lack of video cameras, misunderstandings about teacher portfolios or procrastination on the part of teachers to complete the plan. Some problems were insurmountable, like not having a person or a group responsible for coordinating the plan at Dan River.

Special Features and Effects of Plan (Implementation) - At the three sites where a formal plan was implemented, the roles of the administrator and the teacher changed. Teachers assumed a more active role in the evaluation process. At these sites teachers reported that they were "more relaxed and less stressed" with the new evaluation process. They liked the emphasis on professional growth and the creative and flexible aspects of the plans. The new plans enabled teachers to make some real changes in their teaching practices.

Program Coordination (Implementation) - Program coordination among the four sites varied. At Dan River Intermediate, there was no program coordination; no individual or group was in charge. At Deep River Middle School, a central office administrator and two building administrators directed the plan. At the other two sites, teacher-directed teams coordinated efforts.

Changes or Additions to Original Plan (Incorporation) - Change or additions to the plans at three sites strengthened the plans. They included conducting additional training of teachers, creating a manual, adding more formative evaluation options, changing observation formats, and streamlining forms associated with a plan.

Future (Incorporation) - At this point, Dan River Intermediate School educators have no plans to pursue a formal formative evaluation option. At the other three sites, schools will be added to the plan. Yadkin River Elementary School gets permission from their school board on a yearly basis to operate their alternative teacher evaluation plan and Broad River's development team will present a review of their two-year pilot project to school board for approval of permanent status some time during the 1993-94 school year. Only Deep River Middle School's plan is a now a permanent part the system's teacher evaluation process.

On the next page is Table 7. It is an abbreviated version of the cross-case analysis of the four sites among the eleven clusters. Notice the similarity of findings at Yadkin River Elementary, Deep River Middle School, and Broad River High School.

The last portion of Chapter IV contains responses to research questions #3 and #4.

3. How helpful is Berman and McLaughlin's model in tracking the change process in the four schools?

The Berman and McLaughlin model was extremely helpful. Their three stages of change (initiation, implementation, incorporation) provided direction and the overall

Table 7

Cross-Case Analysis of Narrative Examples

Clusters	School Responses			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
1. Introduction	a. Majority of staff veteran teachers b. Strong leadership administratively c. School population from less affluent areas d. Innovative e. Strong academically	a. Majority of staff veteran teachers b. Strong leadership administratively c. School population from less affluent areas d. Innovative e. Strong academically	a. Majority of staff veteran teachers b. Strong leadership administratively c. School population from less affluent areas d. Innovative e. Strong academically	a. Majority of staff veteran teachers b. Strong leadership administratively c. School population from less affluent areas d. Innovative e. Strong academically
2. Perception of problem	a. Administrator b. Old teacher evaluation did not meet needs of teachers	a. Administrator b. Old teacher evaluation did not meet needs of teachers	a. Administrator b. Old teacher evaluation did not meet needs of teachers	a. Administrator b. Old teacher evaluation did not meet needs of teachers
3. Initiator	Administrator	Administrator	Administrator	Administrator
4. Planning	Mixed Development team, 3 teachers 1 administrator	Principal	Mixed Development team, 5 teachers 2 administrators	Mixed Development team, 7 teachers 2 administrators
5. Description of plan	a. Teacher self-evaluation b. Peer review Responsibility for evaluation changes from the administrator to the teacher	a. Informal peer review	a. Teacher portfolio b. Goal-setting between an administrator and a teacher Responsibility for evaluation changes from the adminis-trator to the teacher	a. Peer review Responsibility for evaluation changes from the adminis-trator to the teacher

Table 7

(cont'd.)

Clusters	School Responses			
	Yadkin River Elementary School	Dan River Intermediate School	Deep River Middle School	Broad River High School
6. Program acceptance	High	Mixed	High	High
7. Problems and resolution	Minor problems (few video cameras, teacher reluctance to try program) resolved	No formal plan – not resolved	Serious problems (misinformation about portfolio component) resolved	Minor problems (teacher procrastination, few video cameras) resolved
8. Special features and effects	a. Peer review b. Less stress on teachers c. Increased collegiality	a. Peer review b. Increased collegiality	a. Less stress on teachers b. Increased collegiality	a. Peer review b. Less stress on teachers c. Increased collegiality
9. Program coordination	a. Development team (teachers and administrators)	None (Spring '93)	a. Administrative team (3)	a. Development team (teachers and administrators)
10. Changes or additions	Additions Teacher portfolio, journal	Initial changes (fall '92) Add peer review to TPAS	Changes Teacher portfolios, training, streamlined format	Changes – more structure to program, teacher manual for '93-'94. Addition – teacher portfolio

framework for the study. (Note the 11 clusters for each narrative example.) The questions on teacher surveys and in discussion groups were based on the three stages of change, as were the interview questions for the administrators. The 29 CAG statements were divided into three sections — initiation, implementation, incorporation. For the narrative examples, the three stages of change were the basic framework for the eleven clusters (Initiation — Introduction, Perception of a Problem, Initiator, Planning, Description; Implementation — Program Acceptance, Problems and Resolution, Special Features and Effects of Plan, Program Coordination; Incorporation — Changes or Additions, Future).

4. What is the likelihood of incorporation of the innovation at each site based on the Change Assessment Guide, narrative examples, interviews, and survey results?

Introduction - Unique to this type of innovation — a new form of teacher evaluation — is that incorporation is dependent on school board approval. (In the states where the school sites studied were located, state legislation required that probationary teachers be evaluated on an state-mandated evaluation instrument. Tenured teachers could be evaluated on an alternative evaluation instrument chosen by local school system officials. Final approval of such alternative evaluation instruments rested with the school board.) Critical to obtaining approval was keeping school board members informed about the planning, piloting, and evaluating the alternative teacher evaluation plans. Educators at Yadkin River Elementary and Deep River Middle Schools did this and were able to obtain approval for their plans from conservative school boards. Educators at Dan River Intermediate never got to the point where they needed to inform the school board of their progress, since their peer review was informally based. Broad River educators will attempt to obtain school board approval for their plan during the 1993-94 school year.

Yadkin River Elementary - Yadkin River Elementary ranked consistently high on all

sections of the CAG (Table 6) and other indicators (responses to surveys and discussion group questions). The development team, comprised of three teachers and one administrator, did its homework and developed a comprehensive formative plan for the teachers at their school. The development team conducted thorough orientation and training for teachers. It had the support of central office administrators. Forty-two out of 43 teachers at Yadkin River Elementary participated in the formative teacher evaluation plan for 1992-93. The development team evaluated the plan by designing a survey that participating teachers completed. The principal of Yadkin River Elementary School became the number one advocate for the new evaluation plan and strongly encouraged teachers to participate in it. The formative plan was positively received by all those associated with it and had strong central office support. The development team kept the school board informed of the plan's progress by making formal presentations on a regular basis. The development team also presented the plan to other interested groups in the school system.

Areas of weakness in the planning and implementation of this plan were few and did not affect the innovation from being implemented. Although administrators perceived that there were problems with the TPAS (inappropriate for changing curriculum, did not promote professional growth in teachers, too time-consuming), teachers did not initially see it as a problem. When the plan was first initiated, the development team was frustrated because some of the teachers were reluctant to try the plan. A central office administrator supported the team members by saying that some individuals were slow to change. She advised them not to worry about it. Although the development team had a thorough understanding of the rationale of the plan based on survey results, many of the teachers did not. Given that the school community was conservative and individuals were not used to taking risks, the implementation strategy was not a flexible tool, but a detailed plan that was not open to change during the 1992-93 school year. Teachers also needed the security of knowing exactly what was expected of them.

The likelihood that this plan will be incorporated is high. Each year the develop-

ment team at Yadkin River Elementary asks permission from the school board to use the formative plan for the upcoming school year. This development team always does its homework, particularly when it presents to the school board. In the spring of 1993 it showed a videotape to the board which described the plan at Yadkin River and had clips of teachers demonstrating the formative methods (peer review, self-evaluation). It also had a strong advocate, an associate superintendent, in the central office. Denial of the plan in the future would be due to a change in school board members or administrators or teacher issues related to the formative evaluation plan.

Dan River Intermediate School - Dan River Intermediate had very few positives on the CAG — little leadership, no support, no direction. At this point, incorporation of an alternative teacher evaluation plan at Dan River Intermediate is an impossibility because there is not the push or the interest to do it from the educators at the school. The only strong advocate for a formative plan was Ms. A, the principal who retired from the school in December 1992. Teachers at Dan River Intermediate did not think the existing teacher evaluation instrument was a problem, although school administrators did. After Ms. A left, there was never an individual or a team in charge of designing and implementing a new evaluation plan, even though the entire staff had received training in formative teacher evaluation. Dan River Intermediate teachers had the opportunity to "run with" this innovation and provide leadership for it, but chose not to. There were several projects being implemented at this site simultaneously and that may partially explain why the new teacher evaluation plan was not successful; it is difficult for teachers to devote adequate time and effort to multiple projects at the same time (Havelock, 1969). Teachers at the school did informally observe each other and talk about what they had observed, but never saw a need for formalizing the process. Teachers saw the problems associated with a new formative evaluation plan as being insurmountable — legal complications, lack of time, and no structure.

Deep River Middle School - Deep River had many positives on the CAG. Mr. D, the central office administrator who orchestrated the planning and implementation of this

innovation, covered all the bases. He created a well-documented and thorough plan with the assistance of a team of educators from the system. This individual researched other formative teacher evaluation plans and had strong lines of communication with school board members, central office and building administrators. Teachers and administrators reacted favorably to the new evaluation plan. Some staff associated with the plan knew that the first year of implementation would be difficult and remained flexible. Others had a desire for things to run smoothly — all the time. At the three successful sites, the plan started at one or two schools, and resources were available for teachers to implement their goals.

Any weaknesses associated with the new formative plan did not stop it from being incorporated by the school system. Some administrators in the system saw the existing teacher evaluation instrument (TPAS) as a problem. Teachers interviewed did not see themselves as having any options when it came to evaluation, and welcomed the new evaluation plan when it was introduced to them. The biggest weaknesses of this plan was the lack of teacher involvement during the implementation stage and inconsistencies with the portfolio component of the plan. Interestingly enough, the Deep River Middle School faculty (with its strong leadership skills) did not perceive a lack of teacher representation during the implementation process as a big problem. This might have been due to the new evaluation plan emphasis on individual professional growth for teachers and collaboration between the principal and the teacher. The other major problem was the introduction of teacher portfolios several months into the school year. It was not clear to the teachers what they were supposed to do with the portfolios and how the portfolios would be assessed. These issues began to be resolved with more information provided to the teachers about the portfolios and additional portfolio training.

The likelihood of this plan being incorporated is high. The plan was well-researched, thorough, supported by the participants, communication among all the players and interested parties was strong, and program planners were flexible ("We

knew there would be changes."), and the plan was monitored and evaluated. This plan was incorporated by the school system in the spring of 1993 when the school board voted to accept it as a permanent evaluation option for tenured teachers. It will be expanded to four more schools for 1993-94.

Broad River High School - This site has many of the positives in place on the CAG for successful incorporation — the plan was designed and implemented by teachers, teachers and administrators saw the existing teacher evaluation instrument as problematic, initiators did not rush the implementation process, there was collaboration with central office, the plan was flexible, the necessary resources were available to teachers, the plan was evaluated by the participants, the plan started small and complimented the culture of the school community. There were minor problems associated with the plan — teacher procrastination in completing plan requirements, misplaced forms, initially not enough video cameras.

With so many positives in place, the formative teacher evaluation plan for Broad River High School is a prime candidate for incorporation. The plan is scheduled to be presented to the school board for approval during the 1993-94 school year.

Educators from Yadkin River Elementary, Deep River Middle, and Broad River High all made changes or additions to their original alternative evaluation plans, had the support of teachers, received central office and principal support, sought external resources and had necessary resources for participants. They also designed evaluation plans that met the needs of their teachers, had management teams that had a license to steer, started small, implementation efforts were monitored, and moved beyond the pilot stage with their plans.

CHAPTER V

SUMMARY, FINDINGS, DISCUSSION, AND RECOMMENDATIONS

Summary

The study examined the change process at four school sites where educators developed and implemented alternative teacher evaluation models. The voluntary alternative evaluation plans had different requirements, but all emphasized professional growth in teachers. The school size and grade configuration of the schools varied, but school staffs were known within their systems for being innovative and open to change. The majority of the teachers on each staff were veterans.

Yadkin River Elementary School, Deep River Middle School, and Broad River High School all have alternative teacher evaluation plans that will be continued and expanded to other schools for the 1993-94 school year and are designated as "successful sites". Dan River Intermediate School's plan remains an informal one.

The research questions for this study were:

1. In what ways do the innovations at the four schools reflect Berman and McLaughlin's (1975) standard stages of change — initiation, implementation, incorporation?

2. What are the similarities and differences of responses on the Change Assessment Guide (29 statements from the change process literature that support incorporation of an innovation) among the four alternative teacher evaluation models?

3. How helpful is Berman and McLaughlin's model is tracking the change process in the four schools?

4. What is the likelihood of incorporation of the innovation at each site based on the Change Assessment Guide results, narrative examples, interviews, and survey results?

Findings

1. The development of new teacher evaluation plans at four sites reflected Berman and

McLaughlin's standard stages of change (1975). The plans also followed a nonrational approach, one that was paradoxical, disorderly, and, at times, frustrating. This supports the research on nonrational change (Fullan, 1991; Louis & Miles, 1990; Lindblom, 1959).

2. At each site, the nonrational approach played itself out differently. The Yadkin River plan was successful, but inflexible and detailed. This contradicted the change literature on the necessity of innovation flexibility (Louis & Miles, 1990). Dan River teachers had a reputation for being progressive and open to innovation, but had no interest in implementing a new formative teacher evaluation plan that supported professional growth. Site-based decision making came easily for the Deep River staff and they were known for their leadership skills, but they did not share in the decision making at the implementation stage of this innovation. However, the plan was incorporated. This conflicted with the change literature which stated that teachers needed to participate in project decision making (Berman & McLaughlin, 1977). Also, the development team at Deep River Middle did not initially facilitate the learning necessary to the implement the innovation; this, too, went against the research (Berman and McLaughlin, 1977). The Broad River plan was simple, the requirements few, and the efforts hardly ambitious — yet the plan was still successful. This contradicted the change literature on successful innovations being complex, requiring effort, and having a number of requirements (Berman & McLaughlin, 1977).

3. Nonrational change on a cross-case basis was apparent in several ways. At all four sites there were some participants who didn't have an understanding innovation rationale, yet at three sites the plans were successful. This didn't support Fullan's assertion that participants had to have a shared understanding of the purpose, rationale, and process of an innovation (1982).

4. At the three successful sites, empowerment of teachers took place after the innovation was implemented rather than before. This might have been due to the nature of the innovation — teacher evaluation — and that at the sites studied, state legislation con-

trolled teacher evaluation guidelines. At the three successful sites, the roles of administrators and teachers changed because of the new evaluation process. Teachers had more control over the evaluation process and became empowered to make changes in their own teaching.

5. Unique to this type of innovation was the necessity of obtaining school board approval. At the successful sites, the development team kept interested parties (superintendent, school board, central office personnel) informed of the new plan's progress. This helped gain school board approval for the plan.

6. The process of carrying out the plan proved to be more significant than the actual plan itself at all four sites. This supported what Berman and McLaughlin discovered in 1977; a successful innovation had less to do with what it was than how it was carried out.

7. Although administrators saw the summative teacher evaluation plan as a problem at each site, some teachers did not. Berman and McLaughlin (1975) stated that the innovation should be seen as a solution to a problem.

8. Some participants at all four sites had a difficult time understanding that problems associated with the innovation were a natural part of the change process and should be seen as normal. Louis and Miles (1990) stated that participants had to see problems as a natural part of the innovation process.

9. Yadkin River, Deep River, and Broad River (the successful sites) supported the change literature with an assessment of GREAT EXTENT on the Change Assessment Guide on the following statements: material associated with the plan was developed locally (Berman & McLaughlin, 1975), the innovation was implemented locally (Louis & Miles, 1990), plan developers used external and internal sources (Achilles & Young, 1983), resources were available to implement the plan (Louis & Miles, 1990), there was collaboration and support between the central office and the school (Louis & Miles, 1990), the innovation reflected the structure of the system (Senge, 1990), the management team had a license to steer (Louis & Miles, 1990), the innovation started small and then expanded

to other sites (Achilles & Young, 1983), innovation efforts were monitored and evaluated (Achilles & Young, 1983), changes were made to the plan (Berman & McLaughlin, 1977), and the innovation supplanted rather than supplemented (Berman & McLaughlin, 1975).

10. At all four sites, some participants were frustrated with the slow rate of change associated with the innovation. Achilles and Young (1983) stated that participants at all levels needed to recognize that change took time.

11. Berman and McLaughlin's change model (1975) of initiation, implementation, and incorporation was helpful in tracking the change process in the four schools. It provided the framework for the study, the CAG statements, the narrative examples, and the formation of the clusters.

12. Yadkin River, Deep River, and Broad River all had a number of positives on the Change Assessment Guide and based on the narrative examples, interviews, and surveys the likelihood of incorporation was high.

13. At the three successful sites, an initiator to lead the innovation emerged. The idea and creation of the innovation came from a single person at these sites. This finding supported Sarason's research (1972) on the creation of new settings and the emergence of leaders.

14. Teachers strongly supported the new evaluation plan at the three successful sites; this support did not occur at Dan River.

Discussion

Some of the findings of this study were surprising and added to the paradoxical nature of the nonrational change process. Although Deep River's development team managed the new teacher evaluation plan in a top-down fashion, they did not include teachers in the management of the plan during the implementation process, and did not initially facilitate learning to implement the innovation, the plan was the first one of the four plans presented in this study to be incorporated by its school system. Deep River's biggest strength and one that influenced incorporation was its communication about the

plan to all interested parties.

The second surprise was the emergence of initiators at the four sites who were administrators. This was due to the nature of the innovation, teacher evaluation; it has traditionally been controlled by administrators and affects both administrators and teachers. Administrators were displeased with the ineffectiveness of the traditional evaluation plan and the unnecessary paperwork and time associated with it.

The results of this study showed that although all the research findings listed on the Change Assessment Guide supported the incorporation of an innovation, some factors were more significant than others. They included: material being developed locally, the innovation being implemented locally, developers using external and internal resources, having available resources, having collaboration and support between central office and the school, having the innovation reflect the structure of system, having a license to steer, having the innovation start small, having innovation efforts monitored and evaluated, having changes made to the plan, and the innovation supplanting rather than supplementing.

Other pluses for incorporation not originally on the Change Assessment Guide, but apparent in this study, were having strong participant support of the plan, an initiator or visionary creating and directing the plan, and plan developers communicating with interested parties about the progress of the initiative.

Embedded in this study was the issue of teacher empowerment. This study documented that administrators knew there were problems with the traditional teacher evaluation instruments. They attempted to resolve the problem by searching for alternatives that would benefit teachers, administrators, and students. Several teacher participants stated that they thought they had no teacher evaluation options before the new plan was initiated. After participating in the plans, some teachers noted that they had more control over their professional lives and saw instructional improvement in themselves.

Berman and McLaughlin's change stages (1975) of initiation, implementation, and

incorporation provided the theoretical and organizational framework for this study. It is a framework that is applicable to a variety of research designs.

The Change Assessment Guide helps indicate the likelihood of incorporation of an innovation. It can be a useful tool for those attempting change in schools or conducting research on the aspects of change.

Recommendations For Further Studies

1. Test the notion with other schools implementing initiatives that the eleven statements on the Change Assessment Guide that rated GREAT EXTENT for the three successful schools are necessary for the incorporation of an innovation.
2. Use Berman and McLaughlin's model of change with various type of innovations to determine its helpfulness in tracking the change process.
3. Investigate the idea of the empowerment of teachers taking place after the implementation of an innovation rather than before.
4. Use the Change Assessment Guide with other innovations that are being implemented in schools to help determine its usefulness.
5. Do a longitudinal study using a case study approach with the three successful schools in this study. The focus could be on incorporation issues or the implementation of other innovations at these sites.
6. Study the implementation of other innovations at school sites using the Change Assessment Guide to re-affirm that the 29 statements are not of equal significance.
7. Investigate innovations that have been inspired by one individual. Do such innovations have a higher rate of incorporation than those that have been initiated by a group?
8. Apply the new change factors (communication with interested parties, importance of an initiator, having strong participant support of the innovation) to other change studies to determine their significance.
9. Study innovations that are nonrational in their approach, and those that are rational. Which type has the greater rate of incorporation?
10. Examine whether this type of innovation — formative teacher evaluation — improves teacher effectiveness.

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APPENDIX A

CHANGE ASSESSMENT GUIDE SCHOOL_____

Initiation

1. The scope of the innovation is ambitious in regards to complexity and amount. (Berman and McLaughlin, 1977) documentation, interview team

Great Extent_____Somewhat_____Never_____

2. The scope of the innovation is ambitious in regards to effort. (Berman and McLaughlin, 1977) documentation, observation

Great Extent_____Somewhat_____Never_____

3. The directors facilitate learning necessary to implement the innovation. (Berman and McLaughlin, 1977) documentation, observation of training

Great Extent_____Somewhat_____Never_____

4. The emphasis is on training rather than technology. (Berman and McLaughlin, 1975) documentation, observation of training

Great Extent_____Somewhat_____Never_____

5. Training focuses on practical classroom issues rather than theory. (Berman and McLaughlin, 1975) documentation, observation of training

Great Extent_____Somewhat_____Never_____

6. There is local development of materials rather than a reliance on outside consultants. (Berman and McLaughlin, 1975) documentation and observation

Great Extent_____Somewhat_____Never_____

7. The innovation is seen as a solution to a problem. (Berman and McLaughlin, 1975) documentation, observation of project meetings

Great Extent_____Somewhat_____Never_____

8.The innovation is served by a sound plan based on theory and research. (Achilles, 1983) documentation

Great Extent_____Somewhat_____Never_____

9. There are efforts to seek external resources and reallocate internal resources. (Achilles, 1983) interview team, observation

Great Extent_____Somewhat_____Never_____

10. The participants at all levels recognize change takes time and plan efforts accordingly. (Achilles, 1983) interview team, teachers and central office officials

Great Extent_____Somewhat_____Never_____

11. The participants have a shared understanding of the purpose, rationale and process of the innovation. (Fullan, 1982) interview or survey participants

Great Extent_____Somewhat_____Never_____

Implementation

12. The teachers share in decision-making. (Berman and McLaughlin, 1977) observation of team meetings, interview team

Great Extent_____Somewhat_____Never_____

13. The building administrators lend moral and organizational support to project. (Berman and McLaughlin, 1977) interview principals and teachers

Great Extent_____Somewhat_____Never_____

14. The innovation is initiated with strong district support. (Berman and McLaughlin, 1975) interview teachers, principals, central office officials

Great Extent_____Somewhat_____Never_____

15. The necessary resources (time, money, materials and equipment) are available. (Louis and Miles, 1990) interview teachers and principals, budget review

Great Extent_____Somewhat_____Never_____

16. The central office places few bureaucratic restrictions on involved schools.
(Louis and Miles, 1990) interview central office officials, principals, teachers

Great Extent_____Somewhat_____Never_____

17. The innovation is implemented locally. (Louis and Miles, 1990) observation, interview team

Great Extent_____Somewhat_____Never_____

18. There is collaboration and support between central office and the school. (Louis and Miles, 1990) interview teachers, principals, central office officials

Great Extent_____Somewhat_____Never_____

19. The innovation focuses on the structure, policy, regulation, and tone of the system.
(Senge, 1990) interview teachers, principals, central office officials
Great Extent____Somewhat_____Never_____

20. Management of the innovation is carried out by administrators and teachers. (Louis and Miles, 1990) observation of project meetings
Great Extent_____Somewhat_____Never_____

21. The management has a license to steer.
(Louis and Miles, 1990) interview
Great Extent_____Somewhat_____Never_____

22. Things go wrong with the innovation before they go right. There's an implementation dip. (Fullan, 1991) observation of meetings, interview teachers and principals
Great Extent_____Somewhat_____Never_____

23. Strategy for the innovation is a flexible tool, not a blueprint. Do, then plan. (Louis and Miles, 1990) observation of meetings, interview team

Great Extent_____Somewhat_____Never_____

24. Problems associated with the innovation are seen as a natural phenomena. (Louis and Miles, 1990) observation of meetings, interview team

Great Extent_____Somewhat_____Never_____

25. Implementation efforts are initially limited to a few schools and extended to others. (Achilles, 1983)

Great Extent_____Somewhat_____Never_____

26. Implementation efforts are monitored, documented, and evaluated both formatively and summatively. (Achilles, 1983)

Great Extent_____Somewhat_____Never_____

Incorporation

27. The innovation design and institutional setting are changed as a result of the project. (Berman and McLaughlin, 1977) documentation, interview teachers, principals and central office officials

Great Extent____Somewhat_____Never_____

28. The innovation supplants rather than supplements. (Berman and McLaughlin, 1975) documentation, interview teachers, principals and central office officials

Great Extent_____Somewhat_____Never_____

29. Local resources are allocated to incorporate the project. (Miles, Ekholm, & Vandenberghe, 1987) interview teachers and administrators

Great Extent_____Somewhat_____Never_____

APPENDIX B - TEACHER SURVEY II QUESTIONS

The teacher evaluation plan...

	Real		Ideal	
1. is complex and involves a time commitment.	Y	N	Y	N
2. involves effort on the part of its participants.	Y	N	Y	N
3. includes participant training.	Y	N	Y	N
4. training is practical rather than theory based.	Y	N	Y	N
5. materials are developed locally.	Y	N	Y	N
6. is seen as a solution to a problem.	Y	N	Y	N
7. is based on theory and research.	Y	N	Y	N
8. involves external and internal resources.	Y	N	Y	N
9. is supported by building administrators who lend moral and organizational support.	Y	N	Y	N
10. is initiated with strong district support.	Y	N	Y	N
11. includes the necessary resources (time, money, materials).	Y	N	Y	N
12. is served by a central office that places few bureaucratic restrictions.	Y	N	Y	N
13. is implemented locally.	Y	N	Y	N
14. involves collaboration and support between central office and the school.	Y	N	Y	N
15. focuses on the structure, policy, regulation, and tone of the system.	Y	N	Y	N
16. management is carried out by administrators and teachers.	Y	N	Y	N
17. management team has a license to steer.	Y	N	Y	N
18. has its ups and downs during implementation. Things go wrong before they go right.	Y	N	Y	N
19. strategy is seen as a flexible tool.	Y	N	Y	N
20. problems are seen as a natural part of the implementation process.	Y	N	Y	N
21. is implemented initially at one school and then extended to others.	Y	N	Y	N

The teacher evaluation plan...

	real		ideal	
22. is monitored, documented, and evaluated.	Y	N	Y	N
23. participants realize that change takes time and plan efforts accordingly.	Y	N	Y	N
24. participants understand the purpose, rationale, and process of the plan.	Y	N	Y	N
25. participants share in decision making.	Y	N	Y	N

26. How have teachers changed as a result of your school's new evaluation plan?

27. How has the initial teacher evaluation plan changed?

28. What would you like to see happen with this plan for next year?

APPENDIX C

School Administrator Interview Questions

1. How did your project come into being?
2. What is its purpose?
3. Describe your role in the planning and implementation of this project.
4. What are you feelings about the project?
5. What is the time line for this project?
6. What is the future of this program?
7. How have problems associated with the project been handled?
8. What changes have been made to the original plan?
9. Describe how teachers have been involved with the planning and implementation of this project.
10. Are the training, resources, information sufficient to enable participants to successfully participate in the project?
11. Reaction to the program

a. teachers
b. community
c. central office
d. principals
e. parents

APPENDIX D

Teacher Discussion Group Questions

1. Explain your school's alternative teacher evaluation plan.

2. Tell me about your individual plans for professional growth.

3. What are the most rewarding aspects of the plan?

4. What are some of the negative aspects of the plan?

5. Describe some of the lasting benefits of the plan.

6. Additional comments.

APPENDIX E - YADKIN RIVER PLAN

To: Members of the [redacted]
Board of Education

From: [redacted]

Date: May 4, 1992

Re: Formative Evaluation

Twenty-four teachers are presently involved in the Formative Evaluation Pilot Program at [redacted] Eighteen additional faculty members are scheduled for training on May 18. We believe that formative evaluations can make positive changes in their classrooms.

Formative evaluation is effective because it helps teachers improve the art of teaching. Each teacher can strive for excellence and improve his/her performance with a feeling of being helped instead of judged. Under formative evaluation, the process of instruction is evaluated but not the person. Therefore, because of our strong belief in the benefits of the formative process, we are requesting that [redacted] be allowed to use formative evaluation in lieu of summative evaluation for the 1992-1993 school year.

Guidelines for this Formative Evaluation Program will be as follows:

1. Only tenured teachers who have completed formative evaluation training will be allowed to participate in this program.

2. All ICP's will have to have the summative evaluation. However, if an ICP chooses, he/she may use formative measures to improve his/her teaching skills and may choose with the principal's discretion to substitute formative evaluation for the PDP.

3. Only volunteers will participate.

4. Teachers will participate in 3 formative evaluations during their on year. These evaluations will include a video taping observation, a classroom observation, and a self and teaching unit evaluation.

5. Teachers will participate in I video taping observation during their off year.

Information to further explain the Formative Evaluation Process is enclosed. We will be willing to answer any questions or concerns you may have.

Thank you for studying this program.

APPENDIX E - DEEP RIVER PLAN

[redacted]

PROFESSIONAL GROWTH PLAN
AN ALTERNATIVE STAFF EVALUATION SYSTEM

ELIGIBILITY CRITERIA

To be eligible to participate in the Professional Growth Plan, a staff member must be certified in the area assigned and have attained career status in the [redacted]. Employees may select the Professional Growth Plan or the existing NCTPAS. However, one's selection does commit them to a full year of participation.

PROCEDURES

At the start of the academic year, an orientation will be held for all members of a faculty eligible to participate in the Professional Growth Plan. At that time, employees will select the evaluation system they wish to participate in for the year. Once a decision is made, proper notification will be made to the building level administrator. Faculty members and administrators will collaboratively discuss goals for the Professional Growth Plan and initiate the process for the year.

COMPONENTS

Each participant in the Professional Growth Plan will develop three (3) goals for the year. An Instructional/Student Goal, School Goal, and Administrative Goal will be developed for each staff member. A fourth goal, the Personal Goal may be developed by a staff member if he/she wishes to do so.

Each Professional Growth Plan will include a formative and summative review. These reviews are to be placed on a Professional Growth Plan Narrative Report. One formative review is to be completed at mid-cycle and prior to the summary conference. A dichotomous scale (completed/not completed) is used in lieu of the six point scale of the TPAS.

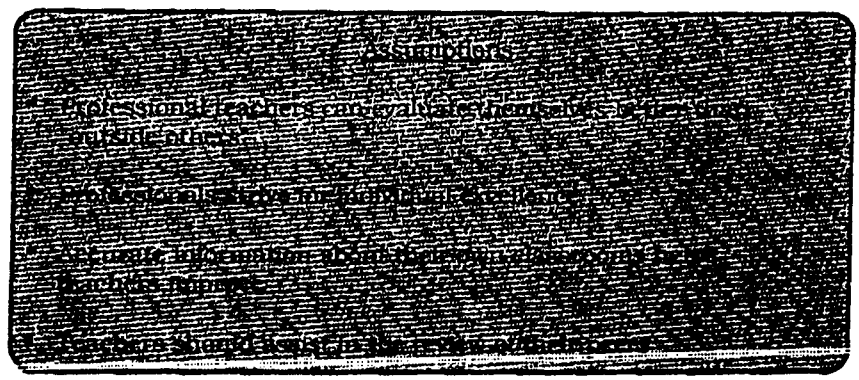
Participants in the PGP are encouraged to maintain adequate progress toward his/her goals. It is the staff member's responsibility to maintain documentation, verify completion of tasks, and keep adequate records. A portfolio system of documentation will be employed to assist the staff member in these endeavors.

APPENDIX E - BROAD RIVER PLAN

SELF-EVALUATION AND PEER REVIEW PROCESS

1. Establish goals
2. Select a peer
3. Ask peer to serve
4. Conduct pre-observation conference
5. Conduct and videotape lesson
6. Review the videotape & prepare for conference
7. Conduct a post-observation conference
8. Complete paperwork

APPENDIX E - BROAD RIVER PLAN



Information

- This is a *formative* evaluation process to provide teachers with information which will improve classroom teaching.
- Teachers in the project will evaluate aspects of their own teaching by *videotaping* a lesson and analyzing it with the help of a peer. Each teacher must agree to complete the process *one* time.
- This is a *confidential* process in which two colleagues work together to improve teaching.
- The *teacher is in charge* of his or her self evaluation and peer review.
- This is a project which focuses on *selected* aspects of self evaluation and peer review.
- This is a program being developed *by teachers for teachers.*
- To participate, teachers *MUST* participate in a school inservice

APPENDIX F - YADKIN RIVER EVALUATION

School Wide
SERVE QUESTIONNAIRE
Total Data Results
as of January 7, 1993

1. Please check what you have completed at this point.
   # of videos 34
   # of classroom observations 24
   # of self assessments 34
   # of teaching unit assessments 22

2. What behavior or content area did you concentrate on?

Feedback 5	Total student involvement 10
Learning styles 1	Effective questioning techniques 3
Math skills 3	Higher level & critical thinking skills 6
Science skills 3	Wait time 3
Language Arts 1	Following directions 5
	Organization & presentation 2
	Motivation high time on tasks 3
	Problem solving 1
	Parent involvement 2
	Random selection of students 4
	Discipline 2
	Co-operative learning 1

3. How did the self assessment aid you in improvement?
   Focus on specific area to improve 16
   Self-confidence 6
   Realized weaknesses 11
   Realized strengths 6
   New ideas developed 2

4. Did the Teaching Unit Assessment help you in choosing an area in which to work on improving?

   Yes 17 Somewhat 2 No 2 Haven't done yet 3

   If so, how? Focus on area needing improvement 14
   Used feedback from this assessment in planning future units 9
   Realized weaknesses 10

5. How did the Teaching Unit Assessment help you in other ways?
   - To focus on organization and presentation of unit materials_1_
   - Peer relationships_2_
   - Team teaching in planning units_2_
   - To build upon students' interests_1_
   - Making sure SCS is covered with theme_2_

6. What new teaching techniques are you now using as a result of the formative evaluation process?
   - Higher level thinking skills _12_
   - 100% student involvement strategies_8_
   - Co-operative learning stratedies_5_
   - More use of manipulatives_6_
   - Positive reinforcement & feedback_2_
   - More use of whole language & lit. based instruction_2_
   - Effective questioning techniques_5_
   - More exploration_2_
   - More creativity activities_2_
   - More integration of subjects_2_
   - Teaching toward learning styles_1_
   - Allowing more wait time_1_
   - Using a variety of techniques_3_

7. Has this process helped you become better assessors of your students?
   Yes__29__

8. Is the process of formative evaluation worth the time involved?
   Yes__36__

9. Which process (Formative or Summative) has helped you improve more as a teacher?

   Explain why in detail.

   Formative__30__ Summative _1_
   Both processes_3_ Not sure _3_

10. Why did you decide to participate in your school's alternative teacher evaluation project?
    - Need more feedback for improvement 10
    - Felt summative wasn't helpful 8
    - Like peer involvement 4
    - Less stress 5
    - Involvement in one's own assessment 6
    - SERVE committee presentation 4
    - Something new 1
    - Felt I had to for ICP 1
    - Wanted to for PDP 1

11. What is your initial reaction to your school's alternative teacher evaluation plan?
    - Like feedback and ideas 6
    - Useful: - meets needs 8
    - Relieves stress 3
    - Like peer-involvement 5
    - More pleased than anticipated 8
    - Uncertainty 1
    - Very pleased 6

12. At this point, what are the strengths and weaknesses of the plan?

    Strengths:
    - No value judgements 10
    - Teacher empowerment 9
    - Builds self confidence 2
    - Professional growth 2
    - Teacher bonding 10
    - Brings about the need and desire to change 7
    - Feedback 4
    - Aligns with curriculum 2
    - Administrators can help where needed 1
    - The sharing of ideas with peers 10

    Weaknesses:
    - Time involved 3
    - Need more options 2
    - None 9

13. Do you feel you have the information/training/resources to sucessfully participate in this project? Explain in detail.

Yes 34
Need more training 3

SERVE Committee...

Provided adequate materials, information and hands on practical applications 13
Provided adequate feedback and follow-up sessions 7
Workshop provided sufficient training 12
Resourceful administrators openness, encouragement 2

APPENDIX F - DEEP RIVER EVALUATION

[redacted]
Teacher Review of Professional Growth Plan (PGP)
March 19, 1993

[redacted]evaluator met with four teacher teams (8th, 7th, 6th, Exploratory) throughout the day on March 19, 1993, to discuss their new teacher evaluation plan (PGP). A team consisted of six to eight teachers and each session lasted 30 minutes. The evaluator asked the team several questions about the PGP. Teachers took turns responding to the questions and the evaluator took notes. The results have been compiled and are described in the following pages.

The results showed that:

1. Most teachers believe the Teacher Performance Appraisal Instrument provides structure and guidance for new teachers, but is not an appropriate instrument for career status teachers.

2. Teachers are overwhelmingly positive about the PGP and want to see it continued. The PGP is comprehensive, emphasizes teacher growth, and is individualized to meet the needs of each teacher.

3. The primary area of concern for teachers is the portfolio component of the plan. They feel they have not given enough information and guidance to develop satisfactory portfolios for this year.

APPENDIX F - BROAD RIVER EVALUATION

Self-Evaluation and Peer Review
Evaluation Summary
1991-92 Pilot Project

During 1991-92 [redacted] piloted a self-evaluation and peer review formative evaluation project for experienced teachers. At the conclusion of the pilot year participating teachers were surveyed (see Appendix A) and virtually all teachers responded. The following were the findings of the survey.

Part I: Overall Evaluation

Teachers strongly agreed that self-evaluation and peer review helped them improve their teaching and that it was a better system of teacher evaluation than the existing summative system. Most teachers indicated that it should replace the existing system. Teachers found viewing themselves on video tape to be helpful and that the feedback of their peers was helpful as well. Overall, observing themselves on video tape received slightly higher ratings from teachers than did the feedback from their peers. However, both had average ratings of over 4.5 on a 5 point scale.

Teachers were strongly supportive of expanding the self-evaluation and peer review program and indicated overwhelmingly that they would encourage their colleagues to participate. They indicated that they took the process seriously and that they perceived that their fellow teachers had also taken it seriously. Teachers indicated opposition to supplementing self-evaluation with formal summative evaluations, even if these were done on a periodic basis. Additionally, they were generally opposed to including the principal or other school administrators in the assessment of their performance.

Part II: Strengths, Weaknesses and Suggestions

Teacher comments about strengths focused on the quality of the feedback that they received from their peers. They perceived the system as providing helpful information in areas that they wanted to know about. Feedback was specific and directed. Teachers also felt that the system was professional and enhanced their feelings of professionalism. Unlike formal evaluations which teachers viewed as artificial, teachers viewed this as a very authentic assessment. Sharing with colleagues was also a theme. Teachers felt more collegial and learned from each other.

The most frequently cited disadvantages of the system were finding common times to get together with a fellow teacher for conferences and procrastination. Many teachers indicated that there were no disadvantages.

Recommendations for improvement of the program fell primarily into two categories. The first dealt with the timing of the project -- teachers were trained too late in the year (February) and wanted to start earlier the next time. The second category was expansion of the program to include more teachers.