School Leadership Review

TRIBUTE ISSUE

Don M. Beach
Casey Graham Brown
Stacey L. Edmonson
Peggy B. Gill
Sandra Harris
Wesley D. Hickey
Beverly J. Irby
Joseph Murphy

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Tribute Issue

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Timothy B. Jones, Guest Editor
Matthew B. Fuller, Assistant Editor

Pauline M. Sampson, Associate Editor
Kerry Roberts, Assistant Editor

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Call for Manuscripts

The editorial staff of School Leadership Review seeks high-quality, original manuscripts in consideration for the upcoming publication of the journal. The School Leadership Review is an internationally refereed journal sponsored and published by the Texas Council of Professors of Educational Administration and is designed to offer a publishing opportunity to professors of educational leadership across the country on topics related to school administration. We encourage submissions from new professors as well as those with years of valuable experience.

Manuscript guidelines are as follows:

- Submissions should be 2,000 to 3,000 words in length (approximately 20 pages including references).
- Articles, including references, must follow the guidelines in the 6th edition of the APA Manual. Submissions in different formats will be automatically rejected.
- Limit the use of tables, figures, and appendices, as they are difficult to import into the journal text layout.
- Manuscripts must include a cover page with complete contact information (name, position, institution, mailing address, phone, email, and fax) for one or all authors.
- Manuscripts may be submitted at any time for consideration through the journal's blind review process.

Submit manuscripts electronically as an attachment to Dr. Timothy B. Jones: tbj004@SHSU.EDU
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The Executive Board of the Texas Council of Professors of Educational Administration would like to recognize the following institutions that financially supported *School Leadership Review* over the past six years. Thank you for your ongoing support.
A Celebration of the Past and Synergy for the Future

Happy New Year Colleagues! The New Year is bringing new excitement in the life of School Leadership Review. For starters, the editorial staff changed on July 1, 2011. Timothy B. Jones was pleased to be named Guest Editor by the TCPEA Board of Directors and Pauline Sampson named Associate Editor. Shortly thereafter, we added two Assistant Editors: Kerry Roberts and Matthew Fuller. While Timothy and Pauline are responsible for all management, content and editing for the journal, Kerry will coordinate the peer-review process and Matthew production and printing. Hopefully you already see the fruit of our efforts with a totally new look and feel of the journal. After several months of discussion and negotiations with the printer, we made the decision to go to a full size magazine type format in order to make the journal easier to read. With that new format, it made sense to explore a new cover look and graphic that would celebrate our national perspective as a journal.

Volume 7 Issue 1, is School Leadership Review’s first Tribute Issue. With the challenge of taking the journal to the next level for the future, we wanted to take a moment to first look back and celebrate our past. This issue is a series of invited manuscripts from scholars that have made substantial contributions to the success of School Leadership Review over the past half-dozen years since our inception. The invitees/honorees, in order of their articles, include:

Sandra Harris – Sandy was President of TCPEA when the decision was made to start a national peer-reviewed journal for TCPEA. She describes how educational administration might respond to new online instruction formats by creating communities of learners and nurturing a collaborative and professional relationship among university professors. Dr. Harris is also a James A. Vornberg Living Legend.

Don M. Beach – Don served as the Second Editor of the journal. He insightfully outlines the construction of administrative theory for our discipline and explores possible templates for scholars and practitioners. Don provides a multitude of definitions for administrative theory leading to a framework from related fields, supporting research, and common perspectives.

Stacey L. Edmonson – Stacey was the First Editor of School Leadership Review. Under her leadership, she built the critical infrastructure of the journal and laid the foundation for everything that would follow. Her article examines the relationship between principals’ behaviors and the climate on their campuses showing the importance of principals’ communication. Dr. Edmonson is also a Past-President of TCPEA.

Casey Graham Brown – Casey was President of TCPEA last year and instrumental in leadership that resulted in significant growth in subscribership of the journal. TCPEA enjoyed its largest membership during her tenure which parlayed into journal subscriptions. Dr. Brown’s article focuses on the continued difficulties surrounding schools safety and she addresses safety and security by examining the issues of gun possession, as it relates to prevention violence programs and policies, and emergency plans.

Beverly J. Irby – During the infancy of the journal, Beverly was asked to serve as an Advisory Board Member. Her article explores professional development for teachers of English language
learners (ELL). Beverly’s article identifies five professional development principles for teachers of English Language Learners and elaborates the importance of principals’ ability to plan and design strong professional development behind five principles.

**Wesley D. Hickey** – Wes served as the Third Co-Editor of the journal. His article thoughtfully constructs a model for educational organizations to forge international partnerships. Wes’ article describes a model of how educational administration programs can provide international opportunities that develop cooperation for social justice under scholar-practitioner leadership principles in Belize.

**Peggy B. Gill** – Peggy also served as the Third Co-Editor of the journal. Dr. Gill has worked with Teachers for a Better Belize (TFABB) for several years and her article reports her interim study of teacher training plans as part of this international partnership. Peggy’s article continues the discussion of international partnerships between a university and Belize with the evaluation of a teacher training program in language arts and examines principals’ concerns with a new program of Balanced Literacy.

**Joseph Murphy** – Joe was an Initial Author of the journal. Starting a new journal presents many challenges, not least of which is securing quality manuscripts. Dr. Murphy and others generously contributed significant pieces for the first issue that secured the journal’s future as a high-quality scholarly journal. Joe’s piece explores homelessness with a report of literature and the identification of policy strategies addressing poverty, housing, employment opportunities, social and prevention services, and specific needs of families who are homeless.

These individuals are some of the scholars that have made *School Leadership Review* a tremendous success. The journal is not only a venue for our national network of colleagues and others to publish their research, it is an important periodical of our discipline available nationally and international which now includes the Library of Congress. On behalf of the entire journal staff and editorial review board, please join us as we show our appreciation and gratitude to these servant leaders in our association.

Finally, we also pay tribute to Abilene Christian University, Lamar University, Sam Houston State University, Stephen F. Austin State University, and Texas A&M University- Commerce for the generous support of *School Leadership Review*. Their support has included financial and in-kind assistance. Each editor's university provides immense in-kind support of the journal and each of these institutions also provided financial support. To each, we offer our sincere thanks and appreciation.

Best wishes for a prosperous 2012!

Timothy B. Jones, Ed.D.  
*Guest Editor*

Pauline M. Sampson, Ph.D.  
*Associate Editor*
It is a pleasure to be invited to contribute to this special edition of the TCPEA *School Leadership Review*. TCPEA has been a valuable organization for me as the relationships that have been fostered through it have enabled me to grow personally and professionally. This has led me to consider some of the issues that educational leaders are facing today and will continue to face in the years to come which are focused on the notion of how to effectively maintain human relationships. While few leaders agree on everything, there is no doubt that we all agree this is a complex time for our schools. My focus of this article is to consider three of the challenges before us to maintain the human touch in our profession:

- Identifying appropriate responses to the dilemmas that are occurring due to technology advances which include movement to hybrid/blended and fully on-line teaching venues,
- Establishing covenant communities in our diverse classrooms and beyond, and
- Nurturing our professional relationships as educational leaders.

While these three topics might seem unrelated, I believe they all are connected to our shared humanity and all have the potential to develop or diminish the human touch.

### Identifying Responses to Technology Dilemmas

Matthew Militello (2011) argues that technology in schools today has the potential to be that of a “disruptive force” or to have a “transformational impact” (p. 15). The determining difference, he suggests, does not lie in the technology, but in the humans who control the technology. To illustrate his point, he cites Kurt Vonnegut’s 1952 book, *Player Piano*, the story of a world created where technology begins to control every aspect of life, thus taking away creativity and ultimately individual freedoms. Reading this article caused me to consider the player piano. How exciting it must have seemed at the beginning; what an awesome piece of technology... but after the tunes in its repertoire had been played and played and played and the “new” had worn off, where was the ability to create a new tune, to sing a new song? That was invested only in human capacity.

Technology has opened up avenues for online learning throughout the world. For the past seven years online enrollments have grown at rates far in excess of the total higher education student population with over 5.6 million students taking at least one online course during the fall 2009 term - an increase of nearly one million students that were reported the previous year (Allen & Seaman, 2010). In Texas, The Higher Education Coordinating Board is encouraging schools to provide online degrees and Commissioner Raymund Parades has suggested this could result in a statewide digital university (Adam, 2011). In fact, in August, 2011, Texas Governor Rick Perry signed an executive order that instructs state agencies to cooperate in establishing the Western Governors University Texas, an online school that would provide an affordable, flexible way for Texans to earn university degrees without a need for state funding. However, Aoun (2011) argues that while online education will ultimately become an important component part of a

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**Dr. Sandra Harris** may be contacted at Sandra.harris@lamar.edu. Dr. Harris was TCPEA President when the decision was made to start an inter-national, peer-reviewed journal for the organization.
system, it is not the silver bullet that leads all of education. Instead, he argues that both online and place-based (face-to-face) delivery systems must come together to effectively meet the needs of students.

I am not against the increasing use of technology, nor am I against online teaching and learning. However, I am reminded of the first time we tried to feed solid food to our little grandson, Austin. He closed his lips, shook his head and there was no way that spoon with its “delicious” rice cereal was getting into his mouth. The next day, we had a similar encounter, but he must have gotten a little taste, because over the next few days he grew to actually look forward to his cereal. Today, at three years old, he is a confirmed chocoholic! What he was afraid of at first, he now is learning to appreciate.

My reaction to online teaching/learning which currently assails all of us at our universities is not unlike Austin’s reaction to that first spoonful of solid food. At one time I was totally and completely opposed to online teaching/learning – all I could do was shake my head violently and scream, No, No! This made me think I was clearly not in the right place; but was instead in the wrong place at the wrong time. Now, I realize that being in the right place at the right time does not preclude living in the midst of inner chaos. Today, while I may not fully embrace online learning, I am becoming more comfortable with this notion. Enough to rationally consider the potential it brings to education. After all, the enemy of education is not online programs. Instead, our enemy is not building these programs on sound research-based principles. Because it is so new, there is still much to be learned regarding online or virtual learning. While I have few answers, I am beginning to search the literature and am pondering the questions we should be investigating in order to use new technology wisely in our university classes. Some of the questions we should be asking include:

- How do we provide blended programs that balance online/virtual learning with some component of face-to-face? [Allen & Seaman (2010) noted that a greater portion of public institutions reported an increased demand for both face-to-face and online courses than did for profit institutions.]
- Do we exclude all face-to-face encounters for student convenience? [By the way, according to the research company Eduventures, over l/3 of online students live within 50 miles of their institution, and almost 2/3 live in the geographical region of the university (Aoun, 2011, p. 3)].
- How do we accommodate the student who needs personalization and differentiation in a fully online environment?
- How do we build a climate where students network and form lasting relationships in the virtual venue?
- What is the appropriate class size when a course is fully online? [Burruss, Billings, Brownrigg, Skiba, & Connors (2009) found that successful experiences in these classes are impacted by class size and this varies depending on the level of the student whether undergraduate or graduate. They also suggested that class size influences the quality of faculty and peer interactions, connectedness and social presence].

Jackson (1968) wrote “The greatest intellectual challenge of our time is not how to design machines that behave more like humans, but rather, how to protect humans from being treated more like machines” (p. 66). We must protect humans from being treated like machines. Thus, we must control technology, rather than let it control us or we diminish the human touch.
Establishing Covenant Communities

Whether teaching and learning are conducted in face-to-face, blended or fully online delivery models, we must consider the human aspect of education. I can’t say this is more important today than in prior years, but it seems that with the world’s complexities and changing demographics putting a human face to the challenges we face is especially important. One way to do this is to facilitate the development of covenant communities that encourage rich cultural conversations with educational leaders. Sergiovanni (1996) addressed the covenant idea as a way to create a community of learners that

- Respects and values diversity,
- Develops shared values and beliefs,
- Serves the common good by endeavoring to promote unity, and
- Supports people helping one another achieve common purposes,

Having these cultural conversations is a critical component of preparing them for leading in our increasingly diverse schools of today (Okun, 2010).

Ken Young, Carol Mullen, and I have been investigating this challenge of creating covenant communities where difficult cultural conversations can take place with diverse groups of doctoral students in a face-to-face program (Young, Mullen, & Harris, 2011). The doctoral students who participated in our study indicated the importance of participating in difficult conversations because this helps them see other points of view, provides proactive practice, challenges their current thinking, and provides opportunities to learn. Students emphasized they participated because it was a safe, trusting environment— they felt the presence of a covenant community. As professors, we know that this safe, trusting covenant environment did not happen by accident. Instead, professors were purposeful and intentional in building this covenant climate where potentially difficult cultural issues could be discussed in a safe, trusting setting.

It is difficult at best to establish covenant communities in a face-to-face or place-based environment. Aoun (2011) argues that since learning happens inside and outside the classroom it is not possible to replicate in a virtual environment the “range of human interactions inherent in place-based education” (p. 3). Yet, somehow we must navigate our way through this difficulty to strengthen peer-learning environments in all delivery models. The following are questions we should be asking as we work to establish covenant communities in our classrooms:

- How can we affirm the human need for a covenant community?
- How do we create covenant communities that nurture greater understandings of our diverse society?
- What intentional steps must be taken to be assured that our students recognize the covenant presence that allows difficult conversations to flourish?

This establishment of covenant communities in our classrooms has the potential to provide the human touch and build a foundation for deeper dialogue in many settings, such as our universities, communities and beyond.

Nurturing Professional Relationships

Technology which has spawned the growth of online/virtual delivery models is indirectly contributing to harming professors’ professional and even personal relationships. At a time when
university budgets are strained, the competition for students is fierce. Distance Education programs are able to draw students from hundreds of miles away, while just a few years ago they were limited to drawing students only from their geographic areas. Students may now select programs they could never have considered before because they were simply not accessible. Now, through technology advances they may seek out universities for a variety of reasons, such as for their outstanding programs, well-known professors, creative models of delivery, semesters to completion, lower tuition and fees, and sometimes general convenience (number of face-to-face meetings or no meetings at all). Today all of these variables may be considered by students as they select the program where they will earn their degree.

Consequently the environment in Higher Education is now more entrepreneurial and competitive than ever before and this has had a clear impact on the professional relationships of professors. In my own experience as a young assistant professor, it was often professors at other universities in Texas and beyond who mentored and encouraged me. In fact, one of the first articles that I published as a young assistant professor emphasized collaborative writing efforts when professors were from different schools. These professors became my writing partners, presentation partners, and invited me to participate in their studies and contribute to their book chapters. Their support was invaluable and made a direct contribution to my career in Higher Education.

The professional relationships which bind us together as human beings with common interests in educational leadership are invaluable to our profession as we come together to share ideas and resources. This is less likely to happen when we are competing for the same students and the same dollars. Thus some of the questions we should be asking include:

- How do we contribute to the fiscal health of our universities and maintain quality of our programs? [After all, it is still most education departments that are the “Cash Cows” for their university. Consider the following: Smith and Mitry (2008) found that university administrators will not see the full potential of e-learning until they adhere to the higher academic standard of full-time faculty expertise.]
- How do we maintain relationships with sister universities in this competitive setting since geographical boundaries are diminishing?
- How do we mentor, support, publish and present with our colleagues in the Academy when competition gets in the way of our collaborative efforts?

Unfortunately, I have seen and experienced how this new competitive environment, can create disharmony and dissonance within the Academy. In order to maintain supportive professional relationships, we need to nurture our own covenant community where collaborative relationships with professors at all universities might flourish and thus expand our human currency.

**Concluding Remarks**

As educators we have a major goal: supporting students in their learning to be knowledgeable, creative, problem solvers, and thinkers. A machine can only do what a human has programmed him to do and sometimes this is truly amazing . . . but it begins with a person.

The world is increasingly complex which means we need to provide today’s students with in-depth, complex learning that is an outgrowth of critically reflective thinking. We must support
face-to-face, blended, and fully online/virtual learning environments where students are challenged to go beyond mastery of concepts to synthesize information into learning units and then reflect, create, explore, and investigate.

With today’s technological advancements resulting in a diversity of learning modalities our questions must focus on the challenge of maintaining the human touch:

- How do we respond to technology with balance in order to support students in growing their human capacity and connecting with other people to build positive, affirming relationships?
- How do we create a covenant community that emphasizes trusting environments where students’ stories put a human face to teaching and learning issues and thus develop our human capacity?
- How do we nurture professional relationships in a growing competitive market where we can embrace our shared responsibilities to one another?

Our legacy as educators begins with teaching, and should culminate in an embrace of learning that encourages lifelong wonder and an appreciation of our humanity. Learning is really not about answers – it is about asking the right questions that lead us to understanding more about the human condition. We need more research to understand the positive and negative effects of technology. We must understand ways to develop covenant communities in our place-bound and virtual classrooms and beyond to encourage rich dialogue that leads to greater understandings of our diverse population. We must recognize the importance of building supportive professional relationships with our colleagues through organizations, such as TCPEA and NCPEA that transcend today’s competitive environments.

Our goal as educators should not be to leave a legacy, but to live a legacy. . . This means that while we lead in life-long learning we must live the process of continued interrogation to find ways to respond to technology with balance, establish covenant communities, and nurture professional relationships in ways that nourish the human capacity in a time when the human touch is so needed.

References


The development of administrative theory has long been a quest for scholars in the field of educational administration. The beginnings of the development of a theory of educational administration began with Griffiths’ (1959) now classic _Administrative Theory_, where he outlined the problem and noted, “The field [of educational administration] is no longer neatly defined [and] textbooks are characterized by a search for the substance of administration and for a theory which binds the substance together” (p. 1-2). The need for such a theory has been important because a theory could serve to guide and support practice, even though the link between theory and practice has not always been articulated. In addition, the complex interactive nature of educational administration and the different school contexts have made it difficult to establish a uniform administrative theory. English (2002) called the theory-practice gap the “Gordian Knot.” He noted, “The theory-practice gap is a direct result of continuing to use inductive methods in creating theories for use in studying schools and the practices in them. The creation of … theories in educational administration … are not likely to come about under the way theories are constructed…in much of the present research” (p. 3).

Originally, this paper sought to explore the historical evolution of an administrative theory, but instead, seeks to answer the question: What theoretical framework or paradigm serves as a basis for the development of an administrative theory? In order to answer that question, a search of the literature was initiated to discover various theoretical components. This search for a theoretical paradigm was prompted by a similar search conducted by Ornstein and Hunkins (1988), who examined the theoretical foundations of curriculum by examining the major textbooks of the day and by Reinhartz and Beach (1988), who wrote about “The Search for a Theory of Supervision.” Building upon those models and acknowledging that educational administration, like curriculum development and supervision, is complex and interactive, this paper examined the content of various textbooks over the past decade and how the concepts of various authors contribute to the development of administrative theory.

The search for a theoretical paradigm for educational administration has proven to be challenging and somewhat elusive. The challenge comes from the need to extricate the components that support a theory from the various texts. Elusive because the theoretical approach used by authors has often been disguised or overshadowed by the implementation of practices (craft knowledge) or a philosophical stance, rather than a body of empirical studies, and so extrapolation and interpretation have been necessary. In distilling the authors’ theoretical perspectives, it was necessary to examine definitions, related fields and supporting research as well as the general practices advocated by each author.

The purpose of the paper is to provide a “think piece” to encourage discussion and dialogue about key concepts related to an administrative theory. After revisiting the Griffiths’ book, it became apparent that a paradigm or framework was needed to incorporate all of the “pieces” or

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1 Dr. Don Beach may be contacted at beach@tarleton.edu. Dr. Beach served as the second Editor of School Leadership Review.
concepts related to such a theory. In identifying and articulating the components of a theory of educational administration, the framework became descriptive as well as theoretical. This paper then, proposes a paradigm that identifies key components that can be used to create administrative theory and is based on the conceptual components that have been used by various authors to articulate both the theory and practice of educational administration.

In formulating a theory of educational administration it was appropriate to examine various definitions of “theory” in order to have a better understanding of the components of the paradigm provided. When Griffiths (1959) wrote his *Administrative Theory*, he noted, “At present, there is no generally accepted definition or use of the word theory… A theory is a set of assumptions from which a set of empirical laws (principles) may be derived. A theory is *not* a law. A theory, itself, cannot be proved by direct experiment” (pp. 27-28). Kerlinger (1973), defined theory as "a set of interrelated constructs (concepts), definitions, and propositions that present a systematic view of phenomena specifying relations among variables, with the purpose of explaining and predicting the phenomena" (p. 9). Greenberg and Baron (2008) provided a similar definition and suggested that, a theory is “a set of statements about the interrelationships between concepts that allows us to predict and explain various processes and events” (p. 662). For Marion (2002), “Theory is a worldview, a paradigm…a way of understanding reality” (p. 4). For these authors, *theories* have one overriding purpose - to explain phenomena. Phenomena may be either real, like human behavior, or entirely conceptual, like philosophy and mathematics. To explain phenomena, three minimal elements are required: phenomena, explanatory concepts, and principles that relate concepts to their respective phenomena. Perhaps most importantly, theories help to guide and explain practice, because educational administrators “think and work from within some conceptual framework, some theoretical bias, [or] some intellectual stance” (Getzel, 1960, p.38). Or as Griffiths (1959) pointed out, “The movement toward the development of an adequate theory of administration is actually a movement toward a more scientific approach to administration” (p. 21).

A theory, then, provides a framework for interpreting data or information relative to concepts. This information serves to provide a lens for practice or a “bias” for action. As Sergiovanni and Starratt (1988) have observed, “All…actions are theoretically based. The question for [administrators]…is not whether they are being theoretical or not, but what are the theories (operating principles)…which provide the basis for professional decisions and practice” (p. 41). Therefore, an examination of administration perspectives espoused in educational administration textbooks provides a starting point for a theory of educational administration.

An examination of various definitions of administration also provided a beginning point for theory construction. One of the classic definitions of administration is Fayol (1949) who said that administration was an integrated system that involved the functions of planning, organizing, activating, coordinating, and controlling resources. In his early work, Griffiths (1959) described the primary function of administration as “to develop and regulate the decision-making process in the most effective manner possible” (p. 73). He further identified four aspects of administration:

1. Administration is a generalized type of behavior to be found in all human organizations.
2. Administration is the process of directing and controlling life in a social organization.
The specific function of administration is to develop and regulate the decision-making process in the most effective manner.

(4) Administrat[ion] [is working] with groups or with individuals with a group referent, not individuals as such. (pp. 71-74)

Lipham (1964) observed that administration involves “using existing structures and procedures to achieve an organizational goal or objective...[Administration] is concerned primarily with maintaining, rather than challenging established structures, procedures, or goals” (p. 122). Kimbrough and Nunnery (1976) have described administration “as policy leadership and management” (p. 3). They further noted that there has been “a fallacious dichotomy between management and policy leadership. These are inseparable functions of operating educational organizations” (p.3). Owens and Valesky (2007) have said that administration is “working with and through other people, individually or in groups, to achieve organizational goals” (p. 160).

While the list of authors and texts are not exhaustive, they are representative of the field and instructive for this exercise of constructing a theory of educational administration.

To sort out the various conceptual pieces regarding their theoretical perspective, a framework was established using three filters: (1) use of related fields and/or supporting research; (2) administrative perspectives (definitions and approaches) which when combined yields (3) an administrative theory. This conceptual model for theory building is seen in Figure 1.1.

Figure 1.1 Conceptual Model for Theory Building

![Conceptual Model for Theory Building](image)


By examining the filters of related fields and supporting research, common themes emerge and those that were common to most of the texts included:

(1) *organizational culture or climate* (Gorton., Alston, Snowden, 2007; Owens & Valesky, 2007; Hoy & Miskel, 2005; Lunenberg & Ornstein, 2004; Marion, 2002; Cunningham & Cordeiro, 2000; Kimbrough & Nunnery, 1976);

(2) *decision-making theory* (Gorton., Alston, Snowden, 2007; Owens & Valesky, 2007; Hoy & Miskel, 2005; Lunenberg & Ornstein, 2004; Marion, 2002; Cunningham & Cordeiro, 2000; Kimbrough & Nunnery, 1976)

(3) *change theory* (Gorton., Alston, Snowden, 2007; Owens & Valesky, 2007; Hoy & Miskel, 2005; Lunenberg & Ornstein, 2004; Marion, 2002; Cunningham & Cordeiro, 2000; Kimbrough & Nunnery, 1976);

(4) *leadership theory* (Gorton., Alston, Snowden, 2007; Owens & Valesky, 2007; Hoy & Miskel, 2005; Lunenberg & Ornstein, 2004; Marion, 2002; Cunningham & Cordeiro, 2000; Kimbrough & Nunnery, 1976) ; and
(5) *communication theory* (Gorton,, Alston, Snowden, 2007; Owens & Valesky, 2007; Hoy & Miskel, 2005; Lunenberg & Ornstein, 2004; Marion, 2002; Cunningham & Cordeiro, 2000; Kimbrough & Nunnery, 1976)

Each of the identified themes or supporting research and theory were supported in depth by each of the six educational administration textbooks. The characteristics and function of the organization were viewed through a particular lens or perspective of educational administration. For example, one text might emphasize administration as organizational efficiency, while another text might emphasize a social systems or human relations perspective. An yet a third might reinforce a program emphasis.

If one of the earlier definitions of a theory, an explanation of phenomena, is used then what are the implications of these results? In following the process, what appears to happen when authors develop a personal theoretical perspective is that they draw upon related fields and supporting research and then combine that with a perspective or screen to generate a theoretical framework. Figure 1.2 illustrates this process of theory formulation.

**Figure 1.2 Process of Theory Formation**

![Diagram of theory formation process](image)


As seen in the figure, the components of a theory include research and related fields combined with a filter or perspective to produce a theory. Using this model as a basis for constructing a theory, each theory would be unique to the individual. Each person would select the appropriate research and related fields and then use a filter or orientation to combine the views into a theory. For example, if one selected communication, leadership, culture, and change as related concepts and then used the process orientation, then administration would be theoretically seen as using the communication, change, leadership, and culture building processes as way to accomplish goals of the organization. It is important to note that a theory of administration does not occur
outside the context of the organization, in this case the school. The context of the school, both in terms of historical factors and socio-political factors also shape the theory of administration. A school undergoing a reduction in force “RIF” would have a much greater need to view administration through an organizational efficiency lens. A school that has been rezoned with different neighborhoods attending and faculty from several campuses being combined, might result in a human relations view that would also draw upon change, communication, leadership, and decision-making, but these supporting areas would look different than the school losing faculty.

The purpose of this paper was to answer the question: What framework or paradigm can serve as a template for constructing a theory of educational administration? Based on the cursory review of educational administration textbooks, the results would seem to suggest that there is no single theoretical paradigm, but several theoretical perspectives can be found in the textbook literature. When related fields and research are combined with a perspective or lens, they produce a personal theory of administration. When administrators can identify the components of orientations that contribute to their personal theory, they are able to integrate theory with practice and provide a rationale for their actions.

References


The Relationship between Principal Leadership Behaviors and School Climate

Ivan Velasco, Ed.D.†
Conroe Independent School District

Stacey L. Edmonson, Ed.D.
Sam Houston State University

The No Child Left Behind Act (2001) revised the Elementary and Secondary Education Act of 1965 by making substantial modifications in the major federal programs that support schools’ efforts to educate all children (U.S. Department of Education, Office of the Deputy Secretary, 2004). Since the inception of this law, demand for greater accountability for student achievement from politicians and legislators has increased exponentially (Carnoy, Elmore, & Siskin, 2003). Strict accountability measures, developed and implemented with limited if any consent or involvement of educators, were imposed on students, teachers, schools, and school districts (Waite, Boone, & McGgee, 2001). The increased emphasis on accountability heightened the demands on teachers and administrators more than ever before in the history of education in the United States (Carnoy et al., 2003). As increased accountability became the norm, school leadership became more challenging and demanding in order to achieve the newly stipulated accountability (Salazar, 2008).

Over the last 20 years, society has experienced vast technological, economic, and social changes that have impacted the way schools function and serve students (Johnson, Bush, & Robles-Pina, 2007a, 2007b). With increased accountability, the ability of the school principal to improve the effectiveness of the school can be a critical factor that can influence the impact a school will have on its students (Salazar, 2008). School principals can use their authority to impact academic performance by creating and sustaining a positive school climate (Kelley, Thornton, & Daugherty, 2005). Peterson and Deal (2002) recommended that administrators proactively shape climate by reinforcing positive features and working to change negative features. The school principal must adopt appropriate leadership skills and leadership behaviors to promote the improvement of school climate and culture (Peterson & Deal). Marzano, Waters, and McNulty (2005) found leadership responsibilities and behaviors of principals who were considered to be change agents were related to improved climate and culture and ultimately to improved student outcomes in school. Researchers have investigated the impact of behavior and leadership traits but have not adequately described the basic motivational behaviors and attributes that influence leadership behaviors (Johnson, Busch, & Robles-Pina, 2007b; Zaccaro, 2007).

Limited research is available that identifies relationships between the school principal’s authority behaviors and school effectiveness. Few researchers have focused on explaining how school principals’ behaviors impact school climate (Marzano et al., 2005). According to Johnson et al. (2007a), the covert behaviors of principals are believed to impact situations and decisions in schools, although those behaviors may not directly impact student achievement. Thus, the school principal’s impact on student achievement is considered an indirect effect mediated through the climate of the school (Hallinger & Heck, 1998). According to Johnson et al. (2007a), the covert

† Dr. Ivan Velasco may be contacted at ivelasco@conroesisd.net. Dr. Stacey Edmonson was the first Editor of School Leadership Review and a past President of TCPEA.
behaviors of principals are believed to impact situations and decisions in schools, but those behaviors do not directly impact student achievement. Furthermore, specific dimensions of school climate exist that significantly influence student achievement; these dimensions may also be influenced by the behaviors of the principal (Bush, 2003; Johnson et al., 2007b; McLean, Fairman, & Moore, 2006).

Researchers have tried to quantify the importance of leadership and explore the correlations among leadership, teacher effectiveness, school climate, and student achievement (Deal & Peterson, 1990; Kelly, et al. 2005; Maehr, 1990; Marzano, et al. 2005). Early researchers determined that correlates of effective schools included an expectant climate, strong leadership, structured environment, and efficient communication (Ruter, Mortimore, & Ouston 1979). These researchers suggested that the existence or non-existence of an effective educational leader, the school climate, and teachers’ attitudes can directly influence student achievement (Kelly et al.). Hoy, Tarter, and Kottkamp (1991) found that school climate is a lasting characteristic of the environment of the school that is felt by members and impacts their choices. A positive school climate can improve staff performance, promote morale, and heighten student achievement (Freiberg, 1998). According to Hoyle, English, and Steffy (1985), school climate is a critical component of any effective educational system. However, Hoy et al. stated that a climate that supports a pleasant school environment and strong student is hard to achieve. Still, principal behavior has been directly related to school climate (Kelly et al. 2005). Sergiovanni and Starratt (1998) stated that the climate of a school can be directly changed, positively or negatively, by the principal’s actions. In fact, several studies (Hallinger & Murphy, 1987; Hoy et al., 1991; Lane, 1992; Sergiovanni, 2001) have established the existence of relationships between leadership and school climate.

Certain dimensions of climate significantly influence student achievement in schools and are influenced by the principal’s behavior (Bush, 2003; Johnson et al., 2007a, 2007b; McLean, Fairman, & Moore, 2006). Identifying the relationship between the principal’s authority, as measured by the Leadership Profile (based on The Birkman® instrument developed by Birkman, Elizondo, Lee, Wadlington, Zamzow, 2008), and specific dimensions of school climate, as measured by the Organizational Health Inventory (Fairman & McLean, 2003) allows for the development of specific approaches and initiatives to be used by principals to improve school climate and ultimately student achievement at their schools.

Research Questions

The following research questions were addressed in this study:

1. What is the relationship between Authority Usual, as assessed by the Leadership Profile (Johnson, 2003a, 2003b), and climate, as measured by four dimensions of the Organizational Health Inventory (Fairman, 1979): (1) Optimal Power Equalization; (2) Innovativeness; (3) Autonomy; and (4) Communication Adequacy?

2. What is the relationship between Authority Needs, as assessed by the Leadership Profile (Johnson, 2003a, 2003b), and climate, as measured by four dimensions of the Organizational Health Inventory (Fairman, 1979): (1) Optimal Power Equalization; (2)
Innovativeness; (3) Autonomy; and (4) Communication Adequacy?

3. What is the relationship between Authority Stress, as assessed by the Leadership Profile (Johnson, 2003a, 2003b), and climate, as measured by four dimensions of the Organizational Health Inventory (Fairman, 1979): (1) Optimal Power Equalization; (2) Innovativeness; (3) Autonomy; and (4) Communication Adequacy?

Selection of Participants

A sample was drawn from the population of 80 schools within a large urban school district and a large suburban school district in Southeast Texas. The sample consisted of 61 elementary campuses and 19 secondary campuses between both school districts. A truly random sample was not a viable possibility, as participation in this study was limited to archived records from two large school districts in Texas that had used both the Organizational Health Inventory and the Leadership Profile. Participants included all school principals and school teachers in those two Texas school districts. Principals completed the Leadership Profile, and teachers completed the Organizational Health Inventory. Demographic data for student populations for districts A and B are depicted in Tables 1 and 2, respectively.

Table 1
Student Demographic Data for District A

<table>
<thead>
<tr>
<th>District A Sub-Groups</th>
<th>Student Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>African American</td>
<td>18,673</td>
<td>32.2%</td>
</tr>
<tr>
<td>Hispanic</td>
<td>35,223</td>
<td>60.8%</td>
</tr>
<tr>
<td>White</td>
<td>2,763</td>
<td>4.8%</td>
</tr>
<tr>
<td>Native American</td>
<td>48</td>
<td>.1%</td>
</tr>
<tr>
<td>Asian Pacific Islander</td>
<td>1,224</td>
<td>2.1%</td>
</tr>
<tr>
<td>Economically</td>
<td>45,342</td>
<td>78.3%</td>
</tr>
<tr>
<td>Disadvantaged</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Limited English Proficient</td>
<td>15,744</td>
<td>27.2%</td>
</tr>
<tr>
<td>Total Student Population</td>
<td>57,931</td>
<td>n/a</td>
</tr>
</tbody>
</table>

Table 2
Student Demographic Data for District B

<table>
<thead>
<tr>
<th>District B Sub-Groups</th>
<th>Student Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>African American</td>
<td>2,778</td>
<td>6.5%</td>
</tr>
<tr>
<td>Hispanic</td>
<td>9,892</td>
<td>23.3%</td>
</tr>
<tr>
<td>White</td>
<td>28,454</td>
<td>67.1%</td>
</tr>
<tr>
<td>Native American</td>
<td>203</td>
<td>0.5%</td>
</tr>
<tr>
<td>Asian Pacific Islander</td>
<td>1,104</td>
<td>2.6%</td>
</tr>
<tr>
<td>Economically</td>
<td>14,014</td>
<td>33.0%</td>
</tr>
<tr>
<td>Disadvantaged</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Limited English Proficient</td>
<td>4,370</td>
<td>10.3%</td>
</tr>
<tr>
<td>Total Student Population</td>
<td>42,431</td>
<td>n/a</td>
</tr>
</tbody>
</table>
Instrumentation

The Leadership Profile (Johnson, 2003a, 2003b) and the Organizational Health Inventory (Fairman, 1979) were administered to all principals and teachers, respectively, of two large Texas school districts, and the resulting data were archived. Archived data from the 2008 administration of these instruments were used for this study.

The Leadership Profile

To determine leadership behaviors, each principal of the participating schools was given the Leadership Profile (Johnson, 2003a, 2003b). The Leadership Profile is a questionnaire derived from The Birkman Method® (Birkman et al., 2008) that provides responses appropriate for individuals in the educational field. The Birkman Method® is a valid and reliable assessment that aligns with personality and assesses key social interactions based on the self and other perceptions as well as general interests.

The Birkman Method® was created by the Birkman Institute in the 1950s and was subsequently developed into the Leadership Profile by Johnson (2003a). Johnson rewrote the Leadership Profile’s feedback so that it may be utilized to match leadership behaviors in educational settings. The results of the questionnaire are applicable to leaders in both education and business (Johnson, 2003a). According to Johnson et al. (2007a), The Birkman Method® was selected as the core of the Leadership Profile because of its more than 50 years of statistical stability and its 40-plus years of use in the business community (Birkman et al., 2008). The questionnaire results provide insight and motivational qualities that affect success in personal and professional aspects (Birkman et al.). The Leadership Profile is a confidential electronic questionnaire that provides results intended to assist educational administrators identify their strengths and to help them understand how they can work best with others. The instrument does not provide pass/fail results, and there are no right or wrong answers.

The Leadership Profile (Birkman et al., 2008; Johnson, 2003a) determines numerical scores based on usual, needs, and stress behaviors. The usual scales refer to the usual productive behaviors expressed in various situations that are easily observed by others. Usual scales describe an individual's effective way of dealing with duties and relationships. These behaviors are positive, even when goals are not attained. Low scale values refer to approaching duties and relationships in one manner, and high scale value refer to dealing with them in a opposite but equally efficient manner. Need scales indicate that when a person is in a relationship or a situation that happens in a manner consistent with their expectations (i.e., needs), the individual feels good about self, exhibits productive behavior, and is adaptable. When the situation is consistent with the individual's expectations, he behaves in a productive manner. When these expectations are not met, individuals exhibit non-effective behaviors, indicated by the stress scale. Stress scale values refer to an individual's ineffective manner of managing relationships or tasks. These behaviors are described as how he behaves when under stress, or how she acts when frustrated.

Social environment and anchored scales of the Leadership Profile have the following 11 component scales: (1) Empathy; (2) Thought; (3) Activity; (4) Esteem or Communication; (5)
Acceptance or Interaction; (6) Structure; (7) Authority; (8) Advantage or Incentive; (9) Change; (10) Freedom; and (11) Challenge. This study sought to identify correlations involving the Authority scale with dimensions of the Organizational Health Inventory. Authority scales address approaches to directing and influencing or persuading others in verbal exchanges. This construct describes a dominance-based construct that includes the degree to which an individual wants to persuade, speak up, express opinions openly and forcefully, and argue. Low scores reflect agreeable, easy going, low-key behavior. High scores reflect persuasive, competitive, forceful behavior, a preference for strong give and take about issues, and a tendency to become argumentative and domineering (Birkman et al., 2008).

The Organizational Health Inventory

According to Johnstone (1988), organizational health is a concept introduced by Miles (1971) to account for an organization’s ability to function effectively and to develop and grow into a more fully functioning system. The Organizational Health Inventory consists of 80 items that were selected after a three year, three-phase research process. This process firmly established reliability and validity including predictability of student performance. There are eight questions for each of the 10 dimensions of the Organizational Healthy Inventory. Questions in the Organizational Health Inventory are randomly placed. Individuals can respond to each of these questions with a “Strongly Agree,” “Agree,” “Undecided,” “Disagree,” or “Strongly Disagree” response (Johnstone, 1988). A description of the four dimensions used in the Organizational Health Inventory follows:

1. Optimal Power Equalization (OPE) refers to the distribution of influence between subordinates and superiors within the workgroup (Johnstone, 1988). Also referred to as empowering individuals or groups, OPE is the ability to maintain an equitable distribution of influence between team members and their leader. Administrators need to understand the relationship between an equitable distribution of power across the organization and the impact that it has on teacher satisfaction and student achievement. Pearson and Moomaw (2005) provided evidence that teachers who feel empowered to make decisions in regard to instructional and managerial issues were likely to have higher job satisfaction and perceived to have a higher degree of professionalism.

2. Innovativeness refers to the extent to which members of the workgroup believe the organization to be inventive, diverse, creative, and risk-taking (Johnstone, 1988). Bogler (2001) related Innovativeness to the ability of an administrator to provide intellectual stimulation to individuals, teachers, and work groups. When teachers are not allowed the time to reflect, be creative, take risks, and be inventive, new ideas will not be created, and student achievement will ultimately suffer.

3. Autonomy refers to the ability of the organization to deal with external pressures while maintaining its ideals and its goals (Johnstone, 1988). Autonomy is the state in which a person, group, or organization has the freedom to manage those things that should be within their sphere of influence. Teacher motivation, job satisfaction and morale, professionalism, and empowerment have been linked to autonomy (Brunetti, 2001; Kim & Loadman, 1994; Ponticell, 2003; Ulriksen, 1996). Natale (1993) reported teachers
most often leave the profession because of a lack of professionalism, lack of recognition, and lack of autonomy. Pearson and Moomaw (2005) recognized the importance of autonomy, treating teachers as professionals, and empowering teachers to make decisions that affect the outcomes of their students.

4. Communication adequacy is that state when information is relatively distortion-free and travels both vertically and horizontally across the boundaries of an organization.

Analysis of Data

Two continuous set of variables were examined in this study. The first continuous set came from the Authority scales of the Leadership Profile, representing principals’ authority behaviors: (1) Authority Usual; (2) Authority Needs; and (3) Authority Stress. The second continuous set of variables came from the four dimensions of Organizational Health Inventory: (1) Optimal Power Equalization; (2) Innovativeness; (3) Autonomy; and (4) Communication Adequacy.

Correlation coefficients along with the related effect size were calculated using a Pearson Product Moment Correlation. Related effect size determined the significance of the correlations between the results of the Leadership Profile authority components and the Organization Health Inventory’s dimensions. The Pearson correlation coefficient was calculated to determine the relationship between the principals’ authority components of the Leadership Profile and four dimensions of the Organizational Health Inventory. Descriptive statistics were used to report demographic data for each of the two school districts studied.

For each statistical analysis, the alpha level of statistical significance was set at .05. When statistically significant findings were yielded, a determination of the effect size or practical importance of the finding was performed using Cohen’s (1988) guidelines. The overall results of these analyses appear in Table 3.

Table 3
Correlation Coefficients between Leadership Profile Authority Scales and OHI

<table>
<thead>
<tr>
<th>Dimensions</th>
<th>Authority Usual</th>
<th>Authority Needs</th>
<th>Authority Stress</th>
</tr>
</thead>
<tbody>
<tr>
<td>Optimal Power</td>
<td>-.15</td>
<td>-.13</td>
<td>-.13</td>
</tr>
<tr>
<td>Equalization</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Innovativeness</td>
<td>-.11</td>
<td>-.17</td>
<td>-.17</td>
</tr>
<tr>
<td>Autonomy</td>
<td>-.13</td>
<td>-.14</td>
<td>-.14</td>
</tr>
<tr>
<td>Communication Adequacy</td>
<td>-.19*</td>
<td>-.14</td>
<td>-.14</td>
</tr>
</tbody>
</table>

Note. *p≤ .05
Conclusions

Analysis of data revealed only one statistically significant correlation of the possible 12 relationships that were analyzed as statistically significant. All relationships were represented by small negative correlations, indicating consistently inverse relationships between principals’ authority scales and organizational health constructs. The significant correlation emerged from the Authority Usual component of the Leadership Profile with the Organizational Health Inventory’s dimension Communication Adequacy ($r(80) = -0.19$, $p \leq .05$). This statistically significant correlation indicated that the principal’s usual authority behaviors and the level of accurate and adequate communication with his/her faculty and staff shares a statistically significant relationship with the climate of his/her school and consequently a potentially indirect but significant impact on student achievement.

In discussing these results with Fairman (personal communication, January 5, 2011), he described the importance of Communication Adequacy by citing the significant correlation coefficient of Communication Adequacy with student performance. Fairman’s studies have consistently correlated Communication Adequacy with student performance at the .01 level of significance. He described Communication Adequacy as the glue that holds organizations together, and the catalyst that enables individuals and teams to move from dependence to independence to interdependence. Fairman also described Communication Adequacy as the bridge over which all technical knowledge and human relationships must travel, much like the central nervous system required for healthy organizations. Fairman also indicated that many key individuals are instrumental in assisting the school principal in having effective communication. These key individuals, such as office staff, the administrative team, department heads, and other key leaders, share and filter information that is sent to them and the information that they then forward to others. When the school principal’s Authority Usual behaviors include sharing a common set of leadership beliefs and values with these key individuals, the potential for distortion-free information is greatly increased (M. Fairman, personal communication, January 5, 2011).

These research results indicated that when the school principal’s Authority Usual behaviors are consistent in ensuring optimal adequacy of communication, the impact on creating and sustaining a positive school climate is significant. Conversely, when the principal usual authority behaviors do not give the appropriate level of importance to ensuring adequate communication, when the school principal’s Authority Usual behaviors do not include sharing a common set of leadership beliefs and values, distortion and poor communication can be expected. When the school principal’s Authority Usual behaviors do not demonstrate consistent optimal Communication Adequacy, the climate of the school suffers and ultimately so does student academic performance.

Discussion

Only one domain of school climate was identified as having a statistically significant correlation with principals’ usual authority behaviors. This finding is consistent with Fairman’s conclusion that communication adequacy has a statistically significant correlation with student performance at the .01 level of significance (M. Fairman, personal communication, January 5, 2011). A great
deal of attention must be given to ensure that principal preparation programs, and staff development for seasoned principals, dedicate a significant amount of attention to creating systems that will facilitate adequacy of communication from the principal to faculty members. Principal preparation programs and staff development should also focus on helping principals create school-wide systems that will facilitate distortion-free communication to and from all levels within the schools.

Communication adequacy refers to the extent to which there is open, honest, two-way communications both vertically and horizontally throughout the school and the extent to which information flows freely without distortion (Fairman, personal communication, January 5, 2011). Implied within this definition is the realization that many key individuals are instrumental in helping the school leader establish effective communication. Principals’ usual authority behaviors must ensure that communication adequacy is enhanced by seeing that individuals and teams: (1) perceive him/her as being accessible and approachable; (2) receive information in a timely fashion; (3) understand the communication and decision-making structures; (4) understand the roles and responsibilities of the various leadership positions; (5) know how to navigate the system in order receive and send information (Fairman, 2010).

The development of the position of the school principal over the past 100 years depicts the growing position of authority that school principals have in their schools and communities. Educational researchers have identified empirical data that depicted principal leadership behaviors as having an indirect influence on student academic achievement (Hallinger & Heck, 1998). Leadership behaviors influence school climate, and school climate has strong correlations with student academic achievement (Marzano et al., 2005). As such, principals’ authority behaviors can potentially have a profound impact on school climate and ultimately on student achievement.

Principals have the power, authority, and position to impact school improvement through the development of a climate of integrity and respect. According to previous research, principals of effective schools have focused on attaining high academic achievement and increased teacher retention by providing superior staff development (Deal & Peterson, 1990; Sergiovanni, 2001). These principals fostered a safe, cohesive, positive, caring, and supportive school climate while developing feelings of trust, open communications, collegiality, and promoting effective feedback. Teachers at successful schools developed personally and professionally and became the foundation for superior instruction as they built their pedagogical knowledge and successfully guided their students to achieve academically. Climate sets the tone for students to respond positively to the demands of high academic standards and ultimately provides the foundation for the attainment of superior student academic achievement (Fairman & McLean, 2003). Climate ranks high among factors that fundamentally influence the effectiveness of schools at maximizing student academic achievement.

Accordingly, school principals’ authority behaviors were found in this study to share positive relationships with the school climate and, ultimately, the health of their organizations. School principals can benefit from knowing how and when to modify and adapt their authority behaviors and leadership styles in order to use effective leadership behaviors that will impact their campus in the most positive way. To this end, school leaders, under pressure to improve academic
performance, can use data related to their own leadership styles and organizational health to meet the needs of educational units in the most effective manner possible. Principals who understand and value the importance of maintaining a positive school climate and culture can effectively modify their leadership styles to incorporate leadership behaviors that positively influence academic success.

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Setting Sights on Campus Safety: The Possibility of Firearms on Campus and Campus Violence Prevention

Casey Graham Brown, Ph.D.
Texas A&M University-Commerce

PK-12 school leaders spend a sizeable amount of time discussing, facilitating, and contemplating school safety and security. University administrators do as well, although their discussion and contemplation in some states has been scattered with controversies of allowing weapons on university campuses. School administrators seek to keep weapons out; many university administrators do also, although the legislatures of multiple states have allowed their presence on university campuses.

Last year Texas legislators volleyed the issue of allowing guns on university property. I thus began to research costs. Let’s say they pass it, I pondered. How much does the typical handgun cost? How much is a holster? How much is a concealed handgun license (CHL)? How much is the preparation course for the CHL?

Many faculty members in multiple states, whether for or against permitting weapons on campus, have been obliged to entertain the prospect of multiple armed students in a classroom with an unarmed professor. The thought begets the question friend or foe? If an adverse situation arose, would students be against you? Or, might those armed lend you and others protection? Might someone accidentally discharge his or her weapon, causing harm rather than protection, the alleged goal of various bills? How would unarmed students feel sitting next to students who they know or suspect may be armed, and vice versa? Would students segregate themselves with handgun possession as the discriminating factor? Would classrooms need a sentinel stationed at the door? Would we begin to make the announcement at the beginning of class: Please silent your cell phone and engage the safety on your handgun. And faculty meetings. . .perhaps more tense with armed individuals? Would online courses become chosen more often, driven by fear? Imagine announcing a lack of merit pay, perhaps to a group of angry, weapon-carrying faculty? How preposterous my thoughts became!

Then the absurdity began to wear off. Faculty members sometimes walk to their vehicles very late at night, through often dark parking lots. We hear about tragic situations involving robbery, bodily injury, and even death. Would someone cause more violence in a bad situation on campus, presuming that the person on campus against whom he or she is perpetrating is armed, just because the victim had the right to be? Thoughts then turned to the Virginia Tech tragedy, then to the Alabama faculty member, allegedly denied tenure, who killed three colleagues during a department meeting.

How does the impending threat of possible danger affect a person? If I have a pocket knife in my purse does that threat bother you? Does a taser…a small pistol? Does a 9 mm? What if I carry a baseball bat? Does my feeling of safety trump yours? It began to remind me of issues of least restrictive environments—yours should not affect mine. Perhaps a student or professor decides

\[1\] Dr. Casey Graham Brown may be contacted at Casey_Brown@TAMU-Commerce.edu. Dr. Brown was President of TCPEA last year and instrumental in growth in subscriptions for the journal.
not to conceal, but to carry in the open—how does that affect others? Can a one-day concealed handgun course prepare a person for what he or she needs to know to handle and properly discharge (or not discharge) a weapon?

The presence of guns on university campuses begets a myriad of questions, many of which may never be able to be fully addressed. As faculty members we seek answers, particularly those pertaining to how university personnel can determine whether an armed person on campus means harm or good, whether an armed person knows how to handle the weapon, how to keep weapons off of campuses that do not allow them, and how to prevent and respond to crisis situations on all university campuses, whether or not they allow handguns.

**Guns in America**

Gun violence results in the loss of lives of thousands of people each day and impacts the lives of those who survive it. Those who cause gun violence destroy lives, devastate families, and contract “huge costs. . .in treating victims, supporting families, repairing infrastructure, prosecuting perpetrators, or as a result of lost productivity and investment” (Krug, Mercy, Dahlberg, & Zwi, 2002, p. 1083). According to Reich, Culross, and Behrman (2002),

> the lethality and widespread availability of guns have worsened youth violence in this country. Gun violence is a significant cause of death and injury among young people, and imposes serious psychological, economic, and social consequences on children, families, and communities. (p. 5)

**Gun Possession**

The gun debate is in full swing, just as it has been for many years. Scott (1994) cited the research of Kleck, a Florida State University criminologist, who found that “armed citizens were three times more successful at repelling an attack than unarmed ones” (para. 3). According to Scott, potential perpetrators are dissuaded from committing crimes when law-following citizens have guns available to them. In contrast, Hemenway and Vriniotis (2009) stated that,

> The opportunity for a law-abiding gun owner to use a gun in a socially desirable manner—against a criminal during the commission of a crime—will occur, for the average gun owner, perhaps once or never in a lifetime. . . .Other than self-defense, the use of a gun against another human is socially undesirable. Regular citizens with guns, who are sometimes tired, angry, drunk, or afraid, and who are not trained in dispute resolution, have lots of opportunities for inappropriate gun uses. People engage in innumerable annoying and somewhat hostile interactions with each other in the course of a lifetime. It should not be surprising that inappropriate, socially undesirable "self-defense" gun uses by people who believe they are law-abiding citizens outnumber the appropriate and socially beneficial use of guns. (p. 3)

Branas et al. (2009) studied the cases of 677 people shot during an assault (and 684 control participants) and found that those persons who possessed a gun were 4.46 times more likely to be shot during an assault that those persons not in possession of a gun. Further, “among gun assaults
where the victim had at least some chance to resist, this adjusted odds ratio increased to 5.45 ($p<.05$)” (para. 3). According to the Violence Prevention Center (2009), “the gun lobby has been successful at hiding the truth about crimes committed by concealed handgun permit holders by forcing most states to keep secret the identities of permit holders. As a result, until recently, the false claims made by pro-gun advocates regarding these ‘upstanding community leaders’ have been left unchallenged” (para. 3).

**Guns on Campus**

Some universities are debating whether or not to arm their campus security guards (Ahmed, 2009) while some states have decided to allow students and faculty, and staff to arm themselves. Just as guns have been disputed in the general public, their presence has also been debated at institutions of higher education. The University of Utah attempted to ban guns on its campus following a state gun-rights law, but the Utah Supreme Court ruled against the university (Shuppy, 2006). The university had contended that the law “hindered academic freedom and that its institutional autonomy under the Utah Constitution allowed it to enforce the ban” (para. 3).

The aftermath of the Virginia Tech tragedy led to a change in gun possession statistics, but perhaps a change that was surprising to some. Gun control changes in the year after the Virginia Tech shootings were examined in an article in *The Economist* (“Curbing Guns, But Not Too Much,” 2008). Applications for concealed handgun permits increased in Virginia by 73%. According to *The Economist*, the increase in applications, posited the gun-rights advocates, was as a result of the Virginia Tech tragedy.

Those in favor of gun-rights have stated that argue that lessening restrictions on guns could “enhance both individual and collective security on campus and may deter violence” while, on the contrary, “the vast majority of college administrators, law enforcement personnel and students maintain that allowing concealed weapons on campus will pose increased risks for students and faculty, will not deter future attacks, and will lead to confusion during emergency situations” (Harnisch, 2008, para. 1).

The gun-rights advocate group Students for Concealed Carry on Campus has argued that students with permits for guns should be allowed “the same right to carry on college campuses that they are currently afforded virtually everywhere else” (Harnisch, 2008, p. 3). The organization’s members maintain that university students and personnel should have the right to protect themselves when walking home, or to their vehicles late in areas that are unsafe (Harnisch). The organization further contended that concealed weapons would assist individuals if they had to protect themselves in a violent episode on campus and that the concealed weapons could, potentially deter campus attacks and lessen campus crime. Current regulations restricting firearms on campus have not deterred recent attacks, and some gun-rights advocates believe that would-be attackers might reconsider their actions if they knew students or faculty were allowed to possess weapons. (Harnisch, 2008, pp. 4-5)
In opposition, others have argued that guns may make students and faculty less safe and lead to disputes between individuals that resulted in gun violence. Another concern involves security personnel’s apprehension with campus faculty or students with CHLs “not trained or integrated into campus security plans” who may “escalate an already explosive situation further, accidentally cause harm or use a gun in a situation that is not warranted;” further, “police could mistake the attacker for an armed student or employee (or vice versa) during a situation in which failure to make quick, discernable judgments can be extraordinarily costly for all parties involved” (Harnisch, p. 5).

Ahmed (2009) wrote that a tragedy like Virginia Tech is atypical and that a handgun would probably not thwart or preclude a shooting, but posited that “other violent incidents, such as domestic disputes, calls with knives involved, and physical arguments are on the rise” and that “the possession of a lethal weapon by a campus public safety officer might be the only way to mitigate a large portion of those incidents where no other option is available” (para. 2).

**Violent Offenders**

How do campus police know whether someone is a potential perpetrator? Attempting to profile potential offenders is not unfailing, as “there are significant problems inherent in predicting violence, both to the institution and its students” (Redden, 2008, para. 4).

Perpetrators may be students, faculty, staff, or visitors; at the University of Alabama in Huntsville three faculty members were killed during a faculty meeting when a professor of biology started shooting (Gates, 2010). Three other university personnel were hurt in the shooting. In 2007, a student at Virginia Polytechnic Institute and State University went on a shooting spree that became one of the most lethal school shootings in the world. The shooter’s spree lasted approximately two-and-a-half hours and resulted in the deaths of 32 people (27 students and five faculty members) before he killed himself. Another 17 individuals were wounded, some from the shooter and others from jumping from a building in an attempt to escape being shot (Drysdale, Modzeleski, & Simons, 2010).

Historically, perpetrators have been of varied ethnicity, gender, socioeconomic class, and educational background. “A weapons violator may be a high school dropout or, as we have seen in several university shootings, may have a Ph.D or be working on one” (Dorn, 2006, para. 6). Therefore, steps must be taken to prevent and mitigate crises.

According to Dorm (2006), “what is consistent about those who carry a weapon unlawfully, particularly a firearm, is the presence of certain physical behaviors. In short, individuals who carry a gun do specific things we can observe because of the presence of the gun on their person” (para. 6). Dorn recommended visual weapons screening to campus staff. “Visual screening techniques have been used to recover thousands of firearms and other weapons and have averted a number of planned weapons assaults” (para. 4). The author recommended techniques such as looking for people walking unnaturally or uncomfortably, adjusting what appear to be weapons under clothing, people with sagging jackets, or people with unusual bulges or outlines in their clothing.
Prevention and Mitigation

Prevention is what institutions do to decrease the likelihood that an incident or crisis will occur (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010). Mitigation is action taken to eliminate or reduce the loss of life and property damage related to an event or crisis, particularly those that cannot be prevented (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010).

Following the Virginia Tech calamity, “many universities were confronted with the troubling reality that one person can, in a few brief moments, devastate a college community through an act of targeted violence” (Drysdale, Modzeleski, & Simons, 2010, p. 27). In an attempt to impede such perpetrators, universities have facilitated threat assessment teams. The teams,

1. Identify individuals, whose behavior causes concern or disruption on or off campus, affecting IHE members such as students, faculty, or other staff.
2. Assess whether the identified individual possesses the intent and ability to carry out an attack against the IHE or members of the IHE community, and if the individual has taken any steps to prepare for the attack.
3. Manage the threat posed by the individual, to include disrupting potential plans of attack, mitigating the risk, and implementing strategies to facilitate long-term resolution. (p. 27)

The teams face issues including: (1) identifying the specific behaviors that are suggestive of an attack against persons affiliated with an IHE (including students, faculty, and staff); (2) considering whether concerning, suicidal, or threatening behaviors are warning signs of a violent act; and (3) fostering a secure environment while simultaneously promoting academic freedom and creative expression, and protecting student privacy (Drysdale, Modzeleski, & Simons, p. 27).

Emergency Plans

Campus security personnel are scrutinizing their plans for campus security in an effort to improve university way to increase university safety. Fields (2009) posited that to create a useful plan “it is critical to document the...security mission and physical security objectives, in addition to equipment and technology to be used in securing the campus” and that “the security master plan must also take into consideration the impact and effect it will have on the population of the campus and the level of control needed to create a sense of security and safety by those working, visiting, living, and/or occupying space there” (Fields, para. 4).

Universities are required to address emergency procedures. The Clery Act compels all Title IV institutions to “have and disclose emergency response and evacuation procedures in response to a significant emergency or dangerous situation involving an immediate threat to the health or safety of students or employees occurring on the campus” (U.S. Department of Education, Office of Postsecondary Education, 2011, p. 97).

The U.S. Department of Education, Office of Safe and Drug-Free Schools (2010) proposed recommended steps for creating and employing an emergency management plan:

1. Get organized.
2. Identify hazards and conduct a risk assessment.
3. Develop or update the emergency management plan.
4. Adopt and implement the emergency management plan.

To get organized, universities should (1) build support by getting institutional commitment and leadership for emergency management work; (2) Identify, access, and use available resources, from both inside and outside the institution; (3) formulate a project organizational structure [that consists of an advisory committee, a planning team, a project manager, or other structural components; and (4) develop a project work plan that has tasks and milestones. As universities identify hazards, vulnerabilities, and threats, they should, 1) identify a vulnerability assessment tool, which assists an institution in the ongoing process of identifying and prioritizing risks; 2) identify and profile potential hazards, threats, and vulnerabilities; 3) assess vulnerabilities to potential hazards and the institution’s capabilities in responding to an event; 4) assess potential consequences and impacts of various emergency events; and 5) identify actions that can be taken to prevent, mitigate, or prepare for hazards and potential hazards.

Developing or updating the emergency management plan entails the following steps: (1) ensure that the plan incorporates the nine key principles in emergency management that contribute to a successful plan; (2) incorporate the results of work done in step 2, including identification of hazards, threats, and vulnerabilities through a risk assessment; and (3) address planning elements associated with each of the four phases of emergency management: Prevention and Mitigation, Preparedness, Response, and Recovery. As universities adopt and implement the emergency management plan they should (1) subject the draft plan to a thorough review and approval process; (2) communicate and distribute the plan in various forms (e.g., via the campus Web site, on posters in classrooms, in pull-out guides for specific audiences and responders) to a full range of involved parties; (3) test and practice the plan in training sessions, drills, and exercises; (4) implement action items related to prevention, mitigation, and preparedness; and (5) monitor and update the plan on an ongoing and regular basis, with assistance from after-action reports that are compiled following exercises and corrective action reports that are compiled following actual emergencies, and using lessons learned from both (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010).

Due to recent crimes and disasters, universities are reviewing safety systems and policies. Doing so necessitates university administrators “building support and conducting a thorough and systematic process to produce a quality plan to prepare for and manage emergencies on campus” (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010, p. 1).

**Campus Safety Programs**

When an emergency situation actually transpires, responders should assess what type of action is needed and respond within seconds. The ability to carry out a timely response requires a plan with clearly explained responsibilities and functions, as well as preparation and practice (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2003). The more than 4,000 United States higher education institutions has an obligation to “ensure the safety and general welfare of those on their campuses and to provide appropriate policies, procedures, and strategies
to maintain a safe campus” (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010, p. 1).

The parts of a satisfactory campus safety program include (1) strategic planning; (2) CEO participation; (3) risk and threat awareness; (4) emergency planning; (5) community policing philosophy; (6) professional staffing and training; (7) background checks; (8) professional networking; (9) crime data processing and sharing; and (10) adequate budgeting (McBride, 2011, para. 3).

**Training**

Swanson (2011) recommended that training be held regularly, be dynamic, and be designed well. “An effective campus active shooter plan will encompass communication between your institution and first responders, lockdown procedures and mass notification” (para. 2). Training can assist campus security to prepare to react in shooter situations, however “no security measures or products, regardless of how involved or sophisticated...can ensure protection against every possible threat. The sole intent...is to discourage a criminal or group of criminals from perpetrating an incident or crime” (Fields, 2009, para. 28).

**Response**

The authors of *Practical Information on Crisis Planning: A Guide for Schools and Communities* posited that despite the amount of time and effort spent planning for a crisis, there will always be an element of surprise and associated confusion when a school is confronted with a crisis (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2003). Response is defined as acting to successfully contain and resolve an emergency. During the response phase, university officials set the emergency management plan in motion. Emergency responses “vary greatly depending upon the severity, magnitude, duration, and intensity of the event...Effective response requires informed decision-making and identification of clear lines of decision authority” (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010, p. 12). A sample of response activities includes,

1. Activating the Incident Command System;
2. Dialoguing with first responders and other community partners (as articulated in memorandums of understanding [MOUs] or other formal agreements) to make informed decisions and deploy resources; and
3. Establishing an Emergency Operation Center (EOC).
4. Activating communication plans using multiple modalities (e.g., e-mail, text message, phone).
5. Determining and executing the appropriate response strategy.
6. Accounting for students, faculty, and staff.
7. Conducting an after-action report as a tool for modifying and improving the emergency management plan. (pp. 12-13)
The U.S. Department of Education, Office of Safe and Drug-Free Schools (2010) set forth nine key principals in emergency management for institutions of higher education (IHEs):

1. Effective emergency management begins with senior leadership on campus.
2. An IHE emergency management initiative requires partnerships and collaboration.
3. An IHE emergency management plan must adopt an “all-hazards” approach to account for the full range of hazards that threaten or may threaten the campus.
4. An IHE emergency management plan should use the four phases of emergency management to effectively prepare and respond to emergencies.
5. The IHE emergency management plan must be based on a comprehensive design, while also providing for staff, students, faculty, and visitors with special needs.
6. Campuses should engage in a comprehensive planning process that addresses the particular circumstances and environment of their institution.
7. An IHE should conduct trainings based on the institution’s prevention and preparedness efforts, prioritized threats, and issues highlighted from assessments.
8. Higher education institutions should conduct tabletop exercises prior to fully adopting and implementing the emergency management plan.
9. After adoption, disseminate information about the plan to students, staff, faculty, community partners, and families. (pp. 3-5)

The decision-making process at institutions of higher education can be lengthy and “hinder campus response to a crisis” (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010, p. 2) “therefore “the need for clear lines of authority and decision-making are all the more important at IHEs. Responsibility for developing, testing, and implementing an emergency management plan should be shared and communicated across all departments and functions” (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010, p. 2).

In the article 10 Years after 9/11: Is Campus Security Better? Gray (2011) found an apparent “lack of confidence. . .in healthcare and educational institutions’ abilities to respond to an active shooter or bomber incident;” 10% percent of those surveyed responded that they believed “their institutions would respond ineffectively or be completely unprepared to respond to a bomber. That percentage rises to 12 when respondents are asked about their institution’s ability to respond to active shooters” (p. 28). While examining whether campus security has improved after 9/11, Gray also found that,

Twelve percent. . .say their institution would respond ineffectively or be completely unprepared to respond to an active shooter, and another 9% say their campus would respond neither effectively nor ineffectively. . .K-12 respondents were the most confident that their institutions would handle these situations well. Eighty-six percent say their campuses would respond very or somewhat effectively. (p. 28)

Current Status of Guns on University Campuses

The year 2011 was a big year for both gun lobbyists and anti-gun lobbyists. In the year 2011, “twenty three states introduced some form of legislation that would have forced colleges and universities to allow students and/or faculty to carry guns on campus. There were however, two
setbacks in Mississippi and Wisconsin, where legislation was signed to allow the carrying of concealed weapons on certain parts of public campuses (among other public places)” (“Guns on Campus Fails in 15 States,” 2011, para. 1). According to Legal Community Against Violence (2011), in 2011, bills pertaining to guns on university campuses were defeated in Arkansas, Arizona, Idaho, Louisiana, Nebraska, New Mexico, Nevada, Tennessee, Texas, West Virginia, and Virginia.

The issue of guns on college campuses was expected to pass in Texas. The gun lobby is strong in Texas and guns “occupy a special place in Texas culture. Politicians often tout owning a gun as essential to being Texan. Concealed handgun license holders are allowed to skip the metal detectors that scan Capitol visitors for guns, knives and other contraband” (“Texas Poised to Pass Bill to Allow Guns on Campus,” 2011, para. 9). In Texas, “nearly everyone, including the press, felt that guns on campus would be a lock this time around” (“Guns on Campus Fails in 15 States,” 2011, para. 2). The measure was not passed in Texas, however.

Beginning November 1, 2011, individuals in Wisconsin may carry concealed weapons in public (with several venues excluded). A stipulation in the law allowing postings to prohibit weapons in buildings will be used by University of Wisconsin administrators to disallow weapons in university buildings and stadiums (Durhams, 2011). As of August 2011, eight states allow the concealed carry of a firearm by a permit holder; the District of Columbia and 20 statues prohibit it, and 22 states do not regulate it (Legal Community Against Violence, 2011).

**Implications and Conclusions**

An institution’s leadership is essential to the success of emergency management planning. Universities have distinctive characteristics with regard to emergency management, thus emergency management planning must be individualized to universities (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010). As places of learning, universities should exhibit “a spirit of learning and information sharing. . .in the emergency management planning process. . . .All institutions of higher education undoubtedly see their obligations in this critical endeavor” (U.S. Department of Education, Office of Safe and Drug-Free Schools, 2010, p. 57).

Compared to K-12 campuses, universities differ in physical composition; they often contain more buildings and have larger classrooms. K-12 students usually encounter the same school personnel and, generally, multiple personnel know where students are during the day. K-12 campus personnel often share information about students. Universities usually have departmentalized faculty and more open access. Students have more variable schedules than those in K-12 settings. University personnel are less likely to communicate with students’ parents and the students often must seek help on their own (Drysdale, Modzeleski, & Simons, 2010).

Both K-12 schools and universities are filled with people who care about others, who want to ensure the safety of students and faculty, and who want to increase student success and decrease apprehension. Students aspiring to school leadership positions should observe secure, prepared environments on their leadership preparation program campuses.
As we prepare students to enter multiple lines of work, including school leadership, we should serve as an example of high expectations for safety and security. Just as educational leadership faculty should model sound instructional techniques, universities can exhibit quality safety responses and prevention techniques that we would want to see our future school leaders utilize on their K-12 campuses.

References


Since effective professional development is logically embedded in the reality of schools and teachers’ work, it stands to reason that the principal would consider that reality for teachers of English language learners (ELL). Certainly, in general, professional development would incorporate principles of adult learning as reported by Knowles (1980): (1) adult learners need to be self-directed; (2) they display readiness to learn when they have a perceived need; and (3) they desire immediate application of new skills and knowledge. Based on adult learning theory, then, principals would provide teachers of ELLs professional development that addresses a need for self-direction, that addresses their particular needs, and that addresses the desire to apply what is learned. Time and created situations whereby teachers can dialogue with other teachers and principals can dialogue with other principals is critical for the effective application of the knowledge gained in professional development sessions and afterward as well.

Researchers of professional development have documented such things as teacher satisfaction, attitude change, or commitment to innovation rather than results of or successful processes of professional development (Desimone, 2009; Frechtling, Sharp, Carey, & Vaden-Kiernan, 1995; Guskey & Bailey, 2000). To be effective, professional development must be internally coherent, rigorous, related to the campus and district vision and mission and the teacher’s instructional goals, and it must be sustained over time (Little, 1993; Renyi, 1996; Sparks & Hirsch, 1997), and this is also the case specifically for teachers of ELLs in a recently-funded Institute of Education Sciences (IES) (R305P030032), a prior IES-funded longitudinal randomized trial study, Project English Language and Literacy Acquisition (ELLA) which yielded positive and strong evidence from a 4-year grade K-3 intervention in English language and literacy acquisition (ELLA) for ELLs in an urban school district that houses 66.9% Hispanic students, over 85% economically disadvantaged students, 32.2% ELLs, and 68.1% at-risk students. Through the 4-year study, we determined that high-quality professional development for teachers of ELLs refers to rigorous

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1 Dr. Beverly Irby may be contacted at edu_bid@shsu.edu. Dr. Irby was asked to serve as an Advisory Board Member during School Leadership Review's early years, an honor she retains to date.
and relevant content, strategies, and organizational supports that ensure the preparation and career-long development of teachers and principals whose competence, expectations and actions influence the teaching and learning of ELLs. The mission of the ELLA professional development was to prepare and support teachers and principals to help ELLs achieve high standards of learning and development. We operated on 5 principles of effective professional development for teachers of ELLs and those principles are depicted in Figure 1 and discussed afterward.

**Figure 1. Five principles of effective professional development for teachers of ELLs**

**Five Principles of Effective Professional Development for Teachers of ELLs**

1. Reflects best available research and practice related to teaching ELLs
2. Facilitates teachers’ development in subject-matter content, ESL/Bilingual teaching strategies, use of integrated technologies, and other essential elements in teaching standards-aligned curriculum;
3. Encourages teachers’ improvement in practice through inquiry
4. Involves substantial on-going time commitment on the part of the teachers and the developers;
5. Is assessed related to the impact on teacher effectiveness and ELLs’ learning, and this assessment guides subsequent professional development efforts.

These five principles are reflected in a consensus about some of the characteristics of professional development (content focus, active learning, coherence, duration, collective participation) that have been determined to be critical for increasing teacher knowledge and skills and improving practice, and which relate to increased student achievement (Hawley & Valli, 1999; Kennedy, 1998; Wilson & Berne, 1999). Similar to the ELLA principles for professional development for teachers of ELLs, Desimone (2009) proposed the following steps for professional development:

1. Teachers experience effective professional development.
2. The professional development increases teachers’ knowledge and skills and/or changes their attitudes and beliefs.
3. Teachers use their new knowledge and skills, attitudes, and beliefs to improve the content of their instruction or their approach to pedagogy, or both.
4. The instructional changes foster increased student learning. (p. 184)

**Principle #1. Effective Professional Development Reflects Best Available Research and Practice Related to Teaching ELLs**

Project ELLA’s professional development for teachers of ELLs was centered on scientifically-based instructional practices grounded in the latest research. In the Project ELLA professional development, there was a focus on the mastery of state academic and language standards for ELLs. Working over a 4-year time period with professional development at four grade levels, first, we identified of scientifically-based instructional practices for teaching ELLs.

The outcomes from the original Project ELLA are shown in the Framework in Figure 2. The ELLA Framework represents the basic structure of the original longitudinal intervention.
The longitudinal randomized trial study yielded strong evidence under the initial trial controlled conditions and indicated in Table 1.

Figure 2. ELLA framework

Noted in Figure 2, increased ELL student achievement occurred in a content-embedded literacy intervention when (1) curriculum was standards-aligned and inclusive of research-based ESL strategies of academic oral and written language with oral language practice conducted daily with academic language content from science was embedded; (2) there was increased time for structured English with science as the area of content for integration in all grade levels (from 45 minutes to 75 minutes in K, and 45 minutes to 90 minutes in 1-3 and struggling ELLS are provided increased time with structured tutorials; the way in which we were been able to increase time during ESL was that science was included during this time period as the supporting content area); (3) oral language was developed in K and Grade 1 (1.5 years) in which students were purposefully speech engaged and then students moved to the next levels of needed instruction indicated in d and e following; (4) Direct Instruction in reading occurred in Grades 1 and 2 (1.5 years) with science and social studies content imbedded; (5) content area reading in science was structured and expository text was used in Grade 3; and (6) consistent and targeted teacher professional development with self-assessment and reflection and monitoring.

Bi-monthly professional development workshops were provided to teachers of bilingual/ESL students, who as a routine matter must be fully certified and recognized as highly qualified by the state of Texas, with 6 hours per month as a component of the intervention. The ELLA Professional Development included prepared training sessions that were outlined and scripted,
Table 1. Evidence from Project ELLA to support ELLA Scale-up

<table>
<thead>
<tr>
<th>Study</th>
<th>Appears in</th>
<th>Grade level</th>
<th>Outcome measures</th>
<th>Statistical significance</th>
<th>Effect size</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Bilingual Research Journal (2009), 32(1), 77-100</td>
<td>K</td>
<td>WLPB-R Picture Vocabulary (PV), Listening Comprehension (LC)</td>
<td>ps &lt; .001</td>
<td>Cramer’s V = .18 (median)</td>
<td></td>
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<tr>
<td>3. Journal of Educational Research (in press)</td>
<td>K-1</td>
<td>CTOPP Blending Phonemes (BP), Segmenting Words (SW); WLPB-R PC, LC</td>
<td>p = .003</td>
<td>Partial eta squared = .11</td>
<td></td>
</tr>
<tr>
<td>4. Elementary School Journal (2010), 110(4), 542-566</td>
<td>K-1-2</td>
<td>BP, SW; PV, LC, Memory for Sentences, Oral Vocabulary; IPT; Letter Name, Letter Sound; DIBELS-Oral Reading Fluency</td>
<td>ps &lt; .05</td>
<td>Three level HLM (effect size is not appropriate)</td>
<td></td>
</tr>
<tr>
<td>5. Hispanic Journal of Behavior Sciences (2008), 30(4), 500-529</td>
<td>K-1-2</td>
<td>WLPB-R PV, LC, Comprehensive Test of Phonological Processing (CTOPP)</td>
<td>ps &lt; .05</td>
<td>Cohen’s d = .35 (median) Formula</td>
<td></td>
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<tr>
<td>6. Journal of Research in Reading (First published online Jan. 4, 2011; DOI: 10.1111/j.1467-9817.20100172.x)</td>
<td>K-1-2</td>
<td>Story grammar; PV, LC</td>
<td>ps &lt; .05</td>
<td>partial eta squared &gt; .59</td>
<td></td>
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<tr>
<td>7. TABE Journal (2010), J2(1), 1-42.</td>
<td>K-1-2</td>
<td>Texas Assessment of Knowledge and Skills (TAKS), PV, LC</td>
<td>p &gt; .05</td>
<td>R² = .132</td>
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along with video clips and training materials with the following activities: (1) reviewing and practicing upcoming lessons; (2) reflecting on and discussing student learning; (3) assessing pedagogical progress as a teacher in the intervention; (4) being instructed on the ESL strategies (for example, academic language scaffolding-visual, leveled questions, and total physical response and others as outlined in Table 2); (5) vocabulary building and fluency; (6) oral-language development and the importance of planned student talk with less teacher talk; (7) literacy development; (8) reading comprehension; (9) language of instruction clarifications in the bilingual classrooms; and (10) reflective practice via portfolio development.
<table>
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<th>Table 2. ELA ESL Strategies</th>
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<tr>
<td><strong>Kindergarten</strong></td>
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<tr>
<td>Interactive Read Aloud</td>
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<td>Preview/Review</td>
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<tr>
<td>Total Physical Response</td>
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<tr>
<td>Academic Language Scaffolding</td>
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<tr>
<td>Think Aloud</td>
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<td>Leveled Questioning</td>
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<tr>
<td>Word Wall</td>
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<td>Advanced Organizers</td>
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<td>Bridging</td>
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<td>Cloze</td>
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</table>

Primarily, we utilized the work of Herrell and Jordon (2008) for the ESL strategies. All teachers in Project ELLA experimental classrooms were required to attend the professional development sessions twice a month, and they each received a $3000 stipend. After the professional development sessions, the teachers were observed implementing the instruction learned from training, and they received feedback on the fidelity of the implementation. Project ELLA recorded data of student learning through an experimental design and via qualitative methodologies. Data collected during the implementation of the Project ELLA intervention further informed the teachers of ELLs of their instructional processes and the allowed us to discontinue ineffective practices. Principals are urged to apply such a professional development model based in research.

**Principle #2. Effective Professional Development Facilitates Teachers’ Development in Subject-Matter Content, ESL/Bilingual Teaching Strategies, Use of Integrated Technologies, and Other Essential Elements in Teaching Standards-Aligned Curriculum**

Much of the time, we have seen professional development focused on general topics such as gifted education, self-esteem, communication with parents, or math education. It hardly ever is individualized, planned, connected to the curriculum or the instructional needs of the teachers, subject matter, effective teaching strategies, or technology needs of the teachers, particularly of teacher of ELLs. It rarely connects teachers’ reflections on their practice and on their students’ achievement to professional development, and often the professional development we see is a one-time shot in the arm. There is no sustained effort to develop instructional knowledge and skills of the teachers that can ultimately lead to changed behaviors. Professional development is key in keeping teachers abreast of current issues in education, assisting them to implement new concepts or innovations, and improving their practice. Peery (2002) suggested that principals should nudge teachers into seeing their subject matter from students’ eyes.

Effective professional development for teachers of ELLs specifically should include (1) second-language acquisition theories; (2) integration of strategies that make content comprehensible while preserving its integrity; and (3) ongoing support through continued professional
development (Tong, et. al, 2008; Newman, 2010). Learning about how students acquire a second language helps teachers relate to their students and helps explain academic miscues of ELLs. Bowers et al. (2010) found that professional development opportunities provided by school districts influence the types of strategies teachers use in their classrooms; we found this to be true in Project ELLA as well.

**Principle #3. Effective Professional Development Encourages Teachers’ Improvement in Practice Through Inquiry**

Researchers of professional development for the majority of teachers have supported (1) determining how the newly learned instructional practice is implemented in the classroom; (2) specific guidelines and materials for initial implementation; and (3) ongoing peer coaching (Fullan, 1999; Glickman, 1993; Fullan & Hargreaves, 1992; Joyce, 1990; Sparks & Loucks-Horsley, 1992). Incorporating peer coaching into the professional development design dramatically increases the implementation of the content of the training (Joyce & Showers, 1988). In a previous investigation of teachers who participated in professional development workshops but did not receive follow-up peer coaching, it was found that only 10% implemented the instructional strategy (Florida Department of Education, 1999).

In ELLA, we provided professional coaches for the experimental teachers. These coaches observed lessons, worked with teachers providing feedback one-on-one and during the professional development sessions twice a month. Additionally, one teacher was selected to present upcoming portions of lessons to share with the group during professional development, and coaching and reflection was incorporated at that time as well. The continuous observation and feedback loop monthly was critical to the success of the students.

**Action Research**

Inquiry and improvement through applied action research conducted by teachers who want to study their own classroom to improve in their own situation (Little, 2001) was actualized in Project ELLA. In action research, the teacher was the decision maker, data collector, and information source in the research situated in the classroom and recorded in his/her professional portfolio. Action research is a continuous process of planned inquiry to determine the effects of the implementation of an instructional practice on the outcomes of the students in a classroom (Little, 2001). The following represent general components in action research: define problems, formulate research questions, plan and implement interventions, collect data, draw conclusions, and make changes accordingly. In the professional portfolio, the Brown and Irby (2000) Reflection Cycle was used—select, describe, analyze, appraise, transform. According to the Wisconsin Center for Education Research (2001), action research as a professional development experience, can have a significant effect on teaching and learning, and we observed that phenomenon among the ELLA teachers. The ELLA teachers gained confidence in delivering the interventions as they reflected on their practice through the action research; they enjoyed learning new techniques, and they were able to articulate their findings with their colleagues and the coaches. They used the work they did in their evaluation portfolios on their campuses with their principals.
Evaluation Portfolio

Some states, such as Texas, have developed a professional development and appraisal system (PDAS) for teachers. The Texas PDAS is comprised of eight domains and is aimed at advancing the level of teachers’ professional practice and promoting their continuous professional development (TEA, 1997). Principals can support teacher development by encouraging the inclusion of the teacher evaluation portfolio as an integral component of the PDAS or other like systems in various states. Just as our ELLA teachers were allowed to bring in their portfolios to their evaluations and share their findings from the classroom action research, it is recommended that this become a practice with all evaluations of teachers. According to Marcoux, Rodriguez, Brown, and Irby (2001), serving as a catalyst for revisions and modifications needed to improve the teacher’s pedagogy and subsequent students achievement, the teacher’s professional portfolio can (1) provide an organized and systematic vehicle for documentation and reflection in all eight domains in the PDAS; (2) demonstrate strengths and target areas for needed improvement; and (3) offer teachers ownership of their own evaluations. The ELLA teachers included artifacts and reflections on their coaches’ observations, their action research findings, parental involvement evidence from ELLA, and an ELLA teaching lesson. Other examples that are suggested for inclusion are: videotapes of lessons or lesson plans, certificates from workshops or staff development sessions, presentations to colleagues, and class newsletters or other examples that feature student achievement in the classroom or school (Brown & Irby, 1997).

The principal must understand that the ability for the teacher to self-evaluate and reflect upon experiences portrayed by selected artifacts that demonstrate actual teaching practices and highlight and demonstrate knowledge, skills, and attitudes of the teacher in relation to his/her work is key to the teacher portfolio process and teacher growth. As a teacher reflects on his/her practice, he/she is able to critically self-assess the impact of a particular lesson or strategy and clarify future goals and plans for professional development aimed at improved pedagogy. Use of the Reflection Cycle as indicated previously offered the ELLA teachers the structure for in-depth teacher reflection and furthered the action research process.

The portfolio evaluation process encourages collegial interaction among administrators and teachers, providing an avenue for two-way communication (Brogan, 1995; Brown & Irby, 2001). During the final evaluation conference, the ELLA teachers, while referring to concrete examples in their portfolios, shared with the principal areas of professional growth over the course of the specified school year, reflected on professional development goals that had been accomplished, and offered a transformative plan for new goals for the upcoming year. Accordingly, the principal sought clarification, gave feedback, and offered suggestions for setting professional growth goals. In this process, the principal became a part of the professional development process and empowered the ELLA teachers who then actually assumed the major responsibility for their own growth and development. Collectively, the ELLA teachers met and dialogued about their portfolios and research findings; in this instance, we concluded that the action research encapsulated in the portfolio, increased communication.
Principle #4. Effective Professional Development Involves Substantial On-Going Time Commitment on the Part of the Teachers and the Developers

In Project ELLA, we devoted time for planning professional development that was systemically connected to the ELLA curriculum and instructional needs of ELLs and the ELLA research targets. In the grant proposal, we advocated for funding to support professional development. We paid the teachers to attend the sessions a total of $3000 per year. In addition to the time devoted to planning, there was time devoted to observing the teachers and to providing feedback. Observation and feedback loops generally are not used in professional development due to the large time commitment and scheduling issues, but our research in ELLA indicate that these are time commitments worth doing in terms of the impact on ELLs learning. So, it is important, in any school budget, even in these hard times, for principals to consider from 3 to 10% of the school budget, and 25% of teachers’ and coaches’ time devoted to professional development inclusive of observation, dialogue, and feedback. Additionally, we found that on-going, consistent, and timely professional development was the most advantageous for teacher of ELLs.

Principle #5. Effective Professional Development is Assessed Related to the Impact on Teacher Effectiveness and ELLs’ Learning, and this Assessment Guides Subsequent Professional Development Efforts

Current research on professional development, which has shown that professional development must be embedded in teachers’ daily work to improve student learning, has led school boards and administrators across the country to evaluate the results of their investment in adult learning. The standards movement, along with the push to increase the use of data in educational decision making, has intensified the pressure on school administrators to prove that professional development is showing positive results. (Kelleher, 2003, p. 751).

Evaluating the professional development session through a survey at the end of the session is not sufficient; although that is the typical way in which professional development is evaluated. The issue is not how much the teacher’s liked the session; rather, the issue is what effect the professional development has on student learning (Richardson, 2000).

There may be those who believe that there is not a link between professional development and student improvements in achievement, and perhaps there are no links in the one-time shot in arm professional development. However, when we determined with the ELLA students that they were achieving at or above state or district standards in reading, we determined from the quantitative studies that the quality intervention worked and that within this intervention was professional development that was ongoing, sustained, and connected to the state curriculum standards.

According to the Iowa Association of School Boards (2003), a growing body of evidence indicates that teacher effectiveness is not fixed, and that when teachers of all experience levels learn powerful skills and methods to use with students in the classroom, student achievement increases. They suggested that to accomplish this end result, professional development must be (1) grounded in student need in an academic content area; (2) research-based; (3) collaborative
and ongoing; (4) embedded in the system; (5) built on effective training processes; (6) involve all administrative levels in support and planning; (7) connected to school improvement and aligned with the curriculum standards and assessed needs of the students, as well as the self-assessed needs of the teachers; and (8) monitored (effective professional development is monitored for implementation and results).

Conclusions

We have concluded, from the work we conducted in professional development within Project ELLA with teachers of ELLs, that principals first should plan a comprehensive, research-based, and on-going professional development strand for their teachers of ELLs. Careful and consistent planning is necessary. Second, they are encouraged to provide resources, including time and money, and to include “time for teachers to reflect upon and participate in a dialogue about their practice” (Lunenburg & Irby, 2006, p. 121). Third, it is also incumbent upon principals to provide coaches for the teachers of ELLs who are knowledgeable of the field and who can offer feedback on a consistent basis with respect to their individual and collective needs. Fourth, the professional development delivered to ELLA was connected and imbedded in the research goals of the project and the intervention; thus, the lesson learned there for principals is that when they plan professional development, it should be connected with the state standards, the local curriculum, the assessments, and the campus plan. ELLA teachers, via the successful professional development model and following the principles outlined, increased interest in their work, reflected for improved practice, and increased their commitment to the intervention for the success of their English language learning students. With such a model, principals focus their efforts to raise the quality of professional development on their campuses so that teachers of ELLs receive the maximum benefit toward improving their practice.

References


International Partnerships: A Model for Educational Organizations

Wesley D. Hickey, Ed.D.¹
The University of Texas at Tyler

Janice M. Achtem, Ph.D.
Willows Elementary School at Victoria, British Columbia

Joyce Nunor, Ph.D.
Baylor University

Opportunities exist for faculty and students within educational leadership preparation programs to participate in international initiatives within developing countries. One way to do this is through collaboration with organizations that already have an established presence in the country. Working within these organizations provides opportunities for learning and research for the educational leadership program. If done well, such work also helps host organizations meet their mission and goals. An understanding of effective behaviors in international partnerships may benefit educational leadership programs that develop these types of service opportunities. The behaviors mirror the scholar-practitioner philosophy, of which some prominent educational leadership programs adhere, through addressing pragmatic needs within a local context.

International development can be powerful, yet precarious, complex and full of potential pitfalls. Service that has as its objective systemic cooperative benefits must be professional, humanistic and respectful; making a lasting impression and leading to sustainability. The support should be about building strong relationships with people and of genuine use to the people that are being served. It should grow organically and build on existing knowledge (Black, 2002). If not properly planned, however, well-meaning international efforts, specifically in the field of education, can be detrimental.

Crossley (2001) suggested that some educational efforts neglect the impact of local cultures in strategic planning. He stated, “Too often internationally inspired educational innovations fail because they are not well fitted to the local context in which they are to operate, and to real needs, values, and priorities” (p. 226-227). This is a significant challenge for organizations working to create positive change in a foreign country. These organizations dedicate financial and human resources with the intent to improve local conditions. However, without a contextual understanding changes introduced may fail to be incorporated systemically, or worse, increase conflict due to lack of cultural awareness. Groups attempting to introduce educational improvement strategies in another culture must be cognizant of where and how they are doing their work. They must understand the culture in which they are working, including how the people live, work, and learn.

Contextual understanding, along with imperatives of social justice and democracy, are foundational factors of scholar-practitioner leadership (Jenlink, 2005), as well as desired outcomes in any educational initiative. This suggests that a scholar-practitioner approach may be

¹ Dr. Wes Hickey may be contacted at WHickey@uttyler.edu. Dr. Hickey served as the third Co-Editor for School Leadership Review.
one beneficial element to include in a systemic plan for international educational partnerships. The purpose of this study was to examine educational improvement initiatives using international partnerships. The researchers used personal experience in working as international partners in the Toledo District of Belize to provide a reference for effective behaviors. This exploration contributes to a model for international organizations to use in improving educational opportunities within developing countries, which in turn could further the efforts of educational leadership programs as they develop global initiatives.

**Lessons from International Partnerships**

International partnerships are common in higher education, and lessons from these initiatives suggest strategies for systemic change in developing schools. Amey (2010) asserts that any lasting change that comes from international partnerships must be embedded in the culture of the local institution. Failure to take into account the cultural expectations of the institution in creating cooperative strategies for improvement may limit the systemic impact.

Development of a cooperative environment with shared expectations among local leaders and international partners requires consistent communication. Even minor program changes can create problems with effective administration of partnership initiatives. Jie (2010) relates this problem in the following statement:

> Partner institutions should constantly revisit their expectations for collaboration to ensure a shared understanding around potential outcomes and preferred strategies. In doing so, they may find nuance differences between how the partners perceive these shared goals, even if they use similar rhetoric. Leaders and involved staff members should attend to these issues through tactful and open communication, yet be direct and specific. (p. 53)

This type of communication requires a concerted effort to maintain relationships throughout the partnership. A nuanced understanding can only occur through ongoing efforts to balance power and is unlikely to be developed through a one-time service initiative.

The influence of this service may also increase factors related to social justice. Al-Kazi (2011) has stated that international partnerships have assisted in increasing the power of women in Kuwait. Other partnerships have done the same with women in India (Razvi & Roth, 2010) through influencing traditional expectations within the workforce. This research suggested that international partnerships may be able to assist marginalized groups in developing a democratic voice.

Improvement of democracy and social justice among those who are marginalized is one goal of scholar-practitioner leadership (Jenlink, 2005). Educational administrators often take a scholar-practitioner approach to domestic issues (Gale 2010; Starratt, 2010), but the characteristics mirror many of the needs within international partnerships. These include using pragmatic contextual research-based strategies for organizational improvement within a democratic imperative.
Scholar-Practitioner Leadership

Scholar-practitioner leadership assists schools through placing emphasis on the importance of context (Horn, Conway, & Williams, 2007). This addresses the concerns of Crossley (2001) regarding the need to understand the local culture, but this leadership addresses other factors important for systemic change in any organization. Scholar-practitioner leadership, at its foundation, is more than a style; it is a philosophy (Bourgeois, 2010).

Scholar-practitioners are influenced by scholarship (Hickey, Gill, & Brown, 2011) that often comes in the form of action research. Many researchers strive to conduct studies that can be generalized to larger populations; however this is not a primary consideration within the philosophy of the scholar-practitioner. Action research is valued at least as much as the decontextualized studies with generalizable results. The reason action research is valuable is because of its narrow focus on specific problems within the organization (Smith, 2010; Somekh & Zeichner, 2009).

This narrowly focused research provides data for organizational improvement within the context measured. The scholar-practitioner views research primarily as a method for local improvement. This data is important because each organization has unique challenges that may require creative pragmatic solutions that are not evident in a more global approach (Thompson, 2010).

A scholar-practitioner will use the data derived from action research to assist locals in finding solutions for their own problems. This involvement is foundational for international partnerships. Effective international development projects are participatory in nature. Listening respectively and making sure the local people are involved in the planning, designing and assessment of any development project that involves them or their people is critical. A genuine partnership must exist for ultimate change to occur and a project to achieve success. Such participatory projects can fall into two categories - as a means or as an end. Claever (2002) suggested that participatory development as a means can be seen as a tool for achievement. As an end, it is seen as a process which enables people to improve their lives and the lives of others. Participation as a means is a short term project where locals’ involvement in the process often dissipates when outsiders depart. Parfitt (2004) agreed, especially where power relations were concerned. The notion of the powerful and the powerless stays intact when participation is used as a means; no different from traditional top-down models of development (Parfitt, 2004). When considering participation as an end, Parfitt pointed out that there is a transformation in these power relations between the outsiders and the insiders, enabling the locals to feel empowered and liberated. Freire (2003) suggested this liberation of the oppressed, from the oppressors, as critical in the emancipatory approach to development. This placement of power has always plagued the international development scene, especially when using the participatory approach. When one group feels less powerful than the other, a genuine partnership is difficult to create. Power is actually a negative influence in this case and should, if possible, be removed from the development arena.

Participatory action research is a process by which people influence decisions affecting them. Hall (2001) defines participatory research and development as a process integrating social investigation, education and action – all geared toward supporting organizational or community
settings. Potentially powerful, this approach can include people’s involvement in decision-making processes, in implementing and evaluation the programs as well as in sharing in the benefits of the programs developed. A further goal is to enable people to present, share, analyze and augment their knowledge as the start of a process – enhancing the knowledge and competence of participants, making them more likely to sustain the development action (Williams, 2004). Participatory development looks intimately at the role of knowledge and learning. It is about whose knowledge counts, creating information for social change, recognizing indigenous and ancient knowledge and learning to be allies (Hall, 2001).

Participatory development is society-centered (Pieterse, 2001), as well as democratic and people-centered (Burkey, 1993; Brohman, 1996; Carmen, 1996; Maser, 1997; Ife, 2002). It encourages local people to be actively involved in the process of development (Black, 2002). It aims not to extract local knowledge for analysis elsewhere, but to mobilize indigenous capacities for the self-management of projects (Chambers, 1994).

Although the perceived power of one over the other may never be erased, outsiders must not be discouraged from working with insiders in the developing world. It does propose, however, that outsiders become educated before commencing such work. If they fail to do so, the risk of inadvertently further oppressing the already marginalized strongly exists. Effective work by outside organizations amounts to more than just consulting locals or encouraging their input. It requires a shift in thinking of those coming from the outside.

International assistance that fails to develop into a partnership creates the undeniable contention that those providing assistance possess the power and control. It could be argued that although many countries have benefited from this type of assistance, the imbalance of power has forever plagued the insider/outsider relationship. In addition, many outsiders engage in the process without being well informed about the cultural contexts in which the support is directed, resulting in less than successful programs.

The scholar-practitioner strives to tip the power balance in favor of the insiders. Insiders must no longer be the passive receptors of outsider programs but design their own initiatives. Outsiders may provide service to support the changes, but they must work within the context provided. Ultimately, a genuine partnership supports the planning of local stakeholders.

**Lessons from an Educational International Partnership in the Toledo District**

Belize is a recently independent developing country with a long history of international development assistance. Belize is attractive to many organizations in both Canada and United States as it is relatively close in proximity, English speaking and tropical. Over the years, outsiders have worked in many arenas, including education, to help improve programs and increase human capacity. Historically, Belize has accepted most international educational assistance without regard to the potential efficacy of the initiative. This is potentially problematic and suggests that educational leaders in the country need to carefully examine and select organizations wishing to work in their districts and design ways in which they can assist with issues specific to the schools and its communities.
The educational assistance offered in the Toledo District has been considered by locals as important, in part, due to the material resources that are often connected to such projects. The Toledo District of Belize is the poorest in the country with most families in villages relying on subsistence farming for survival. The population of these villages is mostly Mayan, which makes up 75% of the region (Richardson, 2007). Despite its natural beauty, the district of Toledo is the least developed of all the districts and has been plagued by chronic poverty for a variety of reasons, including lack of education and infrastructure. The majority of its population still relies on kerosene and lives in thatch-roofed huts, while most other Belizeans use electricity and live in concrete homes (Teachers for a Better Belize, 2009).

In 1997, the district of Toledo in southern Belize entered into a partnership with a small non-governmental organization called Teachers for a Better Belize (TFABB). This partnership of volunteer educators from North America and Belize coordinated teacher education workshops and distributed school supplies in the Toledo District of Belize. The initial goal was to equip Toledo’s primary school teachers with the education and supplies needed to help their students achieve educational success. In 2000, Belize’s Permanent Secretary of Education visited the workshop and proclaimed it a model for the other regions of Belize.

Throughout its twelve year history TFABB has carefully considered its role as an outsider in Toledo, learning how to be most effective in the insider’s world. Members of TFABB readily admit they were challenged with this in the infancy of their work. By presenting pre-packaged material to the local teachers during the first few years of their efforts (roughly 1997-2000), they failed to engage the participants in the preparation, implementation and evaluation of their projects. Much knowledge was simply transferred from the outsider (North American volunteer) to the insider (local teacher in Toledo). Kanu (2005) and Zajda (2004) cautioned against this type of action, where transferring of educational ideas and practices to developing countries is done without taking into consideration factors such as the traditional beliefs and cultural values. This early methodology employed by TFABB was top-down in nature and resulted in workshop audiences filled with relatively passive local teachers.

Through repeated trips to the country, members of TFABB learned more about Toledo and its people. They realized that to be more effective, they needed to enlist the local teachers into the education efforts. It was one thing to read about a place and learn about its culture, but to spend three consecutive summers in the region attempting to facilitate teacher workshops was quite another. Interacting and communicating with the educators in their rural communities was very different than reading about their education system on a comfortable couch in the United States. Local Belizean teachers working with TFABB, for example, were highly skilled at “thinking on their feet” and were able to make connections between material presented and the real world of a Belizean classroom. They would often “re-word” ideas presented to make them more meaningful and relevant for the participants.

The local teachers’ confidence grew as they participated more fully each year. Specific, abundant and valid local knowledge that teachers brought to the planning process each year was considered a necessary ingredient in the relationship. With the local teachers taking a more significant leadership role, a true partnership was realized as well as perceived by the workshop participants. Local teachers could see that individuals from their own communities could indeed
take leadership roles in facilitating a successful workshop. The in-depth knowledge of the local education system and student population that Belizean leaders brought to the workshop was essential. Providing opportunities for local educators to become actively involved in their own professional development helped them to take ownership in the process. Local teachers continued to provide the critical and much needed link to the insider’s world, rarely visible to the outsider’s eye. For example, local teachers’ concerns centered on: the role of management, the lack of professional autonomy, language issues, multi-grade teaching, planning and limited supplies. Also of interest were the rudimentary requests of the teachers relating to the format of the workshops such as: longer breaks, free lunches, earlier dismissal, and transportation to and from their villages, all indicative of their priorities and the way in which they view their world. Despite their desire to attend the workshop and learn something they could take back to their classrooms, of greater importance was that they would be fed a decent lunch, have some time to relax and talk to colleagues and be able to get home in time for an evening meal with their family.

A Model for International Educational Partnerships

This model for effective international educational partnerships accounts for previous literature and the authors’ personal experiences. There are characteristics that include parallels with the scholar-practitioner philosophy of educational leadership. The characteristics of the model include understanding context, building relationships, evaluating effectiveness, and assisting locals in moving toward autonomy. This model is an open system that interacts as a whole, and as such, has blurred boundaries of influence (Johnson, 2007).

Understanding Context

The need for understanding local context and culture was a common theme throughout the manuscript. Simply put, understanding the subtle cultural meanings allow any outsider to work more effectively with locals. Insiders understand context better than any outsider. Partners should be active listeners in the dialogue regarding needs and approaches to educational change. This communication helps visitors to gain a deeper understanding of the cultural context within which they are working. Ultimate decisions, however, should be deferred to the insider leaders who will be working in the school after the international partners are gone.

Outsiders within the international partnerships can increase their contextual understanding of the region through additional methods. First, arriving early may provide the outsider some time to acclimate to this new environment. Spending time with the locals, observing their customs, and initiating respectful dialogue all have roles in cultural understanding. This process can be assisted by traveling with experienced outsiders. These individuals may be able to provide information that allows the novice partner to avoid cultural faux pas.

Arriving early and spending time with those who have been in the country are initial steps to increasing contextual and cultural knowledge, but partnerships are not developed in single trips. Anyone who wants to create authentic international partnerships must be willing to be involved over time. Becoming one of the experienced visitors ensures a better understanding of the local
region, as well as provides the opportunity to build upon relationships vital for creating influence.

**Building Trusting Relationships**

Building trusting relationships is the primary factor in developing a contextual understanding of the local school and community culture. As stated previously, such relationships are not built through a one-time initiative but by commitments to ongoing support. As relationships are built, a contextual understanding of educational needs improve. In addition, strong relationships set the tone for better communication.

Communication occurs through personal visits, both formal and informal, to local teachers and leaders while in the country. Traveling to the surrounding rural areas to meet with administrators sends a signal of personal and professional concern. There are no shortcuts to building these relationships. Partnerships cannot be effective among strangers. A strong level of trust must be developed through collaborative efforts at communication.

Communication in international partnerships is the foundation for strong relationships and leads to the ability to plan collaboratively. The outsider must be supportive of the needs of the insider and allow for local decision making. This helps with trust. Furthermore, trust is built when promises are kept. Outsiders must be aware of their role in any plans and follow through with the agreement. Even small promises build upon this level of trust. Outsiders must do what they say they will do. In the case of international partnerships, the burden is on the outside partner to go above and beyond in all efforts to follow through on commitments and to communicate clearly.

**Evaluating Effectiveness**

Planning for systemic change includes the use of generalizable scholarship in educational reform, but also takes into account pragmatic solutions related to the specific school. Evaluating effectiveness at increasing student achievement is unique to the school and the foundational behaviors in this model of understanding context and building relationships is key. This becomes a form of action research.

Participatory action research, in the spirit of scholar-practitioner leadership, embeds the evaluation into the imperatives of increased social justice and democracy. It provides a voice to all students as processes of marginalization are critically examined. The researchers do not behave as impartial observers on the fringes but as change agents that use their role to examine and influence the balance of power.

This action research provides information regarding an ever-changing open system that is being influenced by multiple stakeholders, including the partnership. In the spirit of Collins and Porras’ (2001) hedgehog concept where organizations protect their mission, the research helps keep the school focused on the vital components related to student achievement.
Promoting Local Autonomy

Individuals who become part of a partnership, including those within educational administration programs, have a desire to make a difference. This often makes it difficult to avoid professional involvement using the authority that comes with advanced education and years of practical experience. However, it is improper behavior and is likely to damage relationships for the outsider to take on the role of the authority figure. The balance of power must lean to those who make a difference on a daily basis – the local teachers and administrators.

This may sometimes be difficult because the locals are accustomed to deferring some decisions to outside “experts”. Stepping out of the forefront and encouraging locals to become actively involved in all aspects of any educational change has the greatest influence. This starts with any decision related to the school. Communication regarding strategic approaches to school improvement must be decided by the local stakeholders. A lack of local ownership regarding planning ensures failure regarding the educational initiative.

Discussion

Groups of well-intentioned individuals come to Belize every year to assist the local people with a variety of projects related to education. They spend little, if any, time learning about the country before they arrive and often come with preconceived ideas about what will and will not be effective in the area they are planning to work (Achterm, 2010). In order to be effective, outsiders must be more than just “well meaning” transmitters of knowledge. They must work alongside local people to gain a deeper understanding of the culture in which they are working. Black (2002) captured the essence of development assistance by claiming that it is something done with someone and not to someone. Top down projects emphasizing expert and novice relationships will do little good in developing countries. Instead, respectful and trusting relationships involving genuine partnerships should be the goal. Although paramount, building such relationships among all parties in a development project can be challenging and does not happen overnight (Heffernan & Poole, 2005) it is necessary for long-term success.

Outside organizations must be cautioned against believing they are entering a country to “fix” something and should not operate from a place of power and control. Those who work to prepare individuals to volunteer internationally would benefit from encouraging their volunteers to tap into the relevant local knowledge that already exists and realize that each person involved in the process brings necessary knowledge to the development table (Achterm, 2010). Including the local people in development projects is the basic premise behind the international partnership model.

International partnerships are fundamentally about power. Global initiatives that assist developing countries must recognize their role as visitors. Interactions must not be based on the outside coming is as the authority seeking to save the country but as true partners who take into account the importance of local power and influence. There are important resources, both physical and intellectual, that an international partner may provide in an educational initiative. Such outsiders must, however, understand that local autonomy is imperative.
The global initiatives at many universities are increasing international service opportunities, including those within educational leadership programs. These opportunities may provide greater benefits to developing countries if they are imbedded within existing partnerships. This suggestion emerges from the model presented. The importance of context and relationships cannot be ignored. International studies and leadership literature consistently align these factors with success in any initiative. Working in collaboration with an agency or organization that already has an established presence in the foreign country can provide access to local leaders until consistent involvement can aid in the development of personal relationships for the educational leadership program.

This personal involvement in the educational outcomes of the partnership is a part of participatory action research within scholar-practitioner leadership. Scholar-practitioners participate in the research with a desire to influence outcomes toward greater social justice. The qualitative and quantitative data assist leaders in understanding the influence of initiatives. This data assists in understanding where desired objectives are not being met, and may provide leaders with the information needed to plan for pragmatic solutions.

These solutions will be more effective if they are the result of insider planning. The partnership should be service-oriented and lead toward insider autonomy. The teachers and administrators in many developing countries are accustomed to some level of international assistance, and this can be beneficial if carried out in a thoughtful and supportive manner. Partnerships that do not focus on context and building relationships are often harmful, largely due to the power imbalance. However, if international partners focus on service that addresses the needs of the region, as perceived by the locals and supportive of their autonomy, it can influence lasting systemic change.

References


Teachers for a Better Belize (TFABB) is a partnership of educators from North America and Belize who volunteer their time to improve the training of teachers and the education of children in the rural Toledo district of Belize. TFABB aids Toledo's primary-school teachers and principals with training, supplies, and facilities required to help their students achieve academic success and escape poverty. Toledo, in southernmost Belize, is the least populated and most remote area in Belize. In the 2007 midyear population estimate, Toledo had a population of 29,700 which included at least five distinct ethnic groups who have settled in Southern Belize. Punta Gorda, the largest town in the area, consists of many cultures, however, 64% of the population in the Toledo District is made up of the Mopan and Kekchi Mayas living in over 30 different villages (Statistical Institute of Belize, 2008). According to findings from the September 2007 Labour Force Survey, the unemployment rate in Toledo was 16.4%. This was the highest unemployment rate in the country. The rate among women in Toledo was even higher with one third (33.8%) of females in the labor force unemployed. Almost one fourth of youth were unemployed (24%) (Statistical Institute of Belize, 2008).

The high unemployment rate, multiple cultures and highly rural area provide the context within which the primary schools of Toledo exist. Most schools are set in small villages some of which are remote and difficult to reach. These schools are frequently small with teachers being asked to teach 2, 3 or even 4 grades in one room. Principals typically teach full time as well as serving as the school leader. Teachers for a Better Belize characterizes the education in the area as:

below that in other parts of the country. While 42 percent of all primary teachers in Belize are fully trained, only 24 percent of Toledo’s 296 primary teachers have received full training. Over half of Toledo’s primary teachers have no schooling or training beyond high school. Overall, Toledo’s teachers face onerous conditions, including multi-grade classrooms (several grade levels in one room) and few supplies (TFABB, 2008).

Currently, there are 49 primary schools in Toledo. In general, the schools are sponsored by three groups: Roman Catholic Church, Methodist Church, and Belize government. The government provides salary support for all schools but each sponsoring group has a District Manager that oversees the operation of the schools. This District Manager appoints teachers and principals to the individual campuses. Each of these managers joined the partnership with TFABB to build teacher capacity in language arts.

\[\text{Dr. Peggy Gill may be contacted at pgill@uttyler.edu. Dr. Gill was the third Co-Editor for School Leadership Review.}\]
Purpose of the Study

The purpose of this study was to examine a three year teacher training plan at the end of the second year and identify ways to strengthen and/or improve the plan. For the past two years, Teachers for a Better Belize (TFABB) in partnership with the district educational managers in Toledo designed a plan to build primary school teacher capacity for teaching literacy in rural Belize. The goal was to introduce the Balanced Literacy approach which integrates reading and writing. This plan included three days of training each year in the summer for 20 Belizean teachers who would serve as coaches during the academic year, a week of intense training each summer for all primary school teachers in Toledo District, and three follow up days of training each year (tentatively scheduled for October, February, and May during the academic year) planned and led by the Belizean coaches. This general outline would continue for each of the three years of the project.

Evaluation Model

Evaluation of the TFABB plan will use an ecological approach. An ecological model of school evaluation considers schools and their programs as living systems that co-evolve with societal ecologies. Schools cannot be understood without understanding the environment or larger social contexts in which they are embedded (Anderson, 2004). This perspective views all participants and events in the program in the context of mutual interaction and mutual influence. Rather than examining individuals and elements in isolation, we look to their relationship and how each interacts with and influences the other (Becvar & Becvar, 2003).

An ecological model of program evaluation situates the TFABB program (microsystem) within the context of the school, the village, Toledo District, and Belize. In the ecological model every system is embedded or nested within another system or systems which recursively influence each other. The ecological approach to evaluation allows us to explore and describe the embeddedness of the program as it is nested within the larger context. This gives us a better understanding of how changes in the larger systems lead to reformation of the goals, assessments, feedback and system response features of the program. If we see the evolutionary nature of all systems, we are not overwhelmed by the sense of “constant change” but see the inevitability of growth and development. The TFABB program and Toledo schools will not be seen as static but rather always in flux as we seek to improve.

The purposes and boundaries of a program’s evaluation emerge from examination of the relationships and mutual interdependence of the program with the local school, governmental and social policy, societal expectations, and the overall culture within which the school exists. The ecological model generates insights into ways of knowing and reasoning that empower us to pursue the types of information needed to generate a vibrant teacher training program that is both responsive to the observed needs and engaged in influencing the future of education and therefore society. (Banathy, 1996).
Program Goals as Boundaries of the Evaluation

TFABB identifies reading and writing (language arts) as essential to success in primary school. The identified goal of the TFABB 3-year program is to increase the capacity of primary teachers in Toledo District to successfully teach language arts. This establishes the boundary within which the TFABB plan will operate. Three overarching objectives delineate this boundary. TFABB seeks to (1) train teachers in best practice in reading instruction; (2) train teachers in best practice in writing instruction; and (3) Develop local teachers/principals to serve as literacy coaches.

The mid-plan questions include:

1. With which aspects of the approach are the teachers most comfortable?
2. What are the primary concerns of the principals about the approach?
3. Is there evidence of success in terms of teacher adoption of the program and student outcome?
4. How has the context of implementation altered the plan and are other changes needed?

Data Sources

Data collected include classroom visits/observations by TFABB volunteers and partners, teacher evaluations of TFABB training, student performance on the state assessment in Language Arts, and the Stages of Concern Questionnaire (SoCQ). The qualitative data sources, classroom visits and teacher evaluations (open-ended questions) provided contextual detail for the SoCQ and the student performance in Language Arts on the state assessment.

Mid Plan Question 1: With which Aspects of the Approach do the Teachers Feel Most Comfortable?

On the final day of training in the August, 2008 workshop, all participants were asked to fill out an evaluation form. Teachers were divided into training groups by level of instruction. Infant I teachers are generally equivalent to kindergarten teachers in U.S. classrooms. Infant II is equivalent to first grade, Standard I to second grade, Standard II to third grade. Standard III to fourth grade, Standard IV to fifth grade, Standard V to sixth grade, and Standard VI to seventh grade. Infant I and II have the largest number of teachers so these two groups were provided with individual training sessions, however all other training groups contained two teaching levels. To encourage participants to complete this form, classroom materials were provided to each participant who turned in the form. Participants returned 198 complete forms. Three fourths of the participants found the training very useful and over 96% found the training useful or very useful. (See Table 1. Was the training useful to you?).

Week-long workshops were given in summer, 2006, summer, 2007, and summer 2008. Each workshop presented the components of Balanced Literacy to the primary school teachers and principals. Before this training, the teachers had not been exposed to Balanced Literacy. After the summer 2008 workshop, participants were asked to indicate which components of Balanced Literacy they understood in terms of how children learn to read and write (Table 2 Teachers Who
Understand How to Use Balanced Literacy Reading Approaches. Shared reading was identified by 80.8% of the participants and was rated the highest in terms of teacher understanding. The

Table 1. Was the training useful to you?

<table>
<thead>
<tr>
<th>Teaching Unit</th>
<th>n</th>
<th>Very Useful</th>
<th>Useful</th>
<th>Somewhat Useful</th>
<th>Not Useful</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infant I and II</td>
<td>74</td>
<td>59</td>
<td>15</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Standard I and II</td>
<td>42</td>
<td>32</td>
<td>7</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>Standard III and IV</td>
<td>39</td>
<td>28</td>
<td>8</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>Standard V and IV</td>
<td>52</td>
<td>39</td>
<td>12</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>148</td>
<td>42</td>
<td>7</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Table 2. Teachers Who Understand How to Use Balanced Literacy Reading Approaches

<table>
<thead>
<tr>
<th>Teaching Unit</th>
<th>n</th>
<th>Traditional Read Aloud</th>
<th>Interactive Read Aloud</th>
<th>Shared Reading</th>
<th>Mini Lesson</th>
<th>6+1 Instruction</th>
<th>Student Journal</th>
<th>Word Wall</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infant I and II</td>
<td>77</td>
<td>30</td>
<td>27</td>
<td>28</td>
<td>22</td>
<td>26</td>
<td>27</td>
<td>27</td>
</tr>
<tr>
<td>Standard I and II</td>
<td>39</td>
<td>37</td>
<td>40</td>
<td>46</td>
<td>41</td>
<td>33</td>
<td>33</td>
<td>36</td>
</tr>
<tr>
<td>Standard III and IV</td>
<td>43</td>
<td>33</td>
<td>31</td>
<td>28</td>
<td>23</td>
<td>26</td>
<td>19</td>
<td>27</td>
</tr>
<tr>
<td>Standard V and VI</td>
<td>43</td>
<td>25</td>
<td>31</td>
<td>27</td>
<td>23</td>
<td>20</td>
<td>25</td>
<td>22</td>
</tr>
<tr>
<td>Total</td>
<td>139</td>
<td>154</td>
<td>126</td>
<td>123</td>
<td>123</td>
<td>123</td>
<td>120</td>
<td>129</td>
</tr>
</tbody>
</table>

second highest component in terms of participant knowledge was interactive read aloud with 80.3% indicating they understood this approach. Just over 70% of participants understood the traditional read aloud and the word wall. Understanding how mini lesson, 6+1 writing traits, and student writing notebook were all understood in terms of how children learn to read and write by just over 60% of the participants. It appears that most teachers feel they understand the components of Balanced Literacy. Shared reading and interactive read aloud, the components best understood, are most closely aligned with the traditional language arts instruction prior to training in Balanced Literacy. The traditional approach included choral reading and engaging the students by reading to them as the primary approaches, so teachers may feel shared reading (while certainly not choral reading) and interactive read aloud may be closer to their comfort level. In general, teachers believe they understand the components of reading (traditional read aloud, interactive read aloud, shared reading) better than they understand the components of writing (6+1 traits, Student writing notebook). The mini lesson, used in both reading and writing,
continues to be a bit of a challenge for these teachers. Infant I teachers seem the least knowledgeable about all the approaches except the interactive read aloud and the word wall.

**Classroom Use**

Participants who completed the third summer workshop are generally comfortable with using the traditional read aloud, interactive read aloud, shared reading, mini lesson, and word wall in their classroom instruction (Table 3). Consistent with the group’s understanding, there is less comfort with using the writing process in the classroom with less than a third feeling comfortable using the 6+1 writing traits in their teaching. Infant I teachers were especially unclear about the 6+1 writing traits. These teachers are learning to use drawing as pre-writing activities and may not be aware of the connection between 6+1 writing traits and their activities. Of more concern is the low score in Standard V/VI. Students take the Primary School Exam (PSE) during the Standard VI year and good writing skills are an important expectation on this test. Students must complete a section on composition and letter writing on the PSE. Standard VI teachers may be focusing on the specific skills students need to complete the composition and letter writing rather than seeing the connection with 6+1 writing traits.

*Table 3. I understand and feel comfortable using this approach or tool during my classroom instruction.*

<table>
<thead>
<tr>
<th>Teaching Unit</th>
<th>n</th>
<th>Trad. Read Aloud</th>
<th>Interactive Read Aloud</th>
<th>Shared Reading</th>
<th>Mini Lesson</th>
<th>6+1 Traits</th>
<th>Student Journal</th>
<th>Word Wall</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infant I and II</td>
<td>77</td>
<td>95</td>
<td>90</td>
<td>58</td>
<td>46</td>
<td>28</td>
<td>58</td>
<td>51</td>
</tr>
<tr>
<td>Standard I and II</td>
<td>39</td>
<td>30</td>
<td>28</td>
<td>26</td>
<td>24</td>
<td>17</td>
<td>20</td>
<td>26</td>
</tr>
<tr>
<td>Standard II and IV</td>
<td>39</td>
<td>27</td>
<td>27</td>
<td>29</td>
<td>22</td>
<td>16</td>
<td>16</td>
<td>25</td>
</tr>
<tr>
<td>Standard V and VI</td>
<td>41</td>
<td>29</td>
<td>31</td>
<td>30</td>
<td>30</td>
<td>10</td>
<td>23</td>
<td>24</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>142</strong></td>
<td><strong>146</strong></td>
<td><strong>143</strong></td>
<td><strong>122</strong></td>
<td><strong>61</strong></td>
<td><strong>30.8%</strong></td>
<td><strong>94</strong></td>
<td><strong>63.6%</strong></td>
</tr>
</tbody>
</table>

**Future Training**

As part of the evaluation, teachers were asked what they would like to learn about during future trainings. Teachers’ main request was help with planning (annual, monthly, weekly, and daily). In discussions, the teachers expanded this to include activities to engage learners, classroom management, and evaluation of student work. It appears teachers want help with the management of teaching. They understand what to do; now they want help with how to do it.
Mid Plan Question 2: What are the Primary Concerns of the Principals about the Approach?

Principals are the instructional leaders on the campus (Ontario Principals’ Council, 2008). The principal sets the tone for the campus and models the expectations. Student success is directly tied to the leadership on the campus. Richard Elmore (2000) describes five principles that lay the foundation for a model of leadership focused on improvement:

- The purpose of leadership is the improvement of instructional practice and performance, regardless of role.
- Instructional improvement requires continuous learning.
- Learning requires modeling.
- The roles and activities of leadership flow from the expertise required for learning and improvement, not from the formal dictates of the institution.
- The exercise of authority requires reciprocity of accountability and capacity.

The TFABB plan incorporates continuous learning, modeling, and shared leadership of the process. Do the principals embrace their role of improvement of instructional practice through the innovation of Balanced Literacy?

In May, 2008, TFABB hosted an in-service for principals and administrators. The purpose of this in-service training was to provide in-depth knowledge about the Balanced Literacy approach being introduced by TFABB. This workshop occurred after the initial training in August, 2006 and the second summer training in August, 2007. Follow up visits and conversations during the 2007-08 school year uncovered a lack of consistency and common understanding of the terms and approaches being introduced in the summer training. As a result, TFABB offered the May, 2008 training for primary principals and Toledo administrators. At the end of this training, participants were asked to complete the Stages of Concern Questionnaire.

The Stages of Concern Questionnaire is a 35 item survey that assesses the intensity of concerns experienced as an innovation is adopted (George, Hall, & Stiegelbauer, 2006). This questionnaire is based on the belief that these concerns occur in natural, developmental sequence marked by stages. Even though movement through these stages is developmental, not everyone is expected to achieve all the stages. These stages include: (1) awareness; (2) informational; (3) personal; (4) management; (5) consequence; (6) collaboration; and (7) refocusing. The first 4 stages focus on internal concerns of the individual, and the last three stages focus on external concerns relating to how the innovation may impact their associates and their students. The awareness stage is indicative of knowledge of the innovation with little or no involvement in with the innovation. Characteristic of the informational state is a desire to learn more about the innovation with little concern for its impacts on the individual. The personal stage is characterized by knowledge that the innovation personally affects the individual principal accompanied by uncertainty as to the demands of the innovation, uncertainty as to the individual principal’s ability to meet the demands and uncertainty as to the individual principal’s role with the innovation. At the management stage, the concern is with the amount of time required to use the innovation effectively and efficiently. At the next stage of development, internal concerns shift to external concerns. The consequence stage involves focusing attention on the impact of the innovation beyond the individual. This stage is followed by collaboration with others and begins focusing efforts on using the innovation in coordination and cooperation with others. The
final stage of development is refocusing and looking for other ways to benefit from the innovation including exploring alternatives to the innovation. As one moves through the stages there is a decreasing intensity of internal concerns and an increasing intensity on external concerns related to the innovation. Although the stages are seen as developmental, everyone does not go through all seven stages.

Data Analysis

Results from the Stages of Concern Survey are reported in Figure 1. Interpretation of the data requires looking at the two peaks in the responses: Personal and Refocusing. The peak in Personal is generally reflective of a group that is struggling with what the innovation means to them. They are concerned how the implementation of balanced literacy will affect them. How will their role change? Will their success or failure with this innovation have a personal cost?

Figure 1: Stages of Concern Questionnaire

How will they be evaluated with this innovation? Because the next three stages are below this peak, Personal is most probably the developmental level of the group. In general, they are familiar with the innovation but are working through how this innovation of Balanced Literacy will impact them personally. More disturbing is the dramatically high peak of Stage 6. Normally, a peak in stage 6 indicates support for the innovation and a readiness to perfect the innovation. However, when there is a peak in Stage 2 Personal and a dramatic peak in Stage 6, it is generally a sign that the group has not truly bought into the innovation and have their own ideas about how reading and writing should be taught.
Discussion

When a group displays a strong concern about the personal ramifications of an innovation such as Balanced Literacy the facilitators must address underlying concerns. Generally this profile indicates a concern about institutional support and rewards for doing the job. The high score in Personal may also be indicative of self-doubts about the ability to do the job as well as a fear of lack of support from superiors. This profile is common in a principal who has little experience facilitating change on the campus. It is generally not helpful to reassure groups with this profile as even the most non-threatening attempts to discuss the innovation may increase concerns. Rather the focus has to be clearly on the personal concerns. Principals will need leadership training to increase their self confidence in their ability to facilitate the change process. In addition, communication between the managers and the principals should address the issues of support, evaluation, and expectations. Although in workshops and conversations the principals frequently express their concerns about time and conflicting responsibilities when discussing their campus leadership, this survey indicates the actual problem is more likely lack of confidence in their skills and discomfort with the level of support they will receive.

Mid Plan Question 3: Is there Evidence of Success in Terms of Teacher Adoption of Balanced Literacy and Student Outcomes?

Classroom Visits

TFABB volunteers visited classrooms in October and February of each year. In the classrooms visited, the traditional read aloud was being incorporated in many classrooms. Teachers seem to be comfortable reading to children throughout the day. Many teachers were using this approach to assist with transition times such as after lunch or after recess. Classrooms had the TFABB materials prominently displayed throughout the classrooms. Lower level teachers demonstrated their use of the jingles and rhymes that accompanied letter identification. A few rooms had small “library” areas. In general, there was strong evidence that teachers were incorporating components of Balanced Literacy in their classrooms.

Primary School Exam

Each year, Standard VI students sit for the Primary Student Exam. The results of this test determine whether a student may attend secondary school. Historically, Toledo primary schools have had the lowest scores of the six districts. In 2008, for the first time Toledo schools scored 5th highest in the country. When looking at only language arts scores, Toledo schools had the third highest scores in the country. This is an important external measure of the success of language arts teaching in the district.

Question 4: How has the Context of Implementation Altered the Plan and are Changes Needed?

An ecological model of evaluation requires looking at the systems within which the TFABB training is nested. Several factors have emerged in the micro system that constrain the effectiveness of the current plan.
Lack of Time Coaching

As envisioned, the coaches would work with other teachers and share their expertise and knowledge during the year. Coaches, who also hold either a full time teaching or administrative responsibility, could not be released to work with other teachers in the system. This limits the support teachers receive during the school year. During classroom visits, teachers expressed frustration that they do not receive ongoing support and training. Coaches expressed their frustration in not being able to work with other teachers because they have full time classroom responsibilities. The coaches are currently not able to “coach.”

Faculty Reassignments

Changes in faculty are not handled at the campus level so teachers may be assigned or reassigned without principal input. This creates a system of discontinuity. A teacher may be trained at the upper level during the summer training in August, only to be reassigned in September to an Infant classroom. This reassignment of teachers limits the effectiveness of the program.

Changes in the Larger System

In addition to constraints at the campus or school level, changes in the larger system have also challenged the TFABB plan. National elections in 2008 resulted in a change in all major governmental officials related to education. TFABB spent a year developing the relationship and buy-in at the national level for the Balanced Literacy program. With the change in officials, it was unclear the amount of support given to the TFABB program. Fortunately, the new District Manager (government) in Toledo was familiar with the program and continued to support the summer program in 2008. Even with the local support, these changes are a major impact on an all volunteer organization. The time and energy it takes to make the contacts and develop the common understanding is sometimes overwhelming to the leadership.

In reviewing the support given to TFABB over the past two years, it seems that while all officials are equally supportive of the need for TFABB, there is little help with the logistics of the program. The TFABB volunteers provide all the materials for the workshop, sort and distribute these materials, set up rooms for the training, including moving desks and chairs to accommodate the number of participants, clean the rooms, unlock and lock the rooms and make any needed copies of materials for the participants. This is all in addition to providing 7 hours training for each of the 5 days. Many of these tasks could be handled by the local managers.

In addition to changes in leadership, a new national curriculum and state adopted textbooks were introduced. The lower level curriculum was introduced in 2007 and the upper level curriculum was introduced in 2008. Teachers were now challenged with learning a new curriculum, aligning the new textbooks to the curriculum and using the components of Balanced Literacy.

The third change in the system was the entry of another provider of training. A Canadian program was approved to provide teacher training to all teachers in Belize in math and language arts. The Canadian program used a “Trainer of Trainers” model. They recruited 20 teachers for math and 20 teachers for language arts. These teachers were given training in the core areas and
expected to train others in the district. After negotiations, TFABB agreed to continue their language arts training and the Canadian program would provide the math training. Unfortunately, the trainings overlapped so coaches for TFABB had to choose between working with TFABB or the Canadian program in math. This competition for “teacher leaders” resulted in a decrease in the number of coaches working with TFABB.

**Evolution into a Trainer of Trainers Model**

In the debriefing sessions after the 2007 summer training, coaches explained their inability to work with other teachers because of their classroom responsibilities. Even if a teacher could be released from his/her class, travel in Toledo is difficult and travel between schools requires a large time commitment. TFABB volunteers recognized the need to reformulate the concept of “coaches.” One solution would be to hire someone to serve as a full time coach traveling between the schools providing ongoing support. There are 49 primary schools in the district and this option would need both government support and funding. At this time there is no funding for this option. A second option, ultimately selected by TFABB is to reframe the responsibilities of the “coaches” to facilitators/trainers. Rather than working with schools during the year, the coaches will attend a 2 to 3 day training in the summer, serve as co-presenters during the summer workshop, and plan/lead two or three follow-up in-services during the school year. This still provides local expertise in Balanced Literacy but does not overload the system.

**Addition of Preschool Sessions**

In the summer of 2007, TFABB added a section to address the needs of preschool teachers. A North American volunteer approached TFABB and asked to join the partnership and provide training to preschool teachers. The volunteer had worked with a small village and saw the need to address the needs of the preschool classroom. Only about half the schools in Toledo had preschools, but the government was working to add preschools throughout the country. Providing preschool training would also address the priorities of the local management. While training preschool teachers had not been a part of the original plan, it emerged as a need during the three year plan and TFABB was able to meet this need.

**Curriculum Training**

The new curriculum was a major change in the system that had to be addressed and pulled into the TFABB program. Because it was mandated by the government, teachers needed to see how the Balanced Literacy fit with the new curriculum. If teachers saw the curriculum and Balanced literacy as competing, they would be forced to follow the curriculum because of government expectations.

TFABB trainers were given copies of the curriculum, given a day of training in using the curriculum and asked to train the Toledo teachers to use the curriculum. Although this was a huge undertaking for the volunteer trainers, it did provide context to understand the challenges the primary teachers face. Because the training in the curriculum was added to the summer training, the amount of time spent on Balanced Literacy was cut in half. The original schedule gave time for teachers to plan their weekly schemes using their textbooks and Balanced Literacy
components. This time was deleted and the curriculum training inserted. Teachers were divided by experience level and given opportunities to work with the new curriculum and Balanced Literacy components.

While the training on the curriculum was important and added a needed dimension to the summer training, it was quite stressful for the volunteer trainers. Most trainers spend months planning their summer workshops. They identify appropriate materials and carefully plan their time to maximize learning. The request for curriculum training came only a couple of weeks before the workshop. This required trainers to redesign their sessions and select only the most essential information to present. It also required the trainers to develop afternoon activities each day to work with the curriculum. These activities could only be planned after the volunteers arrived in Punta Gorda and were given the overview of the curriculum. The evaluations from the participants were very positive and the workshops were well done. However, the last minute change was difficult.

Inclusion of New Partner

As TFABB volunteers recognized that both coaches and local managers were busy with the business of education in the district, they looked for a partner in Belize who shared their mission and could provide on-site assistance during the year. The Peace Corps was the logical partner for this next step. Peace Corps volunteers in Belize frequently have education as their primary project. There have been several calls from the national government to have Peace Corps volunteers in every school to provide assistance in teacher training.

Every Peace Corps volunteer may select a second project and TFABB approached the Peace Corps to ask that a volunteer or volunteers work with TFABB as partners. This partnership began in the winter of 2007-08 and has proved to be a positive step for TFABB. The Peace Corps volunteers manage on-site communication, support for coaches in planning the in-services, and feedback on the implementation of Balanced Literacy.

Revisiting the Plan

Teachers for a Better Belize is performing needed teacher training in Toledo District. It is clear that the efforts are having a positive effect on teachers and their students. Teachers consistently report they find the summer training very useful and student language arts scores on the Primary School Exam are improving in language arts. The context in Toledo is dynamic and this context clearly impacts TFABB’s efforts. The changing government leadership, a new curriculum, new textbooks, a high turnover in teachers and other still unanticipated factors are not under the control of the TFABB partnership but must be considered.

Three themes appear from reviewing the overall evaluation data and the contextual information.
- Teachers are ready for specific implementation techniques of the Balanced Literacy approach that include planning, classroom management and appropriate activities.
- Principals need specific training in leadership, management, and change
• TFABB, a volunteer organization, must actively engage and expand local partnerships

First, the workshops have been successful. Teachers are using the components of Balanced Literacy and have understanding of their relationship to teaching reading and writing. They have expressed an interest in learning how to plan better, including how to manage the classroom. Because it has taken three summer workshops and two years of follow up to help teachers incorporate the components listed on the evaluation, it might be best to work on planning and classroom management in a language arts program. While some teachers may be ready for guided reading and the complete reading and writing workshop, TFABB should carefully consider what can be accomplished in this final year.

Principal Training

Based on the evaluation data, the principals in Toledo District need training in leadership, management, and change. This is an opportunity to connect with the University of Belize to develop a principal training program. TFABB does not have the resources to provide this program, but does have volunteers who can work with UB to establish a formal training program. This program will need to be designed with at least two tracks to accommodate both the principal who has a college degree and the principal who has little formal training beyond a high school education.

Actively Engage Local Partners

While the workshops and in-service training are successful, the endeavor is more than an all volunteer organization can maintain. Debriefing at the end of the August, 2008 workshop identified several changes that need to be made to continue the TFABB partnership. The local managers need to be more actively involved in planning and offering the summer workshop. To this end, TFABB will provide training for the lower level teachers (Preschool, Infant I/II and Standard I/II) and ask the local managers to assume responsibility for the workshop offering for the Upper level teachers. As part of this change, the local managers will be responsible for the logistics of the workshop. This move creates a partnership where both parties provide services and both parties benefit from the relationship.

TFABB will continue to work to develop the relationship with the Peace Corps. TFABB will offer to provide training to the Peace Corps volunteers in Balanced Literacy so these volunteers can work to train teachers on their assigned campus in Balanced Literacy. This might be another place where local teachers could be involved so each Peace Corps volunteer might have a teaching partner that also goes through the training. Belizean teachers have been quite clear that they want Belizeans as part of the training faculty and TFABB fully supports this need.

Conclusion

TFABB has been engaged in an international partnership with District Education Managers in Toledo, Belize and the Government Director of Education to provide teacher training in the area of language arts for two years of a three year plan. There is clear evidence of success in terms of
teacher knowledge of Balanced Literacy, teacher comfort with and use of Balanced Literacy and improved student performance. Several factors in the systems and subsystems have impacted the ability to complete the plan as envisioned. In revitalizing the partnership it is important to clearly delineate how each partner can/will contribute to the partnership. Additional partners such as the Peace Corps and University of Belize provide strength to the partnership and increase the likelihood of sustained impact.

References


A Policy Agenda for Addressing Homelessness

Kerri Tobin, Ph.D.¹
Marywood University

Joseph Murphy, Ph.D.
Vanderbilt University

Homelessness in the United States after World War II was primarily a problem of adult men, and initial attempts to address the problem were generally aimed at getting these men treatment for alcohol abuse and mental illness (Bahr, 1973). In the modern era of homelessness, however, the housing-displaced population also includes sober men and single women, families with children, and unaccompanied youth, necessitating distinct policies and programs to meet the needs of each group (National Center on Family Homelessness [NCFH], 2009). Before making policy decisions, however, it is imperative that we develop a better understanding of homelessness and what we know about how to address it. This article provides a foundation for researchers, policymakers, and educators by reviewing existing literature regarding policy strategies commonly enacted to address individual and family homelessness. It also identifies those practices believed to be most effective in helping people get and stay housed. After providing some introductory definitional and demographic information, we describe the methodology that guided our review. We then describe the main tenets of homeless policy in the United States as it applies to homeless individuals, and also to homeless families. These solutions tend to fall into one of three categories: attacking poverty, increasing the stock of housing, and providing social services.

The law provides guidance in establishing what it means to be homeless. Until very recently, the U.S. Department of Housing and Urban Development (HUD) defined as homeless “an individual who lacks a fixed, regular, and adequate nighttime residence” who resides in “supervised publicly or privately operated shelter designed to provide temporary living accommodations” (HUD, 2010) or “a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings” (HUD, 2010). The Department of Education’s definition, as expressed in the McKinney-Vento Homeless Assistance Act, is broader, including HUD’s definition plus “children and youth who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason… abandoned in hospitals; or awaiting foster care placement” (U.S. Department of Education, 2004, p. 2). The primary distinction between the two is its consideration of those who have no home but live with friends or other family members, called “doubled up” – they have always been homeless according to the Department of Education, but were not by the previous HUD definition. In May 2009, President Obama signed into law a bill known as the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act, which includes individuals and families who are doubled-up in the HUD definition (NAEH, 2009). However, this broadening of the legal definition is not yet reflected in most published research on the numbers of homeless people.

¹ Dr. Tobin may be contacted at ktobin@marywood.edu. Dr. Joe Murphy was an initial author in School Leadership Review’s first issue.
Those formerly differing definitions make arriving at accurate counts of the homeless challenging; estimates of how many people are homeless have differed both for departments of the government and advocacy agencies. At the turn of the 21st century, the U.S. Census Bureau reported that there were in the neighborhood of 230,000 homeless: 178,638 sheltered individuals and another 50,000 persons on the street (Rollinson & Pardeck, 2006, p. 9). But citing an earlier study by the U.S. Census bureau, Burt (2001) found that there were four times that number: “on any given day, at least 800,000 people are homeless in the United States, including about 200,000 children in homeless families” (p. 1). In 2004, the National Law Center on Homelessness and Poverty (NLCHP) found that about 840,000 persons were “literally homeless—on the street or in temporary housing—on any given day across the United States” (2004, p. i). On a single night in January 2008, HUD (2009), counted 664,414 sheltered and street homeless persons (p. 8).

In addition to the magnitude of the homeless population, we need to understand its demographics. Based on a survey sponsored by the federal government, NLCHP (2004) suggests that single men now comprise 41 percent of the homeless population, families with children 40 percent, single women 14 percent, and unaccompanied minors 5 percent (p. 8). Analysts find that homeless persons in shelters and on the streets are younger than they were in the past (Shlay & Rossi, 1992; Shane, 1996), with 65 percent of the homeless in their late 20s to mid 30s (Ropers, 1988, p. 38). And while there have always been persons of color in shelters and on the streets, today they represent a much more significant segment of the homeless population (Roth, Toomey, & First, 1992; Toro, 1998). African Americans, in particular, are overrepresented—comprising 40 percent of the homeless population while making up only 11 percent of the general population (Rollinson & Pardeck, 2006, p. 11).

Counter to prevailing stereotypes, researchers document that some of the homeless population have regular jobs, earnings, and education. Data from the turn of the 21st century show that lawfully employed persons comprised a quarter or more of the homeless population (Scolaro & Esbach, 2002). Newer reports suggest that employment among the homeless may be around 45 percent (Gargiulo, 2006, p. 358). However, the majority of the homeless are unemployed, many chronically so, and most of the individuals who do have jobs are underemployed or work on the bottom rungs of the labor market ladder. Studies that investigate the education backgrounds of the homeless conclude that more than half of the population has a high school degree (Gargiulo, 2006; Roth et al., 1992). Up to a third more have some education beyond high school (Ropers, 1988).

**Methods**

We employed the following strategy for collecting material (Goetz & LeCompte, 1984). We ran searches using ERIC FirstSearch, ProQuest, and Google Scholar. We began by bracketing “homeless education” and branched out to include “homeless policy,” “history of homelessness,” and “unaccompanied youth.” We uncovered books and articles in the form of literature reviews, empirical work, theoretical work, and advocacy pieces. As we read, we added cited pieces of interest not already in our database, accumulating nearly everything of substance written about homeless children and their educational experiences, as well as a wide sampling of articles on homelessness writ large.
We followed a multi-step process to unpack and make sense of the literature.

1. After an initial period of reading, we developed a comprehensive model of homelessness, one that incorporates all the central elements and ideas in the homelessness literature, beginning with the causes and continuing through impacts and efforts to ameliorate and/or prevent homelessness. This model became our framework for cataloging and coding data (Patton, 2002.)
2. We labeled each element of our model.
3. We read each piece in our database in the same manner one would read a transcribed interview (Patton, 2002; Silverman, 1998). We coded each data point of text based on the labels on our comprehensive model (Merriam, 1998). We coded to the smallest unit possible, generally a sentence but occasionally a phrase. The paragraph was almost always the largest unit coded. Many pages of text had multiple codes.
4. We re-copied every now-coded article and book in the database.
5. We lifted each coded piece of text and placed it on a separate sheet, with accompanying information about its origin. At this point, we had about 10,000 individual slices of text, now decoupled from the articles and books.
6. We then grouped all the information by codes.
7. Then we reread all of the codes, generally multiple times, to form conceptually coherent elements (Glaser, 1978; Strauss, 1987). For example, through this work we uncovered the three differing types of approaches to homelessness: addressing poverty (ID1), increasing housing (ID2), and providing social services (ID3). We now had “ID1” – “addressing poverty to ameliorate homelessness” with conceptual categories 1D1a and 1D1b -- “public assistance” and “employment opportunities.” Data (text information) was then regrouped to the smallest unit possible in an interactive fashion.
8. Across all our work, we memoed ourselves about insights and questions that formed as we progressed (Lincoln & Guba, 1985). As with the analytic work described above, each memo had a unique home and single code. In general, we used codes from the model.
9. Next, building back up from the smallest units, we captured what the literature told us, i.e., we wrote the overcoming homelessness story, framed for policymakers.

**Addressing Homelessness: The General Problem**

We have seen that homelessness is no longer a problem of single men. And though substance abuse and mental illness are still believed to contribute to homelessness, our understanding has been widened to include structural explanations such as poverty and lack of available housing (Burt, 2001). So too have policy solution strategies become much broader and more varied. They generally fall into one of three categories, with some overlap: addressing poverty, increasing access to low-income housing, and providing social services.

**Addressing Poverty**

In 2008, 13.2% of Americans, about 39.1 million people, lived in poverty (United States Census Bureau, 2009). According to Medcalf (2008), over one third of all people living in poverty had incomes less than half the poverty level. Researchers who view homelessness as a structural
problem rather than an individual one believe that homelessness is caused by poverty and that addressing poverty is its logical solution. “The issue of poverty itself, which demoralizes and destroys people, must be dealt with” (Shane, 1996, p. 215). The two most popular policy strategies researchers and advocates feature to address the poverty that leads to homelessness are increasing public assistance and expanding employment opportunities.

**Public Assistance**

Proponents of increasing public assistance to help address homelessness work from a fairly straightforward assumption that with more assistance to pay for food and health care, individuals and families will be able to afford to pay more for housing. Public assistance, also called welfare or direct income support, takes form through programs like Temporary Aid to Needy Families (TANF), the Supplemental Nutrition Assistance Program (SNAP, also referred to as “food stamps”), or other cash benefit programs. Unfortunately, the levels of assistance offered by these programs have failed to keep up with inflation, meaning that support levels have declined dramatically in real dollars since the 1970s (McChesney, 1992). Additionally, eligibility for federal assistance has become laden with requirements that often exclude the neediest people from getting help (Greenberg & Baumohl, 1996). Income support programs could help alleviate the stresses of poverty if they were expanded or their rules were relaxed to make more people eligible to receive assistance (Mihaly, 1991; McChesney, 1992; Shlay & Rossi, 1992). Burt, Aron, Lee, and Valente (2001) also point out that some people are homeless only once or twice and for relatively short periods; in these instances, it is possible that “only a simple form of emergency [income] assistance that tides them through whatever crisis triggered their fall into literal homelessness” (p. 182) would suffice.

**Employment Opportunities**

Some scholars believe the solution to homelessness will come from policy that decreases individual and family poverty through employment: job training, more job opportunities, and a higher minimum wage that keeps pace with inflation. Job training programs for the homeless are a very popular strategy. Snow, Anderson, Quist, and Cress (1996) point out that homeless people tend to be willing and able to do odd jobs and often go to great lengths just to get by, concluding that “most homeless people are active agents in pursuit of subsistence” (p. 96). Toro (1998) also points out that “many young homeless men have some employable skills and many women homeless with their children have good parenting abilities” (p. 130) that could be capitalized upon by job training programs. The McKinney Vento Law has provided funding for demonstration job training programs (Foscarinis, 1996), and some states have had success using federal funds to help people overcome barriers to employment (Burt, et al., 2001).

Hardin (1996) and Rotheram-Borus (1991) argue that existing job training programs have been unsuccessful in ameliorating homelessness not because of inherent problems with the programs or their participants, but because of the lack of availability of well-paying jobs. Shinn and Weitzman (1996) would like to see job training programs with guaranteed job placement. Some communities have experimented with offering financial incentives to encourage businesses to move into low-income areas (Flynn, 1985), but creating well-paying jobs has proven difficult (Oakley & Dennis, 1996). Increasing the earning power of jobs is another crucial element to
lessening poverty. Rafferty (1995) cites “increasing the minimum wage” specifically as a strategy to combat homelessness (p. 56).

**Increasing the Stock of Housing**

Some researchers believe that the most obvious policy solution to homelessness is the provision of housing. As Johnson (1988) succinctly points out, “all homeless persons share the need for housing, despite the fact that many of them are homeless for different reasons” (p. 134). However, housing is a broad term encompassing many forms: temporary shelter, welfare hotels, transitional housing, supportive housing, and permanent housing. An examination of the different types of housing is crucial to understanding the potential policy avenues to alleviate the impacts of and prevent the emergence of homelessness.

**Emergency Shelters**

Temporary housing, most often in the form of emergency shelters, is emphasized in the McKinney-Vento Act and is the “primary mechanism for providing direct services to homeless families and children” (Solarz, 1992, p. 282) and single homeless adults (McChesney, 1990). Emergency shelters are usually run by community organizations or faith-based groups and provide “a clean environment to sleep, humane care, some meals, and referrals to other agencies” (Medcalf, 2008, p. 104). But not all emergency shelters are the same (Dworsky, 2008). In their 1995 report, Rog, Holupka, and McCombs-Thornton (1995) show that “emergency shelters are a heterogeneous lot, ranging greatly in capacity, staffing patterns, types of service provided, and resident restrictions…there are no clear categories or types of shelters” (p. 502). In addition, shelters often vary in physical structure. Many emergency shelters for individuals are simply large halls filled with beds (Ropers, 1988). Others, particularly those designed for families, consist of separate rooms or apartments. Homeless people are also sometimes placed in Single Room Occupancy (SRO) hotels, often referred to as welfare hotels (Ropers, 1998; Williams, 2003).

Unfortunately, emergency shelters are believed by many analysts to be insufficient to meet the needs of individuals and families experiencing homelessness (Kiesler, 1991). One problem with shelters is that they are often crowded, chaotic and stress-producing, particularly for families with children (Nunez, 1994b). Personal safety is a concern for many residents (Anooshian, 2005; Karabanow, 2004; Shlay & Rossi, 1992). Many emergency shelters only allow residents to spend the night, requiring them to leave early in the morning, taking all of their possessions with them, and return in the evening for re-admission. When residents are permitted to stay more than one night, there are usually limits on the number of nights they can stay (Shinn & Weitzman, 1996).

Another problem is lack of emergency shelter capacity. Despite increases in funding through the Emergency Shelter Grant Program (part of the McKinney-Vento Act) and a 200% increase in shelter capacity between 1988 and 1996 (Burt, et al., 2001; Foscarinis, 1996), funding remains “woefully inadequate” (National League of Cities, 2004, p. 197) and many shelters have to turn people away. Burt and colleagues reported in 2001 that the average rate of availability of shelter housing was 178 units per 10,000 people in poverty nationwide (p. 276). A 2001 study of U.S.
cities found that 37% of all requests for emergency shelter, and 52% of requests from families, went unmet because of lack of resources (Medcalf, 2008, p. 10).

Even if there were enough beds in emergency shelters, many scholars remind us that they are not the whole solution to the problem of homelessness. Some feel that emergency shelters comprise “a stopgap, band-aid response to a tragic problem” (Bassuk, 1992, p. 264; Ropers, 1988), “the implicit rationale behind [which] is that homelessness is due to temporary displacement” (McChesney, 1990). Although “emergency shelters provide a natural intervention point for disrupting the severity of homelessness” (Johnson, 1988, p. 154), placing homeless people into emergency shelters is “nothing more than warehousing poverty” (Swick, 2005, p. 198) and “putting a temporary dressing on what has become a large, festering wound in the social body” (Bassuk, 1984, p. 45), particularly when insufficient permanent housing exists: “indeed, a massive emergency shelter system has mushroomed and threatens to persist despite the fact that, for many individuals and families, the ‘emergency’ has solidified into a chronic condition” (Weinreb & Buckner, 1993, p. 401). These calls have not gone unheeded: nationwide, between 1988 and 1996, more growth occurred in transitional housing facilities than in emergency shelter capacity (Burt, et al., 2001).

Transitional Housing

Transitional housing refers to those facilities intended to fill the gap between emergency shelters and independent permanent housing, usually allowing longer stays than shelters and providing more intensive services designed to prepare people for independent living (NCFH, 2009; Rog, et al., 1995). “Transitional programs, designed to help families move from shelter to permanent housing, provide homeless families with six months to two years of residence and support services” (Weinreb & Buckner, 1993, p. 401). These sites may “focus on particular barriers to stable housing and provide services and supports to address issues [such as] fleeing domestic violence or struggling with addictions” (NCFH, 2009, p. 35), provide more general counseling (Ropers, 1988), or offer training in such “living skills” as “budgeting, shopping, and home management” (McChesney, 1990, p. 197). However, some researchers would prefer service-linked permanent housing in lieu of transitional facilities (Rog, et al., 1995), contending that transitional facilities have been misused “to cope with the scarcity of affordable permanent housing, lack of community services, and limitations of the emergency shelter system” (Weinreb & Buckner, 1993, p. 401).

Permanent Housing

Many argue that housing efforts should focus on increasing the stock of available affordable permanent housing (Biggar, 2001; Burt, et al., 2001; Ely, 1987; Gore, 1990; Leavitt, 1992; McChesney, 1990, 1992; Medcalf, 2008; Shlay & Rossi, 1992; Solarz, 1992; Stronge, 1992; Williams, 2003). “To end homelessness, society must invest in affordable housing” (Williams, 2003, p. 27). Both changing voucher programs to be more accessible and physically creating new homes – by building new structures or renovating older ones – form part of this approach. As McChesney (1990) points out, by focusing on emergency shelter, cities have for decades squandered precious resources on expensive temporary accommodations instead of using those resources to build permanent low-income housing.
One type of low-income housing is public housing, that which is owned and run directly by government. It was created during the Great Depression and presently houses approximately 1.2 million individuals and families nationwide (NCFH, 2009). However, the Quality Housing and Work Responsibility Act of 1998 allows public housing authorities to set admissions criteria that favor higher-income eligible people, keeping out over two thirds of the 13 million lowest-income families (Crowley, 2003). In the 1960s, federal initiatives shifted from building public housing developments to offering subsidies to private developers who agree to allow a certain percentage of low-income households to rent their units (Carliner, 1987). Currently, most housing subsidies, such as Section 8 vouchers, are given directly to tenants to help them rent private units, but the current levels need to be expanded and adjusted (Better Homes Fund, 1999; Jencks, 1994; Roy, Maynard, & Weiss, 2008; Williams, 2003) so that “no low-income family is forced to spend more than 30% of its income to live in decent and stable housing” (Mihaly, 1991, p. 22). Likewise, because budgets have been dramatically reduced in the last several decades (Burt, et al., 2001; Carliner, 1987), many low-income housing programs have long wait lists, some so long that the lists are closed: “over 40% of Section 8 and 15% of public housing waiting lists are closed to new applicants” (NCFH, 2009, p. 36). Another challenge of Section 8 vouchers is that families who receive them still have to negotiate with landlords on their own, and in tight markets, landlords generally choose non-subsidy tenants; similarly, Section 8 does not provide funding for the security deposits that most landlords require (NCFH, 2009).

“Studies have shown that families exiting homelessness with a housing subsidy…are 21 times more likely to remain stably housed than comparable families exiting a shelter without a subsidy” (National Alliance to End Homelessness [NAEH], 2007, p. 2) but these subsidy programs cannot correct the fact that many cities have a severe shortage of low-income housing available. Many researchers (e.g., Better Homes Fund, 1999; Biggar, 2001; Duffield & Lovell, 2008; McChesney, 1990; Medcalf, 2008; Mihaly, 1991; Shane, 1996) advocate construction of new housing units, rehabilitation of existing structures, and prevention of gentrification and abandonment in both rural and urban areas. This approach is popular among those who believe that homelessness is caused by lack of available housing rather than personal characteristics. “There is no reason to believe [people]’s personal characteristics – their ability to manage money or to look for new housing, for example – have changed in the last 20 years. What has changed is the low-income housing market” (McChesney, 1990, p. 198).

Ziesemer and Marcoux (1992) push for policy initiatives at local, state, and federal levels to aid in the creation of more low-income housing. Some promising approaches to creating quality, affordable low-income housing have emerged in recent years (Roy, et al., 2008). Shlay and Rossi (1992) and Johnson (1988) suggest such housing solutions as non-conventional housing forms (like shared housing), alterations to zoning codes to allow for more low-income housing construction, increasing housing credit availability, and community land trusts. Similarly, housing trust funds have increased in popularity. Originally proposed in 1994 by the National Low Income Housing Coalition (Dolbeare, 1996), a National Housing Trust Fund was established by the Housing and Economic Recovery Act of 2008 – the first new production program since the Section 8 program specifically targeted high-poverty households in the 1970s (NCFH, 2009). Many states, counties, and cities have developed these trust funds, which draw revenue from public sources and are used to create housing for extremely low-income families.
(Better Homes Fund, 1999). “State housing trust funds create long-term capacity and have significant economic impact” (NCFH, 2009, p. 38). Some more radical proposals, such as adopting the developing world’s practice of allowing unemployed homeless residents to construct their own homes or allowing the homeless to squat in vacant housing, have been suggested as well (Shlay and Rossi, 1992).

**Housing First/Rapid Re-Housing**

Some programs, usually directed at dual-diagnosed single adults – those with serious mental and physical issues – are known as “housing first” because they aim to get homeless people into permanent housing immediately (Burt, et al., 2004; U.S. Conference of Mayors, 2008). They can be controversial because some, known as “harm reduction” or “low demand,” do not require residents to maintain total sobriety or to participate in any services (Burt, et al., 2004; Oakley & Dennis, 1996). However, these programs have been shown to be successful in achieving stable housing and employment for dual-diagnosed individuals (Burt, et al., 2001). They operate from the assumption that the primary need of any homeless individual is housing – “adequate permanent housing is, of course, the most important intervention in cases of homelessness” (D’Ercole & Struening, 1990, p. 149) – and that “the factors that have contributed to a household’s homelessness can best be remedied once the household is housed” (NAEH, 2003, p.9). The housing first model includes a component of choice over the location and type of housing and no time limit on the length of stay (NAEH, 2003). Oakley and Dennis (1996) explain that this approach is supported by research showing that individuals are more likely to accept treatment once their basic needs have been met, not when “they are fearful and ostracized” (p. 184).

Following the housing first example, many cities have developed rapid re-housing programs for homeless families. Research shows that not every family needs transitional housing before entering permanent housing (Rog, et al., 1995). Rapid re-housing programs are “aimed at reducing the time it takes for families to move out of shelters and into permanent housing” (U.S. Conference of Mayors, 2008, p. 21), often by providing short-term rental assistance, help searching for housing, and case management to help the family prepare for the move (NAEH, 2007). The National Center on Family Homelessness points out that “it is less expensive to pay a family’s rent than to pay for their stay in a motel” (NCFH, 2009, iii).

Most researchers agree that rapid re-housing programs are most likely to be successful if they also include follow-up services for residents. The Edna McConnell Clark Foundation (1990) recommends supportive services for resettling families because “simply providing new apartments neither guarantees a family’s stability nor prevents future homelessness” (p. 43). Rog and colleagues (1995) studied six programs providing rapid re-housing and supportive services and found that they were largely successful. Likewise, McChesney (1990) argues that permanent housing with services “enables families to put down roots – develop their own support networks and community ties – in a community where they expect to remain, as opposed to spending six months…developing friendships and ties that will end when they leave transitional housing” (p. 198).
Providing Social Services

Although some researchers and advocates believe that policy to decrease poverty or increase housing could be enough to address the problem of homelessness, most analysts assert that ensuring access to housing is not the only answer (e.g., Baron, 2003; Hartman, 1986; Jahiel, 1992c; Jencks, 1994; Leavitt, 1992; Nunez, 1994b; Toro, 1998). These researchers maintain that the homeless “also need help with job skills, alcohol, drugs, depression, schizophrenia, and a host of other ills” (Jencks, 1994, p. 121). Accordingly, the largest body of research and theory on policies to address homelessness deals with the provision of social services, in conjunction with or separate from housing. The availability of services for the homeless has increased in recent decades (Burt, et al., 2001), reflecting a widely-held belief that “a continuum of services is required to meet the multidimensional needs of homeless people” (Johnson, 1988, p. 145).

Services provided to the homeless vary widely, and, like housing, are provided by private and publicly-funded organizations (Dworsky, 2008). They happen on-site at shelters or off-site in tandem with transitional housing, permanent housing, or no housing at all. NAEH (2003) reports that the majority of surveyed homeless individuals identified their most crucial needs as help finding a job and help finding housing. They also noted a need for transportation, case management, and physical health care, including vision and dental (NAEH, 2003). The three main bundles of services commonly available to those experiencing homelessness are case management and wraparound services, mental health and substance abuse treatment, and physical health care. A range of other interventions, including attempts to prevent homelessness from occurring in the first place, may be offered to supplement these services.

Case Management and Wraparound Services

Case management is a crucial element of service provision for people experiencing homelessness. “Case managers…provide critical intervention services. Quick and appropriate response to crisis can make the difference between residential stability and homelessness” (Oakley & Dennis, 1996, p. 182). A case manager is a person who takes on the responsibility of helping individuals or families determine what services they need, what types of assistance they qualify for, and how to access them. A case manager might make referrals to treatment programs, secure passes for public transportation, help make appointments, and provide other logistical support. Case management services have proven helpful for “a variety of homeless populations,” including single adults, families, unaccompanied youth (Toro, 1998, p. 129). Jackson (2000) found that the density of case management meetings was the most critical variable related to decreasing the length of homelessness.

Wrap-around services, those that stem from one treatment plan involving multiple providers, rather than each provider having its own plan for a client, have proven promising. Successful treatment is also more common when cities have databases, multi-agency teams, and co-located programs to help this population. Data sharing allows staff members from one agency to see other treatments a client is receiving elsewhere and plan its services accordingly, avoiding duplication (Burt, et al., 2004).
Mental Health and Substance Abuse Treatment

Because substance abuse and mental illness commonly co-occur in the homeless population (Oakley & Dennis, 1996), it is difficult to separate the two types of treatment, and this group of services is often referred to collectively as alcohol, drug, and mental illness or ADM. Despite public perceptions of the homeless, which tend to paint these individuals as intractably mentally ill, Oakley and Dennis (1996) assert that “only between 5% and 7% of the single adult population needs acute inpatient psychiatric care” (p. 185). Burt (2001) finds that people with mental illness and substance abuse histories, even head-of-household single mothers, can live stable lives if they are supplied with both treatment and housing. She offers evidence that in the long run, such programs are cost-neutral; that is, the cost to provide them offsets the costs that would be required to treat people in crisis. Oakley and Dennis (1996) found that most people with ADM disorders want and are able to live independently in the community once they receive appropriate treatment.

Increased ADM treatment is prescribed by many professionals who work with or study homeless populations. “A wide expansion of substance abuse treatment programs is needed, with improved access for those who need them” (Shane, 1996, p. 220), particularly with an emphasis on “maximiz[ing] dignity, self-respect, and potentiality” (p. 220). Because many homeless people have had negative experiences with treatment programs or facilities, “the manner of approach in working with this population should communicate equality, respect, and dignity” (Flynn, 1985, p. 198). Flaming and Tepper (2006) point out the profound marginalization and exclusion from society suffered by homeless persons, particularly those with ADM disorders. Johnson (1988) calls for empowerment of clients because “the process of empowerment reduces the impact of social problems on both client and society” (p. 167). One empowering approach requires that clients contribute to program costs once they find employment (Burt, et al., 2004). Oakley and Dennis (1996) recommend involving clients in the assessment of their needs and creation of their treatment plans, relying on peer support as well as guidance from recovered formerly homeless ADM sufferers.

Many programs aimed at people with ADM issues use an outreach approach where teams of trained workers go onto the streets to make contact with individuals and try to get them into treatment (Flynn, 1985). Research shows that most chronically homeless people “are unlikely to connect even with the best housing programs unless these first contacts are effective” (Burt, et al., 2004, p. 20) and that there is stigma associated with using the homeless service system (Backer & Howard, 2007). For these reasons, Oakley and Dennis (1996) recommend that contacts be made repeatedly in a patient and nonthreatening manner and that homeless individuals be offered an array of services from which to choose. Other cities have taken a more coercive approach, attempting to curtail chronic inebriate street homelessness by creating programs modeled after drug court – once arrested for public inebriation, individuals are able to opt for treatment plus transitional housing instead of jail time (Burt, et al., 2004). Still other cities, like Philadelphia, combine these two approaches by sending outreach teams consisting of a police officer, a social worker, and a local benefits technician to try to get shelter-resistant people into housing and treatment (Burt, et al., 2004).
Physical Health Care

Recognizing that physical health is a serious need of people without shelter, Title VI, Subtitle A of the McKinney-Vento Act established a grant program for the provision of physical health services to the homeless (Foscarinis, 1996). “Without state-of-the-art medicine…we do no more than guarantee chronicity and deterioration even in a sheltered environment” (Greenblatt, 1992, p. 51). Jahiel (1992a) stresses the need for comprehensive intake services that include physicians, nurses, and social workers; prevention services including vaccinations for homeless children; and hospital coverage that provides a sheltered place to recover from illness and surgery so homeless individuals are not discharged back to the streets only to get sick again. He also advocates for the extension of medical coverage to homeless persons either through an expansion of Medicaid or the creation of new programs (1992a).

Other Services

Other services for the homeless sometimes include training in money management, parenting, home maintenance, and landlord-tenant relationships (Johnson, 1988). Some programs offer legal assistance and HIV/AIDS prevention and treatment services (Burt, et al., 2001). In recent years, some programs have begun to offer access to and training in how to use the Internet (Finley, 2003). Several researchers promote programs that offer clients help building and maintaining relationships with family, friends, and neighbors, since “these connections need to be made on a pragmatic day-to-day level if the larger structural issues in the society that go beyond housing are to be addressed” (Leavitt, 1992, pp. 32-33). Additionally, “demonstration programs have repeatedly found that meaningful daytime activity to combat isolation is crucial to housing stability,” so some programs offer housing support groups, tenant associations, and so-called community livingrooms (Oakley & Dennis, 1996, p. 184). One such approach presented by Pearce (1995) aims to combat isolation and promote physical health by meeting the recreational needs of the homeless with sports leagues, field trips, and summer day camps.

Homelessness Prevention Services

Many researchers point to the crucial role that homelessness prevention policies and programs can play in keeping individuals and families from losing their homes in the first place, though there is little funding for such efforts (Aron & Fitchen, 1996). As one advocate noted, “once somebody becomes homeless, it’s that much harder to rehouse” him or her (Egan, 2002, p. 59). Hartman (1986) points out, “one clear question for public policy is whether evicting someone from his or her home for failure to pay $89-a-month rent to a public agency makes sense” (p. 81) both morally and from a cost-analysis perspective – “the costs to the public of providing the same person with adequate overnight shelter are several times that” (p. 81). The U.S. Conference of Mayors (2008) survey revealed that while 13 of the 25 participating cities had adopted policies aimed at preventing homelessness, many of these were aimed generally at households in foreclosure, not specifically those in at highest risk of becoming homeless.

Advocates argue for expansion of promising programs that target very low-income households and offer services such as legal assistance with eviction proceedings, rental supports, and one-time emergency cash assistance (Hartman, 1986; Lindblom, 1996). Legal programs have been
shown to help keep many people in their apartments, at least in part because so many low-income families are informally evicted by landlord threat. When these households make landlords go through formal eviction proceedings, they get a chance to assert their legal rights and often emerge victorious (Lindblom, 1996). Mihaly (1991) details successful rental support programs like ECHO Housing in California, which operates a rental deposit guarantee program to help landlords and tenants agree to a schedule for making payments on owed rent. The program encourages landlords to rent to low-income tenants by guaranteeing to make up any shortfall if a tenant defaults (Mihaly, 1991). Recently, through HUD’s Neighborhood Stabilization Program, some cities have started providing services to protect the rights of tenants living in foreclosed properties, instituting mandated notification times for tenants as well as rental assistance for displaced tenants (U.S. Conference of Mayors, 2008). When President Obama signed the HEARTH bill reauthorizing HUD's McKinney-Vento Homeless Assistance programs in 2009, it included immediate protections for renters living in properties going into foreclosure (NAEH, 2009).

Policy changes could help households avoid homelessness. Current public assistance policies discourage home sharing by reducing benefits to people who reside in the same household and prohibiting subsidized residents from having non-family members live with them (Lindblom, 1996). “Some homelessness experts have even suggested a new Aid to Families with Dependent Adults program to reduce the burden on low-income parents and others who house adult at-risk persons” (Lindblom, 1996). Changes in the rent-to-income ratio have also been suggested, as 30% of income may be too much to expect low-income families to pay (Hartman, 1986). Indeed, “most homeless persons cannot afford to pay any rent at all” (Shlay & Rossi, 1992, p. 150).

**Special Issues for Families**

According to almost everyone who studies homelessness, families with children represent the fastest growing category of the homeless (Anooshian, 2005; Merves, 1992; NCFH, 2008, 2009; Popp, 2004; Rubin, et al., 1996; Van Ry, 1992): “If asked to describe a ‘typical’ homeless person, few people would think of a child living with a parent in a shelter for the homeless. Yet perhaps the most alarming change in the homeless population has been the dramatic rise in the number of homeless families with children” (Solarz, 1992, p. 275). Families with children comprised about 25 percent of the total homeless population by the 1980s, about 33 percent in the 1990s, and about 40 percent in the 2000s – perhaps as much as 50 percent in the nation’s major urban centers (see Burt et al., 2001; Better Homes Fund, 1999; Hicks-Coolick, Burnside-Eaton, & Peters, 2003; NAEH, 2007; Williams, 2003).

At the end of the 1980s, Nunez (1994a) estimated that there were “600,000 homeless families with roughly 1 million children” (p. 29), with point-in-time estimates between 61,500 and 500,000 (Shane, 1996, p. 15). A decade later, Burt (2001) confirmed that “during a typical year between 900,000 and 1.4 million children are homeless with their families” (p. 1). The dominant form of family homelessness is a single adult with one or more children (Polakow, 2003; Sullivan & Damrosch, 1987). 80 percent or more of homeless families are headed by women (Bassuk, 1992; Better Homes Fund, 1999; Lumsden & Coffey, 2001; Shinn & Weitzman, 1996), “many of whom were homeless themselves as children” (Hart-Shegos & Associates, 1994, p. 2).
In general, the women (and men) heading homeless families are young and becoming younger each year (Bassuk, 1992; Mihaly, 1991; Shinn & Weitzman, 1996). Studies show that the average homeless woman with children is in her 20s (Anooshian, 2005; Nunez, 1994a), with an increasing number of children (teens) heading homeless families (Institute for Children and Poverty, 2003). In a 2009 report, HUD reported that 54 percent of adults in homeless families were between age 18 and 30 (p. 32). Homeless families also come disproportionately from minority groups (Shinn & Weitzman, 1996; Sullivan & Damrosch, 1987). According to recent data assembled by NCFH (2008), 62 percent of homeless families are “families of color,” 43 percent African American, 15 percent Hispanic, and 3 percent Native American (p. 3). The young single women who head families also tend to be undereducated (Jozefowicz-Simbeni & Israel, 2006; Masten, et al., 1997). According to Nunez and Collingnon (1997), the average single-parent homeless mother “reads at or below the 6th grade level and [leaves] school by the 10th grade” (p. 57). Shinn and Weitzman (1996) also document that homeless women have weak job histories. Nunez (1994b) found, for instance, that only “40 percent of all family heads had even six months of employment” (p. 31).

Given the young age of homeless mothers, we should not be surprised to learn that homeless children are very young (Kling, Dunn, & Oakley, 1996; Mihaly, 1991; HUD, 2009). According to the NCFH (2008), “42 percent of children in homeless families are under age six” (p. 3; see also Burt et al., 2001). Infants and toddlers are the norm (Toro, 1998). A recent HUD (2009) report provides the following age breakdown for familial homeless children in shelters and transitional housing: 51 percent under age 6, 34 percent ages 6 to 12, and 15 percent age 13–17 (p. 32). Boys and girls are represented equally among homeless children (Burt, 2001; Hombs, 2001).

The passage of the McKinney-Vento Act in 1987 was the first active step the federal government took to protect homeless families and children; before that time “services for homeless children and families [were] grossly inadequate” (Jahiel, 1987, p. 112). Perhaps because they are viewed more sympathetically than adults (Jahiel, 1992b), homeless children and their families are the subject of a great deal of policy research and advocacy attention (see, for example, Anooshian, 2000; Biggar, 2001; Kiesler, 1991; NCFH, 2009; Swick, 1997). Kiesler (1991) argues that homeless children should have policy priority because only by helping them can we stop the intergenerational cycle of homelessness. Rafferty (1995) points out that “reduction or elimination” of poverty and homelessness “would, in the long term, cost our society less than the persistence of current levels of poverty and its consequences” (p. 56): “the suffering and damage inflicted on these children through illness and lapsed education and trauma…not only reflects badly on all of us, but it is actually bad for us...we, as a society, are worse off because of it” (Egan, 2002, p 59).

Although not all homeless families are alike (McChesney, 1992), they are distinct from individuals experiencing homelessness in several important ways. Accordingly, distinct policy and programmatic responses have arisen or are advocated for homeless families. Different income support programs, different housing priorities and structures, and different services are all needed to address the issues facing homeless families. As in the previous section, so too do policies aimed at addressing family homelessness fall into the three main categories of addressing poverty, increasing access to housing, and providing social services.
Poverty

One of the most crucial policy interventions for homeless families is increasing their income to decrease the effects of poverty. This can be accomplished through direct income supports, tax credits, and increasing the minimum wage. Additionally, supporting employment with related services, such as transportation subsidies, removes barriers to employment. Unlike individuals, homeless families also need quality, affordable, accessible child care in order for adults to go to work.

Income Supports

Families who are homeless can be eligible for a wide range of income supports such as TANF, Section 8 or public housing, SNAP, the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Medicaid, and others (Taylor & Brown, 1996). Unfortunately, many of these programs are underfunded (Better Homes Fund, 1999; Rafferty, 1995). Indeed, “AFDC [Aid to Families with Dependent Children] was not indexed [for inflation]...the real value (constant dollars) of the median states’ maximum monthly AFDC benefit for a four-person family fell from $599 in 1970 to $379 in 1985, a 37% decrease” (McChesney, 1992, p. 255) that puts housing costs out of reach. In the welfare reform of 1996, AFDC was replaced by TANF, which suffers the same problems. “TANF benefits are the primary source of income for families who are homeless [but] families receiving the maximum monthly TANF benefit would have to spend 210% of their monthly income to afford a two-bedroom apartment at FMR [Fair Market Rent]” (NCFH, 2008, p. 39). Nonetheless, enrolling families in income support programs has been shown to be important: “despite...grants at well below the poverty level, [our] data suggest that welfare remains a protective factor against family homelessness” (Bassuk, et al., 1996, p. 645).

Additionally, these programs are often underutilized, failing to reach all who qualify for them because families do not know about the programs or how access them (Kiesler, 1991). As Medcalf (2008) observes, “TANF...reaches only a small fraction of children in households with poverty-level incomes” (p. 9). For example, in the San Antonio area of Texas, 23% of children live in poverty but only 5% get TANF; “results of surveys...reveal that homeless young families are often experiencing difficulty both in accessing the TANF program and in meeting its ongoing eligibility and participation requirements” (Reeg, Grisham, & Shepard, 2002, p. 2). WIC and food stamps are plagued by similarly low levels of enrollment by eligible families. Advocates push for restoring federal food stamp funds to pre-welfare reform levels and increasing access by holding outreach activities for residents of shelters (Better Homes Fund, 1999). States have the discretion to give priority to certain populations, and advocates believe they should use this power to assist homeless children. They also hold that the federal government should provide more information to shelters about its Child and Adult Care Food Program, which provides reimbursement for meals served to homeless children, so that more shelters will be able to provide more meals (Better Homes Fund, 1999).

Another crucial income support championed by many researchers and advocates is the Earned Income Tax Credit (EITC), a powerful tool for combating poverty. The EITC is a “tax reduction and wage supplement for low and moderate-income working families” (NCFH, 2009, p. 40) with
the potential to help families avoid homelessness (Bassuk et al., 1996; Better Homes Fund, 1999; Jencks, 1994; Mihaly, 1991; Shinn & Weitzman, 1996). The National Center for Children in Poverty calculates that if every state instituted a state-level refundable EITC set “even at 50% of the federal credit, it would lift an additional 1.1 million children out of poverty.” (as cited in NCFH, 2009, p. 41). Shinn and Weitzman (1996) argue that increasing the minimum wage would be of particular benefit to homeless families headed by women, who tend to be employed at or below minimum wage, in low-paying, part-time, service sector jobs without benefits (Better Homes Fund, 1999).

**Job Training, Transportation, and Child Care**

Employment services, like income supports, can help homeless families afford housing if they lead to “a major increase in income” (McChesney, 1990, p. 197). Many family shelters and transitional housing programs have job training and education services for parents (Rog, et al., 1995), but since “the typical homeless head-of-household has a tenth grade education and reads at a sixth grade level…often has a substance abuse history…[and] has virtually no work experience” (Nunez, 1994b, p. 111), these individuals require much more basic and intensive education and skill development than most programs are prepared to provide.

Another crucial employment-related service is transportation assistance, since individuals cannot get to work without transportation (Medcalf, 2008). This assistance can take the form of subsidies for public transportation, free bus and subway passes, or transportation to work sites provided by housing facilities. Child care services are also considered one type of employment support, since parents cannot work if they do not have places to send their children (Biggar, 2001; Kiesler, 1991; McChesney, 1992; Mihaly, 1991; NAEH, 2007; Shane, 1996): “child care is a significant expense for all working families and may become a barrier to work for families who are homeless” (NCFH, 2009, p. 41). Moore (2005) reports that some counties provide free child care for up to 15 months after families leave a shelter. Shinn and Weitzman (1996) argue that access to high-quality affordable daycare is key to increasing women’s participation in the labor force, though this creates a particular dilemma. That is, according to Jencks (1994),

> single mothers now care for their children. If we make them take jobs, someone else will have to care for their children while they are at work. We will have to pay the people who watch these children more than we now pay their mothers to do the same job. (p. 110)

This issue does not frequently appear in the literature, much of which seems based on a belief that poor mothers should work outside the home. Currently, states are given federal funding through the Child Care and Development Block Grant (CCDBG) to provide child care vouchers, and can also transfer up to 30% of their TANF funding to child care expenses (NCFH, 2009). They can prioritize who gets CCDBG vouchers, but only one state, Massachusetts, gives priority to homeless children (NCFH, 2009).
Housing

The basic structure of housing available to homeless families differs little from that available to individuals, and it is poorly suited for families’ needs. “Independently of other issues, priorities in housing policies should be different for homeless families than for individual homeless adults” (Kiesler, 1991, p. 1247). Mihaly (1991) recommends that “families always should be sheltered in facilities that provide separate sleeping spaces that meet local health and safety codes...provide 24-hour shelter, and allow them to leave their possessions safely during the day” (p.22). Rafferty and Shinn (1991) assert that family shelters need to provide privacy to shield children from communicable diseases, “control over light and noise so that children can sleep and do homework, and enough space so that young children can explore their environments, [and] nutritious meals, or…refrigeration and cooking facilities so that families can prepare nutritious meals” (p. 1176). But these types of facilities are hard to come by. In more than 70% of the cities in one survey, homeless families were reported to be the largest group for whom emergency shelter and other needed services were most seriously lacking (Solarz, 1992, p. 276). According to the NCFH (2009), there were 29,949 units of emergency shelter, 35,799 units of transitional housing, and 25,141 units of permanent supportive housing for families available, totaling 90,998 units, while Nunez (1994a) estimates roughly 600,000 homeless families.

Policies and requirements at shelters often affect families differently than homeless individuals. Emergency shelters and transitional facilities often have length-of-stay limits that result in repeated forced moves, “needlessly increas[ing] the suffering of homeless families, especially the children in them” (Shinn & Weitzman, 1996, p. 121). Children’s social connections and schooling are often disrupted by these moves (Rafferty & Shinn, 1991). In one attempt to address this problem, “New York City mandated shelter stays for up to one year in order to help families reduce residential (hence school) mobility” (Williams, 2003, p.28). Likewise, many families are forced to split up upon entering a shelter because family shelters commonly accept only women with young or female children (Rafferty & Shinn, 1991). And the neediest families are often excluded from shelter facilities precisely because of their needs: in one study, 84% of programs excluded women with substance abuse problems, 63% excluded women with mental illness, 42% excluded families with a seriously ill member, 40% of facilities excluded families with adolescent male children, and 17% percent would not provide services to victims of domestic violence (Weinreb & Buckner, 1993, p. 405). Thus, parents are often forced to “seek alternative, precarious arrangements in order to keep their children with them” (Duffield & Lovell, 2008, p. 15).

The call for policy that enacts permanent housing solutions to replace emergency shelters is even stronger with regard to homeless families than with regard to homeless adults. Some researchers believe that many of the traumas facing homeless families would be solved by permanent housing. For example, according to Kiesler (1991), “many problems of mental and physical health will decrease or be eliminated through stable housing alone” (pp. 1248-1249). Duffield and Lovell (2008) call for the HUD definition of “homeless” to be broadened to mirror the Department of Education’s definition, so that more families would be eligible for housing assistance. Unfortunately, though McChesney (1990) reminds us that “delivery of social services in the absence of permanent housing is an ameliorative rather than a curative approach to
homelessness” (p. 197), we will see in the next section how services separated from housing are still a major focus of efforts to ameliorate homelessness.

**Services**

The greatest volume of research and advocacy work exists in the area of providing social services (Hart-Shegos, 1999; Shlay & Rossi, 1992). Indeed, “there is mounting support for the widespread implementation of comprehensive models...that educate and train families, that offer counseling, [and] that provide diverse forms of family support, from child care to health care” (Nunez, 1994b, p. 47). These services might take place within transitional housing facilities or off-site at community agencies. Many emergency shelters are also starting to conduct assessments and provide needed services (Rog, et al., 1995).

Unfortunately, the provision of services is expensive and often difficult given the widely varying and multiple challenges confronting homeless families. Many facilities and programs are run by non-profits and volunteers, who tend to be “long on love and short on cash” (McChesney, 1990, p. 199). And designing services can be difficult since not all families have the same needs.

Ziesemer, Marcoux, and Marwell (1994) remind us that many stressors are common to families living in poverty even before they become homeless. Some families have serious health problems, substance addictions, mental health disorders, illiteracy, children in foster care, or may never have lived independently (Edna McConnell Clark Foundation 1990). Some have suffered abuse without support. “It is not unusual for shelter staff to be the first ones to hear of a mother’s long history of physical abuse” (Weinreb & Buckner, 1993, p. 402). Given “the enormous caseloads of high-risk, multiproblem families...[and the] diverse problems presented by clients, caregivers must design a broad range of program models” (Hausman & Hammen, 1993, p. 366).

The five main categories of services typically offered to homeless families: case management; addiction and mental health support; enhancement of social connections and empowerment; parenting support and family reunification; and physical health care.

**Case Management**

Case management services are one of the most popular strategies for helping families escape homelessness (Rog, Holupka, McCombs-Thornton, Brito, & Hambrick, 1997; Stahler, et al., 1997). Operating on the assumption that services for families exist in the community but are inaccessible (Rog, et al., 1997), case management introduces a “benefits and entitlements specialist, expert at negotiating service bureaucracies” (Hausman & Hammen, 1993, p. 366) who can link mothers and children with services and programs. Case workers also provide training in basic household skills like budgeting and problem-solving (Rog, et al., 1995), connect families with religious institutions and recreational activities (Edna McConnell Clark Foundation, 1990), and accompany families while they visit agencies, make court appearances, take their children to medical appointments, and even go to routine places like the grocery store (Nunez, 1994b).

Unfortunately, caseworkers in Rog and colleagues’ 1997 study reported spending three quarters of their time completing paperwork, making phone calls, going to meetings, conferring with colleagues, and traveling to visit families, dramatically reducing the amount of time they were able to spend with families. The ability of a case manager to develop trusting relationships with
her clients is crucial to successful interventions (Nunez, 1994a; 1994b), and is more probable when caseloads are lower. Intensive case management models involve dramatically reducing caseloads so that frequent meetings and high levels of support can be given to the highest-risk families – for example, those who “have severe health problems, are headed by teenage mothers, have children in foster care, or those who have never lived on their own” (Edna McConnell Clark Foundation, 1990, p. 35) – until they are stabilized. Jackson (2000) finds that intensive case management may make a significant difference in decreasing the duration of families’ homelessness and preventing repeated episodes of homelessness. But intensive case management is also expensive, and therefore not available to many families. And whether intensive case management is really necessary for most families is debated. “No clear pattern has yet emerged” (Rog, et al., 1997, p. 80) between family needs, the intensity of case management, and outcomes. Shinn and Weitzman (1996) discovered that “once families had subsidized housing and income support from welfare, case management services made only a small additional difference” (p. 115).

**Mental Illness, Substance Abuse, and Counseling**

ADM problems, as well as sub-clinical mental health issues, are well-documented in homeless families, though not at rates higher than in other low-income families (Goodman, 1991). Rog and colleagues (1995) found that 67% of homeless families in their study received mental health or substance abuse services (p. 509). Indeed, many programs require participation in ADM programs. At the same time, many homeless mothers who are preoccupied with basic survival find required participation in treatment so stressful or threatening that they decline to participate (Weinreb & Buckner, 1993), even if it means sacrificing shelter. Because substance abuse can often lead to having one’s children placed in foster care, some programs attempt to address addiction and family reunification issues together, making sobriety for the sake of getting one’s children back the goal (Nunez, 1994b). Research has also shown that the effects of a combination of stressors is much greater than the sum of each separate stressor (Neiman, 1988), and Goodman (1991) points out that the combination of family substance abuse and homelessness produces extreme trauma that is likely to have long-term effects on families even after they return to housing.

Although, as McChesney (1990) points out, “delivering mental health services will not decrease the total number of homeless families” (p. 197), and the Urban Institute (2000) reports that helping families deal with emotional problems is much easier once families are permanently housed, counseling is nonetheless a popular service delivered to this population. The experience of being homeless creates significant trauma, particularly for children, and counseling can help victims deal with its effects (Goodman, 1991). Even for those homeless individuals who do not suffer from chronic mental illness, mental health treatment is often needed for “temporary personal crises such as divorce or separation, domestic violence, or death in the family” (Ropers, 1988, p. 179). Individual members of a family may need counseling and the family unit may need group counseling to improve communication and cohesion (Daniels, D’Andrea, Omizo, & Pier, 1999; Weinreb & Buckner, 1993). Some argue for the teaching of coping strategies like social problem-solving, relaxation training, and behavioral self-control to help children (Menke, 2000) and adults (Daniels, et al., 1999) handle the stresses of being homeless.
In particular, trauma caused by violent victimization is common in homeless families (Better Homes Fund, 1999). Women escaping partner violence are not the only victims. Tyler and Melander (2009) found high rates of partner violence experienced by both men and women in their study, prompting them to recommend extreme sensitivity on the part of service providers to the potential mental health outcomes of violence, such as Post-Traumatic Stress Disorder. Victims of partner violence who are homeless are also at high risk of revictimization, so Tyler and Melander (2009) advocate training for shelter personnel and changes in laws to allow greater protections, as well as additional research into ways to break the cycle of violence. D’Ercole and Struening (1990) point to the high likelihood of homeless women having experienced physical or sexual abuse at some point in their past as a reason for caregivers to be particularly sensitive to the effects of trauma these women might be experiencing. Bassuk and colleagues (1996) call for health care providers to incorporate screenings for indicators of abuse and assault into routine exams with homeless women, both alone and with children.

**Social Connections and Empowerment**

Oakley and Dennis (1996) demonstrate the need for persons experiencing homelessness to engage in meaningful activity to combat isolation and forge social connectedness. Formal and informal social connections are believed to be crucial for homeless families (Rabideau & Toro, 1997). Without them, “it is extremely difficult for families to exit homelessness, and almost impossible for them to remain housed” (Jackson, 2000, pp. 18-19). The director of one New York City program, disagreeing with well-established research, asserts that most homeless women do indeed have at least one person on whom they can rely; what is often lacking is appropriate guidance in identifying and reaching out for that support, and a “strategy of finding alternative supports may be pivotal to family stabilization” (Hausman & Hammen, 1993, p. 367). This is particularly critical for the mother of an infant, because having a safe place where her child can live for even a few days can protect her from having that child placed in foster care. Toro and Wall (1991) emphasize the need for services to help families “repair relationships and maintain productive roles in the community” (p. 484). Stahler and colleagues (1997) also emphasize the need for aftercare, less intensive supports that help families maintain the social connections they forged while in treatment.

Empowering homeless families is also crucial. Too many programs “actually do more harm than good” because they are “based on a deficit model of human services” (Swick, 2005, pp. 198-199). In contrast, though few in number, family-centered programs “recognize inherent strengths within all families and value the priorities that each family establishes” (Taylor & Brown, 1996, p. 21). These programs operate from the assumptions that the caregivers in the family are competent, family preservation is essential, families are capable of making decisions about their own treatment, and “families have rights and beliefs that need to be recognized and respected” (Taylor & Brown, 1996, p. 21). Cultural sensitivity can also empower the family by validating clients’ cultural and ethnic identities (Stahler, et al., 1997; Taylor & Brown, 1996).

Fraenkel, Hameline, and Shannon (2009) detail a study using group narrative therapy to promote both family empowerment and social connections with other families. This technique, which was well-received by study participants, involves having families tell narratives of how they came to be homeless and envision preferred futures. By encouraging positive expectancy – a sense of
hope about the future (Stahler, et al., 1997) – and focusing on externalization – encouraging families to identify themselves as separate from the circumstance of being homeless – this therapy seems “uniquely suited to address the impact of stigmatizing language and images of ‘the homeless’ and to help families recover and enlarge other ways of viewing themselves” (Fraenkel, et al., 2009, p. 329).

Parenting Support and Family Reunification

Homeless families are at increased risk for child abuse and neglect charges (Nunez, 1994a; 1994b), so the provision of services specifically targeting the needs of parents is crucial to this population (Shane, 1996). Some shelters require participation in formal parenting classes, while others consider this too much stress for a woman in crisis and focus instead on strengthening self-esteem until the woman is ready to volunteer to participate (Hausman & Hammem, 1993). Daniels and colleagues (1999) call for interventions “intentionally designed to affirm and enhance homeless mothers’ parenting skills as a fundamental empowerment strategy” (p. 169) leading to improved parenting. Rabideau and Toro (1997) report that the amount and quality of social support mothers receive is an important predicting factor in their children’s self-perceptions, concluding that, “maternal social support may serve as a protective factor that facilitates resiliency in homeless children” (p. 13). Supporting mothers may also help reduce instances of child abuse and neglect (Better Homes Fund, 1999).

Physical Health Care

Physical health care is frequently cited as an urgent need of homeless families, especially children (Menke & Wagner, 1997). Shane (1996) cites research from Philadelphia suggesting that the first six months of homelessness are the most dangerous, and calls for preventive services, early detection and care of illness, and treatment for existing medical conditions to improve health outcomes for homeless adults and children. The American Academy of Pediatrics (2005) calls for pediatricians to be aware of the special mental and physical health problems faced by homeless children, and to use “appropriate screening to identify family, environmental, and social circumstances, as well as biological factors” in pediatric assessments (p. 1097). Particularly for families, such services as pre- and post-natal care (Shane, 1996), childhood immunizations, health education for parents (Nunez, 1994b), regular physicals, and lead poisoning screenings (Mihaly, 1991) are especially important. In addition to treating acute illness, other researchers acknowledge the need for appropriate recreational activities and facilities to support children’s healthy physical development (Neiman, 1988).

Although “Medicaid is the primary way that children who are homeless receive health insurance” (NCFH, 2009, p. 43), two thirds of eligible children are un-enrolled. For this reason, many advocates call for expansion and outreach designed to increase enrollment in Medicaid and State Children’s Health Insurance Programs (SCHIP). They also call for expansion of presumptive eligibility – whereby, in certain low-income areas, programs are able to enroll a child to start receiving coverage immediately based on the family’s reported income, and have a month to verify that income – would also help enroll homeless children. Fourteen states have presumptive eligibility for Medicaid and nine for SCHIP (NCFH, 2009). Likewise, expansion of the Medicaid reciprocity model, which allows recipients in one state to receive Medicaid in
another state without re-establishing eligibility, would make health benefits more accessible to homeless families (American Academy of Pediatrics, 2005). NCFH (2009) points out that enrolling families in Medicaid is more cost-effective to society than paying for expensive visits to the emergency room.

Food insecurity, also shared by many housed families living in poverty, is believed to be especially problematic for homeless children. The NCFH (2009) notes that although “SNAP has been called ‘the single most effective program in lifting children out of extreme poverty,’” (p. 17), it and other programs, such as WIC and the Summer Food Service Program, fail to reach enough homeless families and children. Additional outreach and enrollment efforts are needed (NCFH, 2009), as well as modifications to existing food packages that “meet the needs of families with no access to refrigeration or storage” (Mihaly, 1991, p. 24). Some cities require higher nutritional standards for meals provided to homeless families than to individuals (Nunez, 1994b) under the assumption that childhood nutrition lays a foundation for academic and socio-emotional success, as well as physical health in adulthood. Additionally, Shlay and Rossi (1992) cite evidence that the availability of food subsidies may actually prevent homelessness by allowing “precariously housed persons to put most of their income into housing” (p. 151).

Conclusions

The face of homelessness has changed dramatically in the last several decades, turning what was once a problem of single men with substance abuse issues to one that affects sober men, women, young children, and adolescents. In this article, we have examined the policy framework for alleviating and preventing homelessness, with special concern for the problems of displaced families. We reviewed actions in three policy domains of attacking poverty, increasing the stock of housing, and providing social services.

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