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THE DEVELOPMENT OF A PROCESS MODEL DEPICTING  
FACTORS INVOLVED IN CHANGE IN AN  
INDIVIDUAL SCHOOL FROM THE  
PRINCIPAL'S PERSPECTIVE

by

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## CHAPTER I

### INTRODUCTION

Recent history has been characterized by radical changes in the customs and mores of society. Institutions, including the school, are now being scrutinized by the various publics which they serve. Students complain that the schools are not relevant. Teachers want a greater share in curriculum building and decision-making. Parents want more and better discipline. Taxpayers want to know how and for what their money is being spent. The public seems to demand better education. Dr. Marion Donaldson (Morphet and Ryan, 1967) said, "If schools are going to be significantly better, they must be significantly different [p. 163]." If schools are to be different, obviously they must change.

There is within the area of education an immense amount of change activity and an even greater amount of talk about change. The motivation for much of the activity and talk refers to maintaining the schools. Schools seem better able to perpetuate the past than to prepare students for the future. Schools are attempting to change or give the appearance of change, because that

seemingly is the only way to remain in existence. This often produces change for change's sake. Ill-motivated changes are seldom long lasting or wholesome. Change must be based on the desire not only to maintain the school, but also to improve the school.

Most school principals by virtue of their preparation and the expectations of school boards are better able to maintain the organization than to improve it. After studying 219 administrators in four different school systems, Miner (1967) reported that the predominant trend is one in which lack of originality and a failure to innovate are rewarded. Although this has been true in the past, the needs and demands of the society will probably cause a change in the recognition and rewards for administrative leadership. The public seems to be demanding improved education. Improving education requires an understanding of change and the change process which few principals have. Changing a school or any facet of a school is a complex and complicated process. To change a school one needs a thorough understanding of the total organization, the various parts to be changed and how they affect other parts of the organization, and an understanding of the nature and process of change. Miner (1967) from his study of administrators surmised that the lack of conscious awareness of organizational character makes planned change rare and the attainment of an effective organization difficult. Principals who are

interested in learning more about change have difficulty in finding practical help in the literature on change. After reviewing approximately five hundred sources dealing with the topic of change, Maguire's (1970a) "overarching observation is that practicing school administrators can find very little help for planning, managing, and dealing with the problems of change [p. 1]."

Maguire (1970a) further stated that in spite of the profusion of writings addressed to change in education and a substantial increase in the number of projects designed to effect educational change, "there exist few scientifically developed (i.e. theoretically based, empirically tested and revised) tools for use in the task of administering change [p. 7]."

#### Statement of the Problem

The problem treated in this study concerned the generating of a comprehensive approach to the development of a conceptual model for the introduction of planned change in an individual school. The system developed was based on the assumption that change could occur in an individual school and was based on the formulation of normative testing of a conceptual model focused on the innovative process.

### Significance of the Study

The significance of the study is that it provides the practicing administrator with a framework for the introduction of planned change.

### Methodology

Techniques for the design and testing of unsure futures have been reported by Olaf Helmer (1966) in Social Technology. His approach, called the "Delphi Technique," functions to apply some control to the use of expert opinion and case study forms of social research so as to make possible the development of useful predictions on subjective questions. The technique is applicable to questions about future events or methods of meeting future needs, as in the case of the change process model offered as a practical tool for the practicing school principal.

Helmer (1966) reported various applications of the technique on an experimental basis, and others have found it useful for predicting future trends. For the purpose of this study, the following conditions concerning application of the technique are appropriate:

1. Helmer's research indicated that a carefully selected panel of fifteen to twenty experts will achieve as effective a consensus as a larger group. (Consensus means agreement and movement toward the mean.)

2. The method, however, requires that the experts consider and report individually. They may receive feedback from other respondents, but they do not debate or discuss materials.

3. The use of a predesigned model, as in the case of the change model for use by a principal, may be employed to save time and to codify earlier work before submitting it to a jury of experts. In this event, "it is of the utmost importance to assure each respondent of the desirability of any modification of the model that he regards as imperative lest the entire effort be devoted to the wrong problem [p. 17]."

The methodology can be summarized as follows:

The Delphi Technique eliminates the need for committee activity altogether, thus further reducing the influence of certain psychological factors, such as specious persuasion, the unwillingness to abandon publicly expressed opinions, and the bandwagon effect of majority opinion. This technique replaces direct debate by a carefully designed program of sequential individual interrogation interspersed with information and opinion feedback derived by computer consensus from the earlier parts of the program. . . . An inquiry into the reasons adduced by others may serve to stimulate the experts into taking into due account considerations they may through inadvertence have neglected, and to give due weight to factors they were inclined to dismiss as unimportant on first thought [Helmer and Rescher, 1959, p. 48].

#### Specific Steps in this Study

The procedures used in this study followed, in general, the outline of the Delphi methodology developed by Helmer. Since this study dealt with a broadly

conceived model, convergence towards the mean was not considered as the major finding; rather, a consensus, predicting, by general agreement (or disagreement) with the model's value, a viable alternative for dealing with specified problems, was sought. Respondents were presented with the process model of change in an individual school in a fixed interview situation. During the interview, various aspects of the model were emphasized (e.g. the model specifies the informal structure in the organization). For the most part, however, the respondent read the prospectus and reacted to the model in general and to those aspects he found significant.

The respondents were requested to provide two kinds of feedback:

1. Any comments on the model, directly to the investigator or later in the form of marginal notes, cassette recordings or otherwise, which would indicate agreement, disagreement, modification, or needed change in any aspect of the model's design, subjective values, or purpose.

2. A short letter to the investigator indicating a general position on the model.

In this respect the feedback implicit in the Delphi Technique was achieved. Each respondent reacted during the interview, but he also had time for reflection and later comments. The results of these interviews and the comments submitted by the respondents were reported in

summary form as they related to each aspect of the model. Major modifications and changes in the model were included in the summary and recommendations. The letters received from the respondents were attached as an appendix.

#### Delimitations of the Study

The study was limited to a survey of the literature, an examination of different change models, and an examination, utilizing the Delphi Technique, of the responses of principals to the process model. The respondents to the process model were selected so as to include elementary, junior high and senior high school principals, male and female, black and white, experienced and inexperienced, young and old. No final conclusion should be drawn from this study. However, it was possible to make observations and practical suggestions to the practicing school principal confronted with the challenge of change.

#### Definition of Terms

Advocate.--A role concerned mainly with creating a climate conducive to acceptance (Gallaher, 1965).

Authoritative administration.--Education based upon authoritative concepts of human relationships as often used in industrial and military practice. It acts as a regimentation of learning activity and the frustration of creative growth (Joint Committee on Curriculum, 1937).

Barrier.--A hindrance or inhibitor of an effective educational change.

Change agent.--A person who attempts to influence the adoption decisions in a direction he feels is desirable. He is a professional who has as his major function the advocacy and introduction of innovations into practice (Carlson, 1965c).

Diffusion.--The process of dissemination or informing others of educational innovations.

Domesticated organizations.--These are organizations like the school which cannot select clients and from which the client must accept the service (Carlson, 1965c).

Formal organization.--The hierarchical scheme of line-staff relationships; how the organization is laid out on paper.

Informal organization.--The interpersonal relations in the organization that affect decisions within it but either are omitted from the formal scheme or are not consistent with that scheme (Simmon, 1950).

Informal organization is indefinite and rather structureless, and has no definite subdivision. It may be regarded as a shapeless mass of quite varied densities, the variation in density being a result of external factors affecting the closeness of people geographically or of formal purposes which bring them specially into contact for conscious joint accomplishments [Barnard, 1938, p. 45].

Innovation.--The process whereby a new element of culture or combination of elements is made available to a group (Gallaher, 1965).

Organizational climate.--The social interaction between the principal and the teachers. Desirable organizational climate is one in which it is possible for leadership acts to emerge easily, from whatever source (Halpin and Croft, 1962).

#### Organization of the Study

Organizationally, the study is composed of five chapters: Chapter I is the introductory chapter; Chapter II is a review of relevant literature; Chapter III is a description of the model and accompanying narrative; Chapter IV is a compilation and analysis of the data from the respondents; and Chapter V is the summary, conclusions, and recommendations of the study.

## CHAPTER II

### A REVIEW OF LITERATURE ON CHANGE

#### Introduction

The review of literature is organized around the following topics: (a) the role of the principal in the change process, (b) other people involved in change, (c) definitions and types of change, (d) change models, (e) change strategies and techniques, (f) sources of and barriers to change, and (g) a summary statement. The review of literature revealed that whatever view or views one has regarding change, he can find support for that position in the literature. After reviewing over five hundred sources dealing with change and innovation, Maguire (1970b) discovered that "although there is currently a great deal of interest in change, it is a topic which is neither commonly referred to nor commonly understood (p. 9)." The purpose of this review is to present some of the major topics dealing with the change process. The review serves as background material for the process model and the accompanying narrative for Chapter III. Ideas and suggestions were appropriated in the construction of the model.

### The Role of the Principal in the Change Process

The role of the school administrator in change was debated in the literature. Gallaher (1965) argued that although it is impossible for the administrator to avoid any concern with change, he cannot adequately serve as an advocate of change. Horvat (1967) felt that there are two possible roles for the school administrator in causing change to occur: (a) the active change agent role in which the administrator attempts to be an active leader in bringing about change; or (b) the passive change agent role in which he administers the school more or less as usual, shows fairly high interest in change, but does not spend a great deal of his time actually practicing change agency. Horvat concluded that the passive change agent role is the one most administrators can assume. There was some evidence (cf. Miner's study, 1967) to indicate that some school boards reward the superintendent and principal for not "rocking the boat." This seems to have been the major trend in the past.

That school administrators are involved in the change process was evidenced by the following studies. Brickell (1961) in his statewide study of educational change in New York state focused upon the importance of the school administrator in changing the curriculum when he stated that "new types of instructional programs are introduced by administrators. Contrary to general opinion teachers are not change agents for instructional

innovations of major scope [p. 503]." Mackenzie (1964) after analyzing over thirty case studies of recent curriculum changes in the elementary and secondary schools of New York City concluded that "in the descriptions analyzed, principals were found to be very influential in changing the determiners [p. 410]." He also indicated that "in many instances, the superintendent of schools appeared to be the most powerful single participant in change [p. 411]." As early as 1938 Mort and Cornell in their study of nine curriculum adoptions in forty-eight Pennsylvania school systems found ". . . the role of the administrator was significant in the introduction of the nine adoptions in Pennsylvania [p. 318]." Demeter (1951) found that building principals are the key figures in the educational change process. Ross (1958), in one of the most complete compendiums of educational change literature, summarized over 150 studies dealing with the adoption of new educational practices. He concluded that "the local school administrator, by virtue of his position and the legal setting in which he finds himself in most states, is the most important link in the adoption process [p. 317]." Furthermore, he indicated that it is of little wonder that the studies of Mort, Shagsberg, Collins, Eley and Berthold found the local school administrator to be the most significant individual in the innovation process in school systems.

### People Involved in Change

The change process involves many types of people and many roles. Barnett (1953) presented a typology of acceptors of novelty which is as follows: (a) the dissidents, who consistently refuse to identify themselves with some of the inventions of their group; (b) the indifferent, who are prepared to accept new ideas because they have not dedicated themselves irretrievably to a custom or ideal of their society; (c) the disaffected, who are at odds with their society as a result of such possible variables as marginal status, disillusionment, frustration circumvention by enemies, generalized social anxiety, and guilt depression; (d) the resentful, who are susceptible to a suggestion of change because they have less, or often nothing, to lose by accepting it.

Rogers (1965a) defined innovators as "the first members of a social system to adopt new ideas [p. 55]," and characterized them as follows: (a) innovators generally are young; (b) innovators have relatively high social status, in terms of amount of education, prestige ratings, and income; (c) impersonal sources of information are important to innovators; (d) innovators are cosmopolite; (e) innovators exert opinion leadership; (f) innovators are likely to be viewed as deviants by their peers and by themselves.

Evans (1968) expanded Rogers' definition of innovators to include "a person, or a group, who

introduces a new idea, as well as the one who is first to adopt it [p. 21]."

Rogers (1965 ) also conceptualized the continuum of innovativeness in terms of five adopter categories: "innovators, the first 2.5 percent to adopt; early adopters, the next 13.5 percent; early majority, the next 34 percent; late majority, the next 34 percent; and laggards, the last 16 percent to adopt [p. 82]." The salient values attributed by Evans (1968) to each of the preceding categories are as follows: (a) innovators are venturesome, willing to accept risks; (b) early adopters are respected, regarded by many others in the social system as a model; (c) early majority are deliberate, willing to consider innovations only after peers have adopted them; (d) late majority are skeptical, need overwhelming pressure from peers before adoption occurs; (e) laggards are tradition bound, oriented to the past.

There were others who, like Evans, did not follow Rogers' definition of innovator. Among them was Gallaher (1964) who defined an innovator as "the individual or agency responsible for the conception of an innovation [p. 24]," while change advocates are "individuals or agencies who sponsor an innovation for the express purpose of gaining its acceptance by others [p. 42]." Gallaher also differentiated between change agents and change advocates on the basis that "the role of change agent

does not involve necessarily either the conception of consequences and the giving of advice based thereon [p. 42]."

Meadows (1964) used the term "agents of change" to encompass all individuals and organizations involved along the continuum of change. His typology of change agents is as follows: (a) innovators, who are discoverers, inventors, elaborators, systematizers, codifiers, promulgators, de-codifiers, or other developers of novelty; (b) donors, which are entrepreneurial organizations responsible for the mobilizing, shaping, transporting, transmitting, merchandising, informing, propagandizing activities of the human carriers of novelty; (c) acceptors, which are the individuals, associations, and the institutions which absorb the novelty as part of the "going concerns" which they themselves in point of fact are.

Havelock (1967a) has developed a typology of linking roles in the change process: (a) conveyor, one who takes knowledge from expert sources and passes it on to non-expert users; (b) consultant, one who is a facilitator, helper, objective observer, and specialist in how to diagnose needs, identify resources, and retrieve from expert sources; (c) leader, one who creates effective linkage through power or influence within the receiver's own group; (d) innovator, the first person or persons to take up a new idea; (e) defender, one who champions the

client against innovations; (f) knowledge builder, one who serves as a gatekeeper to the world of science, a supreme generalist and general educator or a definer of basic human values and directions, or who has a dual orientation, focusing on both scientific soundness and practical usefulness; (g) practitioner, one who serves his clients, the general public, the consuming public, students, patients, the needy, or whatever by imparting to the ultimate consumer some elements from the collective cultural knowledge bank; (h) user, one who takes initiative on his own behalf to seek out scientific knowledge and derive useful learnings therefrom.

Havelock (1967b) summarized the endemic problems in linking roles under five headings: (a) marginality, (b) conflicting service goals (serving two masters), (c) remoteness from the point of need (spatially and temporally), (d) expertise overload, and (e) channel efficiency.

Jung (1967) discussed two kinds of linking roles to bring about change: (a) carrier linkage, which involves training people to train others in the use of specific innovations; and (b) mutual bond linkage which involves training people to train others in identifying improvement needs and coping with them by carrying out problem solving steps which utilize research findings and skills. He concluded that mutual bond linkage is equally important, but less commonly found than carrier linkage.

Jung, Fox, and Lippitt (1967) came essentially to the same conclusion when they stated that roles for identifying and planning to cope with change needs should be further developed by school systems.

The role of the teacher in change is unclear. Brickell (1964) stated that changes in the structural arrangement of schools depend almost exclusively upon administrative initiative and that teachers are not change agents for innovations of major scope. (The change model makes provision for whatever suggestions teachers can make regarding change.) Sieber (1967) felt that teachers serve as bureaucratic functionaries who are opposed to innovation. Gottlieb and Brookover (1966), in a research study, found that teachers do not perceive their role as that of someone who can or should make decisions about educational innovations and depend upon administrative initiative in matters of change. The writers in at least one publication, Fostering and Reinforcing Innovative Behavior (Southwestern Cooperative, 1967), however, felt that teachers can and should play a major role in promoting educational change. In fact, the Research and Instruction Unit (Klausmeier, 1966) seems to be based upon the premise that teachers can bring about meaningful change if the school is structured to promote such behavior. In another study, Gross, Giacquinta and Bernstein (1968) questioned the premise of teacher resistance to change.

### Definitions and Types of Change

The following is a compilation of definitions and types of change. Change (Guba, 1968) implies that "there is some perceptible difference in a situation, circumstances, or a person between some original time and some later time [p. 1]." Change can be directed at three levels: (a) individual, (b) group, and (c) social system (Crow, 1964). There are also various forms of change. Chin (1964) identifies the following five: (a) substitution of one element for another; (b) alteration of basic elements; (c) perturbations and variations where temporary oscillations occur in a system; (d) restructuring, involving basic structural modification; (e) value orientation requiring attitudinal or cultural changes.

Social change may be defined as "the alteration in the systemic attribute of society and its subsystems through the development of new systems and the alteration of old ones [Beal and Bohlen, 1968a, p. 55]." It can also be understood as "alterations in a social group's essential attitudes and beliefs whereby new patterns, or 'systems' emerge from present ones or essentially new ones are developed [Medlin, Carpenter and Cave, 1965, p. 6]." Social change was viewed by one author (Bertrand, 1968) as the final master process in all social systems and the goal of all innovative programs.

Social change theory may be regarded as an "organization of the facts involved in the collective utilization

of novelty in terms of collective facilitation of some desired or recognized ends and in terms of the measured (or measurable) dimensions or parameters of actions [Meadows, 1964, p. 43]."

There are various ways of viewing innovation. Barnett (1953) defined innovation as "any thought, behavior, or thing that is new because it is qualitatively different from existing forms [p. 7]." He felt that the essence of change "lies in the restructuring of the parts so that a new pattern results, a pattern the distinctiveness of which cannot be characterized merely in terms of an increase or decrease in the number of its component elements [p. 9]."

Another author (Rogers, 1962) defined innovation as an idea perceived as new by the individual considering adoption of it. Bhola (1965) defined it as "a concept, an attitude, a tool, or two or more of these together, introduced to an individual, group, institution or culture that had not functionally incorporated it before [p. 8]." Beal and Bohlen (1968b) defined it as "a change which involves not only a change in materials but also a complex of changes with regard to their use [p. 38]." Other authors (O'Connell, 1968; Loellbach, 1968) drew a distinction between conception and innovation on the basis that conception occurs when a clear concept of a new device, idea or effect is apparent, while innovation occurs when the device, idea, or effect is operationalized.

Bratten (1965) argued that previous concepts of innovation produce "a kind of one-shot, event-oriented 'thingness' that focuses on the problems of getting a discrete change as an unusual, novel periodic event interposed between periods of organizational stability [p. 67]."

Some authors, however, viewed innovation as a process. The following is a list of various process definitions of the term: (a) the entire process of generating a new form of educational practice (along with the concepts underlying it and the materials needed to execute it), trying it in small scale laboratory settings to get information for the purpose of redesigning it, testing it in a variety of field settings (to discover what it will do under normal conditions), and disseminating it to prospective adopters (to inform and aid them in adopting it). Adoption, which must accompany dissemination (dissemination is sending; adoption is receiving), is also included in the definition (Brickell, 1967a); (b) "a process that begins with an idea on the part of a change agent and ends in its adoption or rejection by the potential recipients [Niehoff, 1966, p. 40]"; (c) "tryout of a method producing change in an intellectual climate [Bowles, 1967, p. 107]"; (d) "creative selection, organization, and utilization of human material resources in new and unique ways which will result in the attainment of a higher level of achievement for the defined goals and objectives [Richland, 1965, p. 32]"; (e) "the successful

introduction to an applied situation of means and ends that are new to that situation [Gitrell and Hollander, 1968, p. 3]."

Gallaher (1964), however, viewed innovation as only one of three interrelated processes of culture change: (a) innovation, the process whereby a new element of culture or combination of events is made available to a group; (b) dissemination, the process whereby an innovation comes to be shared; and (c) integration, the process whereby the innovation becomes mutually adjusted to other elements in the culture.

From the various definitions, it seems that there are at least two components to an innovation: (a) the idea or item which is new to a particular individual or group, and (b) the change which results from the adoption of the idea or objective. (Evans, 1968).

Gallaher (1964) depicted two general types of change: (a) change in the culture of one society in contrast with another, and (b) changes in a society which are internally derived, as through invention and discovery. He defined a form of the latter, directed change, as a "structured situation in which an advocate interferes actively and purposefully with the culture of a potential adopter [p. 20]."

Bennis (1966) identified eight types of change by focusing on the relationship between a change agent and client system: (a) planned change, which entails

mutual goal setting, an equal power ratio, and deliberateness on the part of both sides; (b) indoctrination, which involves mutual goal setting and is deliberate, but also involves an imbalanced power ratio; (c) coercive change, which is characterized by non-mutual goal setting, an imbalanced power ratio, and one-sided deliberateness; (d) technocratic change, which relies upon the client's definition of his problem and upon the agent's collection and interpretation of data as the solution; (e) interactional change, which is characterized by mutual goal setting, a fairly equal power ratio, but no deliberateness on either side of the relationship; (f) socialization change, which has direct kinship with hierarchical controls; (g) emulative change, which is characterized by identification with and emulation of power figures by subordinates; (h) natural changes, which refer to that class of changes brought about with no apparent deliberateness and no goal setting on the part of those involved.

Guba (1968) described three types of change: (a) evolutionary, which is without conscious direction or reference to some kind of design, not random, but not planned or intended; (b) homeostatic or reactive, which is under conscious direction and sometimes with very immediate effects, occurs in response to some specific triggering, and is mainly automatic and instinctive rather than thoughtfully guided; (c) neomobilistic or planned,

which results from conscious direction and may be triggered by some specific factor, but moves the system in a new direction, goes on the assumption that mere reaction is not enough and that the system is so out of balance that an entirely new organization, structure, or mechanism is required, and is by its very nature always preplanned and risky.

Another author (Goodson, 1966) differentiated between natural or evolutionary changes deliberately designed and purposefully directed.

Worthen (1966) clarified what is meant by homeostatic change by stating that it refers to any reactive responses intended to restore a state of balance to a person or system for which change pressures have created a state of imbalance. The emphasis is on adjustment to an adoption to change pressures initiated by someone else, rather than identification of needed changes and formulation of a plan of action. He described four ways in which school systems react homeostatically to change pressures: (a) resistance (I can't), (b) rationalization (I shouldn't and I won't), (c) random adoption of innovation, and (d) innovation by fiat.

Chin (1967a) defined planned change as deliberative and collaborative process involving a change agent and client system that are brought together to solve a problem or to plan and to attain an improved state of functioning in the client system by utilizing and applying

valid knowledge. Jung and Lippitt (n. d.) defined it as "the inclusion of certain basic problem-solving phases in adapting to an action concern [p. 4]." Planned change has been viewed as reducing the number of possible directions for change by emphasizing a few (Barbe and Hall, 1966). Planned change is currently being emphasized over other types of change in education because the alternative to it is to be buffeted about by the pressures and demands of a society that clamors for educational services of many kinds (Pellegrin, 1966), because it considers the mechanisms of change and the techniques for guiding the process toward desired end results (Shipman, 1963), and because it is the only viable alternative for producing the dramatic and startling changes that are needed in education today (Worthen, 1966; Bhola, 1966; Guba, 1968).

Culbertson (1965) drew an interesting distinction between planning for change and planned change. He argued that planning for change is not necessarily planned change because control of designated activities may not be accomplished. He, therefore, concluded that an essential part of planned change involves the use and management of conflict. Miles (1965a) argued that successful efforts at planned change must take as a primary target the improvement of organizational health which he defined as "the school system's ability not only to

function effectively, but to develop and grow into a more fully functioning system [pp. 11-12]."

### Change Models

The following statement by McClelland (1968) provided an insightful overview of existing change models:

It is premature to do more than wish for a general model, let alone a general theory of change and changing. Accordingly, researchers have developed a variety of subsystem models, each of which deals with some aspect of the change process or with some specific setting. Quite understandably, they vary widely in comprehensiveness, complexity, and elegance [p. 15].

To indicate the diversity of change, models which had currency in the literature were summarized.

Bennis (1963) identified three general classes of change models.

1. Equilibrium models. Such models have as their target defensive social structures; the mechanisms they utilize involve tension release through anxiety reduction, and their normative goal is conflict free social structures.

2. Organic models. These models have as their target problem-solving activities; the mechanisms they utilize involve power redistribution and conflict resolution, and their normative goal is team management.

3. Developmental models. These models have as their target interpersonal competence; the mechanism they utilize is the transformation of values, and their normative goal is authentic relationships.

Chin (1967a) depicted four general classes of change models.

1. Systems and component model. A systems model allows for change to come from components inside the system through invention and innovation. A system made of conceptualizing assumes a relatively leak-tight boundary for the elements under consideration, a close degree of interrelationship and interdependency of these elements, as arrangements whereby the elements are in some sort of balance or equilibrium.

2. Organic systems model. In the conceptual model of organic systems, it is assumed that the system has more channels of commerce within its immediate environs. The phenomena represents an open system. Boundaries are not so tight, but interdependency is still as important property of the systems components. Equilibrium is still the keystone, but this equilibrium may be a shifting point, perhaps never achieved even in the ideal state. Stresses and strains arise from the inputs from outside the system. Adoption to this environment requires that the system, in order to survive, engage in constant actions on, and response to, the environment, and develop a feedback mechanism to steer and guide its behavior.

3. Developmental models. Developmental models are not bound by time as are the previous system models. In developmental models there are assumptions of direction

of movement toward something or somewhere. At any one point in time, there are stages or phases which are to be replaced by other stages and phases. There are potentialities built into the system, and there are forces that move the system from one stage to another and further on to its goals unless impeded by some obstacle.

4. Intersystem models. Another variation of the system models is the intersystem conceptual model. Intersystem models use properties of two organic systems in direct and purposive contact with each other. One needs to specify the nature of the relationship, such as the connections, attractions and rejections that create a relationship between the two systems.

McClelland (1968) described two models under Chin's fourth category, intersystem models: (a) an interpersonal model which deals with antecedents, process and results; (b) an inter-organizational model which focuses on the concept of research through development to use.

Beal and Bohlen (1968a) presented a thirty-four step model of social change which focused on the persons involved, the social system involved, and the stage or flow of social action. This model is very close to the elements Gephart (1965) emphasized in his study of the educational change process: (a) actor variables; (b) action variables; and (c) the interaction among actor, action, and actor-action variables. Meier's (1965) model

for bringing about large scale change emphasized the interrelationship of the following elements: "(a) an image of a more desirable future, (b) at least one course of action that enables the society to achieve it, and (c) hierarchical ordering and structure [pp. 68-69]."

Gallaher (1965) presented two change models viewed in terms of the role of the change advocate, the pragmatic model and the utopic model.

The model that I call the pragmatic advocate prescribes a role concerned mainly with creating a climate conducive to acceptance; the view of the culture change cycle is global, acceptance is to be achieved, but the processes of acceptance are accorded signal importance. This model rests on the premise that success or failure in directed change is referable mainly to the advocate's understanding of the content and internal organization of the pattern where change is sought.

The utopic model defines the advocate role mainly as one of manipulation to gain acceptance of an innovation; the view of the culture change cycle is myopic, it focuses almost exclusively on the art of acceptance. There is a basic premise that one can achieve results best by doing things to, or planning for, people rather than with them [p. 41].

Similarly, Niehoff (1966) portrayed a model which focused on the technique used by the change agent in his efforts to convince a local group to accept a new idea and on the behavior of the recipients toward the proposed innovation. He divided these techniques into two general categories, the replacement method and the adoption method.

The replacement method is used when an outside expert attempts to replace inefficient practices with modern efficient ones in a total manner. The adoption method is used when the innovator attempts to utilize old practices and graft new practices onto them without attempting complete replacement [p. 21].

Westley-Gibson (1967) explained three models for effecting changes in the classroom: (a) displacement, which forces teachers and students to use a replacement for old methods and materials; (b) authority, which emphasized the use of published research findings; (c) co-action, which emphasized a two-way process in which teachers involved in using their classes as the basis for hypothesis making and testing.

Mann and Neff (1961) postulated a model which focused on resistance to change. According to this model, the amount of resistance is co-determined by the degree of perceived control of the environment and of the change, and by the degree of trust in the change initiators.

Bhola (1965) explained a model of change which viewed the diffusion of an innovation as a function of the configurational relationship between the initiator and target, the extent and nature of linkage between and within configurations; the environment in which configurations are located, and the resources of both the initiator and target configuration.

The change process has received extensive treatment in different models of change and has been

conceptualized in many ways. The following is an attempt to portray the diverse and extensive treatment of the process.

One of the first attempts to depict the process of change was undertaken by Lewin (1961). He postulated three steps in the process: "unfreezing, moving, and freezing of a level [p. 237]." Another famous conceptualization of the change process, viewed in terms of adoption was provided by Rogers (1962): "(a) awareness, (b) interest, (c) evaluation, (d) trial, (e) adoption [p. 81]." One author (Mason, 1962) denied that all five stages are necessary to postulate a change process and argued that awareness and adoption are necessary and sufficient. Eicholz (1961) utilized elements similar to Rogers' five steps in developing a model of change which looks at rejection, rather than acceptance of innovation. He identified five different forms of rejection: (a) ignorance, (b) suspended judgment, (c) situational, (d) personal, and (e) experimental. Loomis (1959) felt that change is a process which occurs in three stages: (a) initiation, (b) legitimization, and (c) congruence. Hobbs (1966) presented a similar formulation which included the following stages: (a) development of innovation, (b) diffusion of innovation, (c) legitimation or advocacy, (d) adoption, and (e) adjustment or adaptation.

From an organizational viewpoint, Gross, Giac-  
quinta, and Bernstein (1968) depicted the stages of  
time periods in the planned change process as follows:  
(a) antecedent, which "focuses attention on conditions  
prevailing in an organization prior to the actual  
initiation of change [p. 17]"; (b) initiation, which  
"refers to that period of time in which a particular  
innovation is selected and introduced into an organi-  
zation [p. 17]"; (c) implementation, which "focuses on  
efforts to make the changes in the behavior of organi-  
zational members specified by the innovation [p. 17]";  
(d) incorporating, which "is the period when a change  
that is implemented becomes an enduring part of the  
operation of the organization [p. 17]"; (e) effect,  
which "refers to the period during which effects of  
the implementation of the innovation for organizational  
functioning are occurring [p. 17]."

Some conceptualizations of the change process  
focused on the relationship between a change agent and  
client system. One of these was the Lippit-Watson-  
Westley (1958) model which postulated the following  
stages: (a) the development of a need for change, (b)  
the establishment of a change relationship, (c) the  
clarification or diagnosis of the client system's problem,  
(d) the examinations of alternative routes and goals,  
establishing goals and intention of action, (e) the

transformation of intentions into actual change efforts, (f) the generalization and stabilization of change, and (g) the achieving of a terminal relationship.

Similarly, the National Training Laboratories (Reading Book, 1966) postulated a model of planned change which had the following eight phases: (a) diagnosis of the problem of the client system, (b) assessment of the motivation and capacity of the client system to change itself, (c) assessment of the motivation and resources of the change agent, (d) establishing and maintaining a working relationship with the client system, (e) choosing the appropriate role, (f) selecting appropriate change objectives and targets, (g) providing support and encouragement for changed behavior, and (h) termination (or new continuity) of helping relationship.

Buchanan (1967) put forth another process model of planned change which focused on the relationship between change agent and client system: (a) clarify or develop the client's motivation to change, (b) assess the change agent's potential helpfulness, (c) establish effective relations between the change agent and the client system, (d) clarify or diagnose the client system's problems, (e) establish instrumental objectives for change, (f) formulate plans for change, (g) carry out plans for change, (h) generalize and stabilize changes, and (i) institutionalize planned development or self-renewal.

Goodson and Hammes (1968), reporting on Cooperative Project for Educational Development (COPEDE) activities in Wisconsin, depicted two major processes in change: (a) planning for and managing specific changes which systems might desire or need, and (b) facilitating and perpetuating an innovative climate in the school system.

Some authors focused on the process of instituting and installing a new program in an educational setting. In presenting an adaptation model of change, Abbott (1967) described three phases: (a) awareness, (b) search, and (c) implementation. Another proposed formulation (Miles, 1964a) included the following stages: (a) criticisms of existing program, (b) presentation of proposed changes and their clarification, (c) review and reformulation of proposals and comparison of alternative proposals, (d) action decisions, (e) implementation of action decisions. Brickell (1964) depicted three major steps in this process: (a) informing the board and the staff that a new program exists, (b) convincing the school administrators and the board that the school should adopt it, and (c) teaching the staff how to conduct it.

Caldwell (1968), however, felt that there are four major steps in the process: (a) identification and priority ranking of needs, (b) development of broad strategies and specific plans for meeting selected needs,

(c) implementation of the selected approaches, and (d) assessment of outcomes. An expanded version of Caldwell's formulation by Richland (1965) is: (a) set the objectives or definitions of needs, get acceptance of them; (b) explore a set of alternatives or a variety of alternatives that might meet or satisfy these needs; (c) select an appropriate alternative suited to the specific local situation and limitations; (d) organize the introduction of change, set up controls, obtain material required, plan timing of the introduction, note staff behavior required, and determine standards against which to measure achievement of objectives; (e) introduce change as planned; and (f) measure the results against your predetermined standards and take action as necessary, including cancelling the change if appropriate.

Rubin (1968) focused on the pre-installation process of innovation and depicted the following steps in that process: (a) specifying the expected benefits of the innovation, (b) judging the appropriateness of the innovation to the particular situation, (c) verifying the presence of conditions essential to the effective use of the innovation, (d) determining the necessary restraining of the professional staff, (e) determining the required materials, (f) anticipating the effects of the innovation on other aspects of the instructional program, (g) specifying necessary changes in the school

organization, and (h) establishing a systematic procedure of introducing the innovation.

Pickering (1967) depicted four stages that an innovator must go through if he wants to see his ideas implemented as (a) philosophical, (b) strategical, (c) political, and (d) practical. Miller (1968) presented a comprehensive model for managing change from conception to culmination under the following headings: (a) proposal development, (b) first year appraisal, (c) second year appraisal, (d) third year appraisal, and (e) final evaluation. Booz, Allen, and Hamilton (1968), a major management consulting firm, viewed the change process as the basic management process. They depicted the change process for business enterprises in terms of the following phases: (a) exploration, (b) screening, (c) business analysis, (d) development, (e) testing, and (f) commercialization.

There are a number of theory-into-practice models of planned change. Most of the models seem to be predicated on the assumption that there is an orderly process from research to development to use, but there is some research to indicate that the existence of such a process is largely a myth (Carter, 1967). Therefore, the models which follow should not be interpreted as necessarily portraying what is, but rather may indicate what their authors felt should be.

Mackie and Christensen (1967) presented a model of learning research and application which attempted to interrelate the following processes: (a) theory construction (general); (b) basic research (specific); (c) collation and interpretation (specific-general); (d) translation (general-specific); (e) applied research; (f) development, including techniques and hardware; and (g) application and practice.

Brickell's (1964) theory-into-practice model for educational change tried to interrelate the following processes: (a) basic research, (b) program design, (c) evaluation through field studies, and (d) dissemination through demonstration and re-education. Brickell's (1961) initial portrayal of this model, which explained how New York state could organize for educational change, did not include basic research as the first phase because he felt that basic research should be supported on a national, not state, level and that most innovations did not flow methodically from basic research findings but were undertaken quite independently.

The Clark-Guba (1967) theory-into-practice model focused on the processes related to and necessary for change in education. It tried to interrelate the following: (a) research; (b) development, which includes both invention and design; (c) diffusion, which includes both dissemination and demonstration; and (d) adoption, which includes trial, installation, and

institutionalization. Clark and Guba (1966) have criticized university programs on the basis of the criteria suggested by the model, and Guba (1966) has criticized the Illinois plan for gifted children on the same basis. Guba (1968) tried to operationalize these processes in a change model which has the following elements: (a) a utilization arm, (b) an information arm, (c) a research arm, (d) a development arm, and (e) a diffusion arm.

Gideonse (1967) presented a revised version of the Clark-Guba model and labeled it "an output-oriented model of research and development [p. iv]." In the model, he tried to show the interrelationship of the following activities: (a) research, (b) development, and (c) local school operation.

Another model of planned change which is in the theory-into-practice mold was developed by Coughenour (Meierhenry, n. d.), a sociologist. There are four main elements in his model: (a) research, (b) an innovative system, (c) a system of communication, and (d) linkage with practitioners. Havelock (1967b) has developed two models of change, an agricultural model and a medical model. The agricultural model included the translation of the findings of scientists to departments of applied research with colleges of agriculture, to those associated with experimental farms and to the extension specialist who has frequent contacts with the county agent who in turn is in touch with the farmer.

Havelock's medical model was very similar to the agricultural one, except that it included a pharmaceutical house as an additional avenue through which doctors obtain much of their information.

Miles (1964a) described a model of educational change which focused on the following stages: (a) design, (b) awareness-interest, (c) evaluation, and (d) initial trial and post trial.

The final type of change model to be mentioned in the review is termed "knowledge utilization model for educational change." The area of knowledge utilization is receiving increased attention from those interested in educational change and serves as a fitting conclusion to this section. The model (Jung and Lippitt, n. d.) attempted to focus on and link scientific knowledge of the educational setting throughout the following phases of the change process: (a) identification of a concern, (b) diagnosis of the situation, (c) formulation of action alternative, (d) feasibility testing of selected alternatives including training and evaluation, and (e) adoption and diffusion of goal alternative.

Havelock and Benne (1966) viewed knowledge utilization as a system with a flow structure and an administrative structure, and as a process with motivational aspects, interpersonal and group membership issues. Lippitt (1965) described six models for the use of scientific resources and knowledge as follows:

(a) derivation of action designs from relevant research findings, (b) adoption of experimentally tested models of practice, (c) diffusion between practitioners, (d) diagnostic team with feedback, (e) internal action-research process, and (f) training of consumers to be open to the use of science.

### Strategies and Techniques

The difference between strategies and tactics or techniques is amply debated in the literature with the result that what some writers considered to be strategies, other writers regarded as tactics, and vice-versa (Guba, 1967a). Beeby (1967) noted this confusion when he stated the difference between making a decision and carrying it out under orders, and that "what specialists at one level consider to be tactics, those at the next lower level may regard as strategy [p. 34]."

Strategies. Evolving a strategy to bring about change necessitates consideration of at least the following elements (Guba, 1967b): (a) assumptions concerning the nature of the practitioners who will be exposed to the strategy, (b) assumptions concerning the end state in which one wishes to leave the practitioner, (c) assumptions about the nature of the agency or mechanism carrying out the diffusion activity, (d) assumptions concerning the nature of the inventions.

The previously mentioned elements are similar to, but must be supplemented by, the major components

that influence the process whereby an individual or group becomes aware of, evaluates, and finally accepts or rejects an innovation: (a) the innovation itself, (b) the process itself, (c) the characteristics of the individuals or groups which make up the adapter system, and (d) the nature of the adapter system itself (Evans, 1968).

Evolving a strategy also involves consideration of three fundamental functions in the change process: (a) knowledge, (b) attitude change, and (c) behavior change (Rogers, 1965b).

The National Training Laboratories (Reading Book, 1966) described six principles of strategy for effecting organizational change.

1. To change a subsystem or any part of a subsystem, relevant aspects of the environment must also be changed.

2. To change behavior on any level of a hierarchical organization, it is necessary to achieve complementary and reinforcing changes in organization levels above and below that level.

3. The point to begin change is at those points in the system where some stress and strain exist.

4. If thoroughgoing changes in a hierarchical structure are desirable or necessary, change should ordinarily start with the policy-making body.

5. Both formal and informal organization of an institution must be considered in planning any process of change.

6. The effectiveness of planned change is often directly related to the degree to which members at all levels of an institutional hierarchy take part in the fact-finding and the diagnosing of needed change and in the formulating and reality-testing of goals and programs of change.

There are many ways of classifying change strategies. One typology (Chin, 1967b) included the following strategies: (a) power and solution oriented, (b) relationship and attitude change oriented, and (c) problem-solving and process oriented. Sieber (1967) classified strategies under the headings of (a) rational man, (b) cooperation, and (c) powerless participant, and argued for an overall strategy that would encompass the resources of all three viewpoints. Chin (1967b) classified change strategies under three headings: (a) empirical-rational approaches based on reason and utilitarianism, (b) normative-reeducative approaches based on an attitude change, and (c) power approaches based on compliance. Guba (1967a) developed a typology of strategies on the basis of assumptions made about the adopter of change.

1. A value strategy. The adopter is viewed as a professionally oriented entity that can be obligated to adopt through an appeal to his values.

2. A rational strategy. The adopter is viewed as a rational entity who can be convinced, on the basis of hard data and logical argument, of the utility (i.e. the feasibility, effectiveness, and efficiency) of the innovation.

3. A didactic strategy. The adopter is viewed as a willing but untrained entity (as having appropriate values, motivations, and the necessary economic resources but as not knowing how to perform).

4. A psychological strategy. The adopter is viewed as a psychological entity whose needs for acceptance, involvement and inclusion can be employed to persuade him to adopt.

5. An economic strategy. The adopter is viewed as an economic entity who can be compensated for agreeing to adopt or deprived of resources for refusing to adopt.

6. A political strategy. The adopter is viewed as an entity who can be influenced to adopt.

7. An authority strategy. The adopter is viewed as an entity in a bureaucratic system who can be compelled to adopt by virtue of his relationship to an authority hierarchy.

Miles (1964b) developed a typology of change strategies which is as follows: (a) strategies initiated

by the target system, using existing structures; (b) strategies initiated by the target system, using new structures; (c) strategies initiated by systems in the environment, using existing structures; (d) strategies initiated by systems in the environment using new structures.

Brickell (1967b) argued that there are only two major strategies available to a local school district which wishes to effect change in its instructional practices: "invent a new instructional process or adapt one invented elsewhere [p. 140]." He argued that a third alternative, adoption, is not really practicable because of the poor results which normally ensue from such a choice. Carpenter (1965) argued that to bring about meaningful educational change, many kinds and different levels of strategies need to be employed in serving all of the different functions involved in the change process. Another author (Miles, 1964b) stated that demonstration is currently being employed as "polemical, manipulation, technological, prestige-based, experimental, moralistic [p. 2]," and listed the characteristics of effective and ineffective strategies:

Certain characteristics of strategies have been asserted to make for effectiveness: comprehensive attention to all stages of the diffusion process; creation of new structures, especially by systems outside the target system; congruence with prevalent ideology in the target system, such as beliefs about the importance of "local control"; reduction of pressures on relevant

decision-makers; and use of coalitions or linkage between existing structures, as between old and new structures.

Certain types of strategy seem less effective: these which attempt to use only existing structures, and are thus hamstrung by the status quo; those self-initiated by the target system, since (in addition to suffering from status quo problems) they tend to avoid attention to cross system problems, such as interorganizational power struggles which are likely to affect the progress of the innovation; and those which rely on arousing excessive degrees of conflict, though the intriguing idea of "controlled conflict" has been suggested as being promising [pp. 648-649].

Culbertson (1965) has proposed four specific strategies for facilitating planned educational change. Each strategy is directed at a constraint which hinders efforts to achieve planned change. The strategies and the constraints they are addressed to are as follows:

1. The creation of a national education academy to attract promising and imaginative persons into education and to prepare them in such a way that they would make major contributions to planned change. This strategy is addressed to the lack of personnel who are skilled in carrying out planned change.

2. The creation of an institute for the study of educational innovation to develop new concepts for advancing research and development within a framework of planned change. This strategy is addressed to our limited knowledge of change.

3. A plan to facilitate state and national policy development in the generation and assessment of

policy alternative. This strategy is addressed to the conflict over the role of local, state, and federal government in facilitating planned change.

4. The application of operations research to problems of local school districts to meet the goal of planning. This strategy is addressed to the negative attitude generally held toward centralized units devoted to planning functions.

The Research and Instruction Unit, a program of the University of Wisconsin Research and Development Center, has been described as the strategy for effecting change in local schools in that it is "an instrumentality for developing, testing and evaluating innovations [Goodson, 1966, p. 18]." Klausmeier (1966) portrayed it as performing instruction, research, development, innovation and diffusion functions "which set it off sharply from any structure now existing in the schools [p. 4]." The Far West Laboratory for Research and Development, in its survey of arrangements for effective use of educational research and development information, considers the Research and Instruction Unit to be "the most highly developed arrangement for increasing the utilization of research-based information by school personnel [York, 1968, p. 8]."

Leavitt (1964) indicated three points of leverage to induce change: (a) structural, (b) technical, and (c) social or interpersonal factors. Westly-Gibson (1967)

depicted two leverage points: (a) alter the social structure of the system, and (b) work with the motivation, needs and potentials of the individual involved.

Techniques. There are various ways of classifying techniques which are utilized to bring about change. Guba's (1967b) classification, which focused on techniques which can be utilized to convince a practitioner to adopt an innovation, is as follows: (a) tell, (b) show, (c) help, (d) involve, (e) train, and (f) intervene. Chin (1964) listed five categories: (a) education and specialists (tell); (b) innovation (start); (c) communication, media, and influence (sell); (d) money theories (buy); and (e) planned change (interrelate). Jongeward (1966) listed five types of techniques for getting research into action and thus bringing about change: (a) university based research, (b) prescribed curriculum, (c) product or gadget, (d) dissemination of research information, and (e) efficiency angles. Mackenzie (1964) categorized the techniques used to bring about curriculum change under the following headings: (a) advocacy and communication; (b) prestige; (c) competence; (d) money or goods; (e) legal authority; (f) policy, precedent, and custom; and (g) cooperation and collaboration.

Another way of viewing techniques is to classify them on the basis of the pressure which creates the need for change. In what follows, the pressure is followed by that type of technique which is usually utilized to

relieve the pressure (Reading Book, 1966): (a) technical innovation--divide the work flow process into new logical steps and then issue rational instruction; (b) competition and the struggle for economic survival--forced compliance; (c) man's growing desire for freedom and self-direction--shared decision-making and open communication about goals, methods, norms, and need satisfaction.

Katz and Kahn (1966) presented a comprehensive analysis of seven categories of techniques for inducing organizational change: (a) information, (b) individual counseling and therapy, (c) influence of the peer group, (d) sensitivity training, (e) group therapy, (f) feedback and group discussion, and (g) systemic change. Miles (1965a) summarized the techniques used to bring about change in industrial organization under the following headings: (a) team training, (b) survey feedback, (c) role workshop, (d) target setting and supporting activities, (e) organizational diagnosis and problem solving, and (f) organizational experiment. He also classifies techniques for inducing organizational health as (a) self study, (b) relational emphasis, (c) increased data flow, (d) norms as change agent, (e) temporary system approach, and (f) expert facilitation. Greiner (1967) discussed three main techniques for inducing organizational change under the following headings: (a) unilateral action by decree, replacement or structures; (b) sharing of power by group decision-making or group

problem solving; and (c) delegated authority by case discussion or sensitivity training session.

Bennis (1965) described eight traditional techniques for bringing about change as follows: (a) exposition and propagation, which rests on the assumption that knowledge is power, that ideas change the world, and that the men who possess "truth" will ultimately lead the world; (b) elite corps, which is based on the idea of getting the right man in the job; (c) human relations training, which attempts to translate concepts from the behavioral sciences so that they take on personal referents for the people undergoing training; (d) staff, which attempts to provide a source of intelligence within the client system so that appropriate intelligence is available when needed; (e) scholarly consultations, which involve exploratory inquiry, scholarly understanding, scholarly confrontation, discovery of solutions, and scientific advice to the client; (f) circulation of ideas to the elite, which assumes that if one wants to change he must get his ideas to the people in power or to those who can influence these people; (g) developmental research, which has to do with seeing whether an idea can be brought to an engineering stage and is directed toward a particular problem, not necessarily a client; and (h) action research, which attempts to solve a problem for a client by involving the subjects and researchers in a dynamic interchange.

In reviewing the type of advice social scientists offer to leaders who desire to achieve change in the face of major conflict, Walton (1965) discerned that there were two basic categories of techniques for inducing change: (a) power techniques, which involve the building of a power base, the manipulation of power, and the biasing of the rival power group's perceptions about the strengths of the preferences and values; and (b) attitude techniques which involve the use of trust rather than power, reduction of threat rather than the systematic use of threat, and honest communication rather than dissimulation. Schein (1961) labeled Walton's first category, power techniques, compliance, when the individual changed because he was forced to change by the direct manipulation of rewards and punishments. Sayles (1962) labeled Walton's second category, attitude techniques, conversion, when changed behavior is the product of individual cognitive or attitudinal change, and depicts action research, sensitivity training and the management grid techniques as individual techniques under this category.

O'Connell (1968) summarized the techniques recommended by behavioral scientists as follows:

Most recent social science involvement, then, in organizational change has tended to have the following characteristics: (a) change agent role is more collaborative than unilateral, (b) a human values focus causes emphasis on the social more than the structural or technical factors in organization, and (c) intervention

strategies aim at behavioral change through cognitive or attitude change rather than through a direct alteration of the external forces which constitute the role demands [pp. 8-9].

O'Connell (1968) also indicated that understanding of organizational change is dependent upon advances in the social sciences dealing with the dynamics of human affairs on four levels: (a) within the individual as a system, (b) in two-person systems, (c) in multiple-person non-hierarchical systems, and (4) in hierarchical systems.

In regard to the utilization of knowledge to promote change, Lippit, Benne, and Havelock (1966) suggested four techniques for solving the problems in linking roles: (a) the principle of inclusion, (b) the development of temporary linking systems, (c) specialized media, and (d) the specialized linking role.

Although innovation is the form of educational change currently being emphasized, the following statement by Carlson (1965a) is instructive for indicating other methods of change which are frequently utilized by school systems:

Adoption of new educational practice is only one means by which school systems attempt to adjust to their environments. The educational enterprise also changes its structure, size, and support; alters its definition of purpose or mission; and adjusts the number, competencies and characteristics of its personnel [p. 2].

#### Sources of and Barriers to Change

Sources of change.--Barnett (1953) indicated that there are two major sources of innovation: (a)

the cultural inventory that is available to the innovator; and (b) the non-artificial elements of the innovator's experience, which exist independently of human ingenuity and control. Hamlin and Porter (1967) depicted the basic sources:

The man with a passion and his committed followers, the outside agency which feeds the results of its research into the academic world, and institutions themselves which slowly come to the conviction that they must be better than they are; be able to do things they have never done [p. 104].

Bratten (1965) indicated that change may result from "(a) changed performance requirements, (b) availability of improved technology, or (c) discovery of procedural errors in an operating system [p. 67]."

Pellegrin (1966) presented a comprehensive analysis of the following sources of innovation in education: (a) the classroom teacher, (b) the administrator, (c) the school board, (d) the lay public, (e) state departments of education, (f) education faculties in colleges universities, (g) professional associations, (h) the United States Office of Education and other federal government agencies, (i) textbook publishers, and (j) scientists, technical specialists, and other experts. He concluded that these are the major sources for educational change. Cass (1965) felt that a new leadership structure has emerged which is composed of non-professionally prepared persons who

have had limited public school experience and who are noted for their pragmatic orientation.

Pierce (1964) listed thirteen forces which cause educational change: (a) cultural change itself; (b) enactments of state legislatures; (c) regulation of state and local boards of education, and other administrative and supervisory agencies; (d) court decisions; (e) regional and national accrediting agencies; (f) research and experimentation; (g) study committees which are appointed for special purposes; (h) cooperative action within or among school systems; (i) financial grants for special purposes; (j) money-making and commercial enterprises; (k) emergencies; (l) dissatisfaction of citizens; and (m) creative educators who redefine problems, perceive new problems and create new ways of dealing with them.

Cass (1964) presented four reasons why the pressure for educational change will continue and spread: (a) the increasing number of children to be educated and teachers to educate them; (b) new knowledge of subject matter areas and of the teaching-learning process; (c) increasing interest in and utilization of advances in technology; and (d) popular attitudes which show an increasing concern for quality education.

Burchinal (1967) listed the resources which may provide the basis for building programs that can foster widespread adoption of new educational ideas and practices:

1. New national programs such as ERIC, SRIS, EPIE, as back-stopping resources for change programs of local and state agencies as Regional Educational Laboratories.

2. The twenty Regional Educational Laboratories, each of which is assuming active roles as change agents for installing new programs in local school districts.

3. The eleven Research and Development Centers, each of which has numerous roles as change agents.

4. The fourteen Instructional Materials Centers established by the Bureau of Education for the Handicapped, United States Office of Education, each of which acquires and may evaluate materials, develops or stimulates production of new materials, and disseminates information about all of these.

5. The fifty state agencies with their many change facilitating resources, including their guidance and development roles as well as their application of reward systems for inducing change.

6. The many planning, information transfer, materials or resource centers funded under Title III, ESEA, many of which are functioning as local one-stop information centers and as mediators between knowledge producers and educational practitioners.

7. In addition, educational researchers have continued to analyze the change process, develop models, and, to a lesser extent, have begun to apply the theory

represented by these models to the practice of influencing change.

Barriers to change.--Carlson (1965c) indicated that there are three main barriers to change: (a) the absence of a change agent; (b) a weak knowledge base; and (c) domestication of the public schools.

Pellegrin (1966) listed the following major impediments to the achievement of effective change in education.

1. There is a serious confusion in the field of education concerning the sources of reliable and valid knowledge.

2. In view of the complexity, size, and scope of the educational enterprise in the United States, the division of labor that exists is rudimentary and wholly inadequate for the specialized roles that must be performed if we are to make the right kinds of innovation effectively.

3. Training programs for students of education reflect points 1. and 2. above.

4. There is a lack of opportunity, resources, and settings for evaluating them objectively through research.

5. Persons who play different roles in education--teachers, administrators, and researchers, for example--do not have their work linked together by any institutionalized means or procedures.

6. There are grave weaknesses in channels and procedures for dissemination.

7. How educational practices can be related accurately to the goals and ambitions of the public is a question that is shrouded in doubt and uncertainty.

Matthew Miles (1965b) has indicated that the professional culture in education contains certain ideological beliefs that "serve to block effective innovation by effectively insulating educational practitioners from any reality [p. 12]."

Green (1966) characterized the barriers to educational change as: (a) there is no economic incentive for educators to innovate; (b) there are very few change agents in education; (c) community forces outside schools discourage change; (d) educational research is difficult and underdeveloped, with no clear-cut way of getting research findings from the laboratory into the classroom.

Rogers (1965b) depicted the barriers in a similar manner: (a) there is no profit motive for being an innovator in education; (b) there is no corps of change agents in education comparable to extension agents in agriculture; (c) educational innovations are less clear-cut in their advantage over the existing ideas they are to replace; and (d) innovation decisions in education may not be an individual matter, and the norms,

statutes, and formal structure of the system affect the process of diffusion.

Boyan (1967) felt that the products of educational inventiveness have three characteristics which serve as barriers to change: (a) they appear in an underdeveloped state; (b) they appear in forms which are not fully understood by or acceptable to practitioners; and (c) they seldom include specific provisions for preparing or training the potential user to use the product wisely and well.

Sieber (1967) depicted the distinctive features of educational systems which serve as barriers to change as: (a) vulnerability, (b) quasi-professionalism, (c) goal-diffuseness, and (d) formal coordination and control. Similarly, Miles (1965a) portrayed the special properties of educational systems which militate against the promotion and acceptance of meaningful change as (a) goal ambiguity, (b) input variability, (c) role performance invisibility, (d) low interdependence, (e) vulnerability, (f) lay-professional control problems, and (g) low technological investment.

Schmuck (1967) depicted three gaps in the connection between research knowledge and administrative practice which serve as barriers to change as: (a) the lack of effective communication and interpersonal relationship between behavioral scientists and school administrators; (b) the lack of psychological linkage between the

administrator's scientific knowledge and his actions;  
(c) the lack of connection between the practitioner and action repertoire and the requirements of each natural situation as it arises.

Guba and Horvat (1967) in analyzing the characteristics of American educational research, depicted the following items as major barriers to change: (a) there is little utilization of research by practitioners; (b) research has not been cumulative to any marked degree; (c) research has not been pragmatically oriented, so that major problem areas have not been systematically explored; (d) the research currently being produced has been quite unresponsive to practical problems; (e) there are no adequate mechanisms to link the worlds of the researcher and the practitioners; (f) patterns for training educational researchers or for producing needed middlemen (linkers) are inadequate or non-existent; and (g) adequate tools and strategies for carrying out school improvement activities are lacking.

Horvat (1967) portrayed four major barriers to change under the following headings: (a) lack of viable alternative solutions to existing educational problems; (b) lack of understanding of the educational change process; (c) lack of personnel competent to study the change process, to exercise leadership in designing and mounting change programs, or to implement those programs in action;

and (d) lack of tools and strategies through which educational improvements may be effected.

#### Summary

Various viewpoints have been presented concerning the role of the principal in the change process, other people involved in change, definitions and types of change, change models, change strategies and techniques, and sources of and barriers to change. An extensive reading of the literature under each of these headings supported the conclusion that whatever view one holds regarding change, he can find some support for that position in the literature. What emerged, besides a general overview of the change process, was a recognition of the importance and necessity of specifying the nature, scope, level, and target of the change. These factors were considered when the model for Chapter III was constructed.

## CHAPTER III

### A PROCESS MODEL DEPICTING FACTORS INVOLVED IN CHANGE IN AN INDIVIDUAL SCHOOL FROM THE PRINCIPAL'S PERSPECTIVE

The process model presented in this chapter was designed to provide the practicing school principal with a conceptual tool to be used when change is proposed in an individual school. The principal, by virtue of his position, plays a vital and key role in the change process. He can improve an educational institution by sponsoring, promoting, and supporting significant and meaningful change.

The model was designed to be as simple and as comprehensive as possible. It was designed to be a significant point of departure when change is introduced. The model is composed of seventeen points. Each point is one which must be taken into account by the principal. Accompanying the model is a brief narrative reiterating major steps in the change process.

#### Narrative

1. Change from any source is introduced to or by the principal. It is important that any person in an organization be given the opportunity to suggest changes

that would improve the organization. Thus, suggestions for change could come from any source.

2. Principal analyzes the process model.

3. Principal attempts to understand the purpose of change. If change seems feasible, how can change take place?

4. Principal checks on: (a) policy (system, individual school. Are there policies which need to be changed? Can policy be changed?); (b) law (federal, state, local. Are there laws which would prohibit change? Can laws be changed?); (c) values of community--pressure groups (Will the basic value system of the community tolerate change? Consider pressure groups and the possible effectiveness of their opposition. Consider how pressure groups might be used); (d) organizational health (assess the health of the institution. Is it healthy enough to withstand change?).

5. Physical facilities (What changes are needed, if any?).

6. Financial considerations (project cost. Does cost prevent going further?).

7. Personnel (What changes in personnel? Are major changes needed? Consider ways, strategies, and techniques for changing attitudes.)

8. Evolve a philosophy which is consistent with modern concept about education in a rapidly changing society.

9. Determine nature and scope of change.

10. Determine specific objectives of change.

Determine methods of evaluation.

11. Communication (Consider when to announce change, how to announce change, and how to promote change.)

12. Determine organizational or structural changes.

13. Determine what use to make of informal organization. Consider Brickell's two-step method: inform key people and let them talk up the idea.

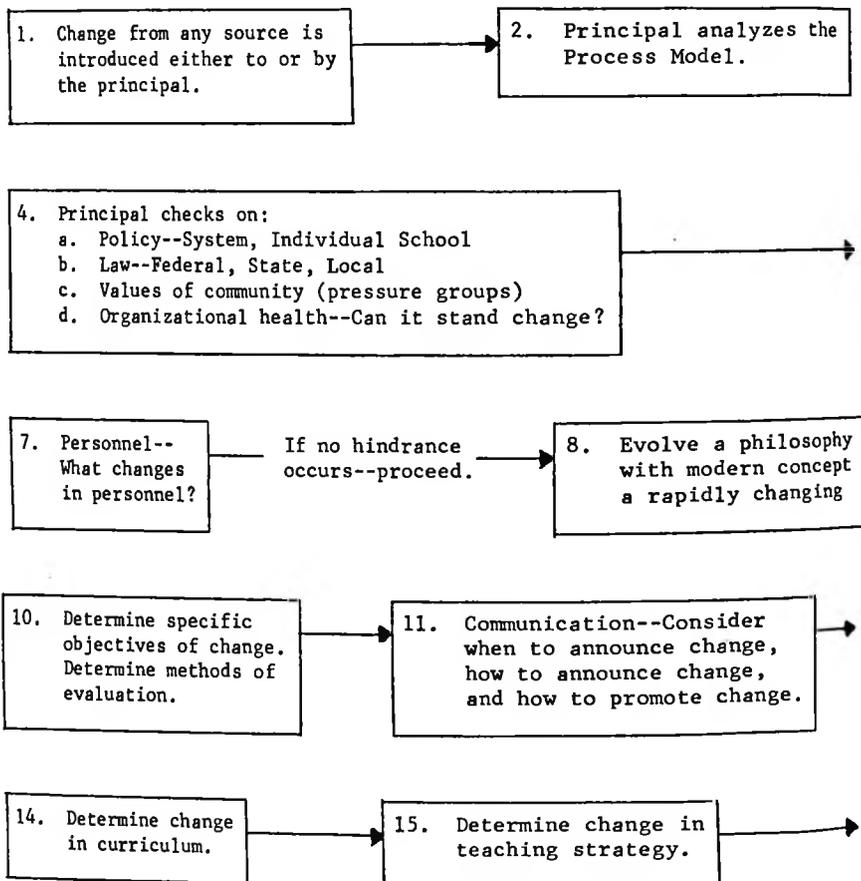
14. Determine change in curriculum.

15. Determine change in teaching strategy.

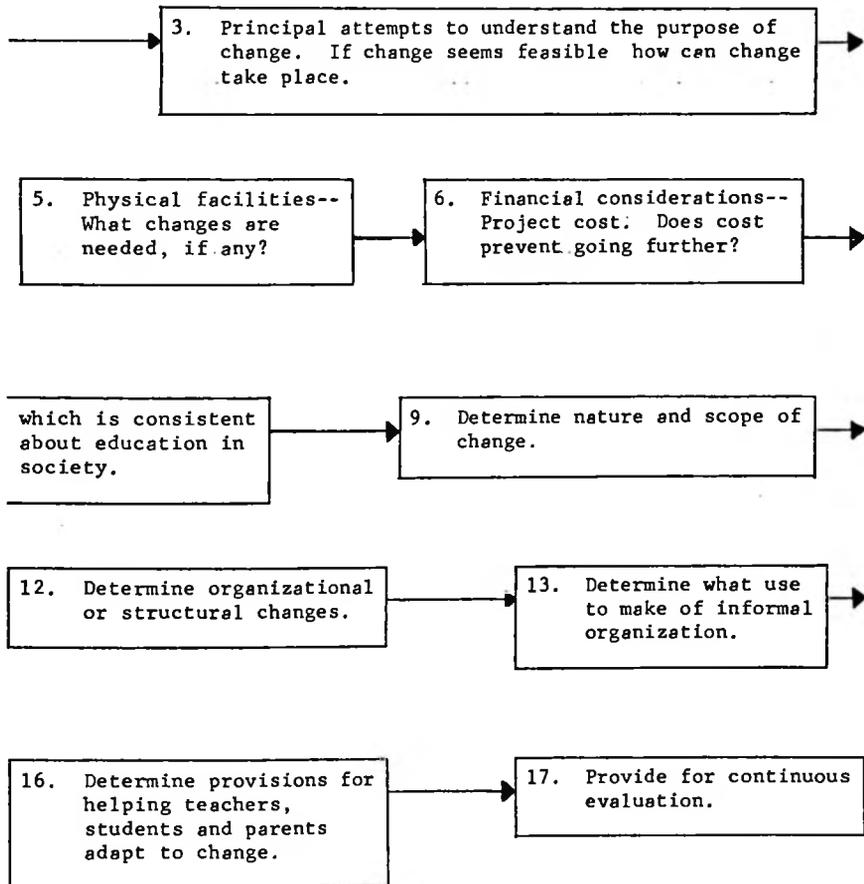
16. Determine provisions for helping teachers, students and parents adapt to change.

17. Provide for continuous evaluation.

A PROCESS MODEL DEPICTING FACTORS INVOLVED  
IN CHANGE IN AN INDIVIDUAL SCHOOL  
FROM THE PRINCIPAL'S PERSPECTIVE



## A PROCESS MODEL--Continued



## CHAPTER IV

### AN ANALYSIS AND SUMMARY OF INTERVIEWS

#### AND REACTIONS TO THE PROCESS

#### MODEL BY THE RESPONDENTS

The model was presented to twenty-one respondents who were selected because of their experience, sex, race, and positions in elementary, junior, or senior high schools. The basic criterion was for the respondent to have had experience as a principal and be a practicing administrator. The investigator assumed that a theoretical model needed the criticism of practicing administrators to ascertain its value as a conceptual tool. The respondents represented a cross section of the principalship. The elementary school was represented by five principals. The junior high school was represented by three principals. The senior high school was represented by seven principals. Two superintendents and one administrative assistant also responded to the model. One superintendent had been principal of a senior high school for three years. The other superintendent had been an elementary school principal for twelve years. The administrative assistant was a senior high school principal for two years. Two of the respondents were white women. Three of the

respondents were black. The rest were white. The range of experience was from one-half year to eighteen years. The investigator felt that the variety of respondents in regard to sex, race, experience and position provided the necessary information as to the value of the process model as a conceptual tool to the school administrator.

The model was presented to the respondents. The investigator and the respondents went through the model step by step. The model was left with the respondents who were asked to do two things: (1) to make any comments on the model, directly to the investigator or later in the form of marginal notes, cassette recordings, or otherwise which would indicate agreement, disagreement, modification or needed change in any aspect of the model's design, subjective values, or purpose; (2) to write a short letter to the investigator indicating a general position on the model. The letters were included in the appendix.

The following represents an analysis and summary of the reactions to the model by the respondents:

1. Change from any source is introduced either to or by the principal. All respondents agreed with the working and stressed the importance of suggestions for change stemming from any source.

2. Principal analyzes the process model. All respondents agreed that the principal needs some kind of checklist or outline to follow when change is to take

place. Most had their own scheme and all recognized the value of this model as a conceptual tool, or theoretical base for dealing with change. The main discrepancies came in how each individual would use the model. The investigator found himself explaining to some respondents that the model could be used in any manner consistent with the needs of the principal and his particular situation. Most respondents praised the model for its comprehensiveness, simplicity, and flexibility. All respondents requested a copy of the model.

3. Principal attempts to understand the purpose of change. If change seems feasible, how can change take place? All respondents agreed that the principal should attempt to thoroughly understand the purpose of the proposed change. Three respondents noted that at this point the principal should form a planning or advisory committee and involve them. This was one of the two suggestions to add a step to the model.

4. Principal checks on: (a) policy (system, individual school; (b) law (federal, state, local); (c) values of the community--pressure groups; (d) organizational health (can it stand change?).

The respondents noted the importance of checking these points very thoroughly. All were aware of the constraints imposed on schools by antiquated policies, laws, and customs. All were hopeful of finding ways to bring about change in policies and laws. One respondent

noted the importance of involving faculty and other personnel as a means of ascertaining organizational health and the values of the community. The investigator, from his experience in the interviews, sensed the need for instruments or ways of measuring organizational health, and values of a community, and ways of changing antiquated policies and laws. One respondent suggested that a step be provided for presentation to and consultation with the superintendent. This could be included in Step 4.

5. Physical facilities (What changes are needed, if any?). One respondent suggested that Step 5 be included in Step 6 and a new Step 5 instituted. The new Step 5 would establish a faculty council for the individual school and a planning team for the entire school system. These two groups would not be policy-making groups, but would act as, or function as, sounding boards for the principal and superintendent. This same respondent noted and praised the model for its flexibility and adaptability. The investigator found himself pointing out the fact that the model could and should be used at the discretion of the administrator. The changing of the order of the steps in the model was not only permissible but encouraged.

6. Financial considerations (project cost). Does cost prevent going further? All respondents recognized the necessity of calculating costs.

7. Personnel (What changes are needed, if any?).

All respondents recognized the value of considering this important factor.

8. Evolve a philosophy which is consistent with modern concept about education in a rapidly changing society. All respondents recognized the necessity of an appropriate philosophy. The literature revealed that unless the school system, school, principal, and personnel involved had this kind of philosophical position, change would probably not occur. The literature further revealed, and the respondents corroborated the fact, that unless the principal held a flexible position and was receptive to change, probably no change would occur. One respondent wanted this step to be included much earlier. The investigator assumed a philosophy incorporating change in regard to the whole model. Step 8 was an attempt to make the philosophy implicit to the model explicit to the personnel involved in the change.

9. Determine nature and scope of change. All respondents recognized the necessity of this step.

10. Determine specific objectives of change. Determine methods of evaluation. Two respondents suggested that this step be considered with Step 2 which deals with the principal looking at the model. All respondents agreed with determining objectives and methods of evaluation.

11. Communication. Consider when to announce change, how to announce change, and how to promote change. All respondents noted the importance of this item. Most cited the necessity of communication being continuous and pervasive. The respondents and the investigator desired more specific knowledge of techniques for effective communication.

12. Determine organizational or structural changes. All respondents agreed with this step. They agreed that changes should be made in connection with stated objectives.

13. Determine what use to make of informal organization. All respondents noted the importance of winning the support of the informal organization for implementing and sustaining changes. Some respondents requested help in influencing the informal structure.

14. Determine change in curriculum. All respondents agreed that this step was important. All noted the importance of involving all people concerned in this most important step.

15. Determine change in teaching strategy. All respondents agreed on the importance of this step. The respondents noted that workshops, in-service training and other means should be employed to provide new strategies for instruction.

16. Determine provisions for helping teachers, students, and parents adapt to change. All respondents

noted the importance of this step. Most respondents commented on the need for continuous and pervasive communication at this point.

17. Provide for continuous evaluation. All respondents concurred in the importance of this step. Most noted that this was very often the least accomplished factor in the change process. Most noted that results of the evaluation could help support and promote significant change.

The analysis of the respondents' reactions to the model from notes, interviews, and a careful reading of the letters revealed an overwhelming support for the model as a conceptual tool. Only one significant addition was suggested and that was to form a planning and advisory team to assist the principal. Most respondents were impressed with the comprehensiveness, flexibility, and adaptability of the model. Those who thought that the model was to be followed in chronological sequence were made aware that the model simply provided a basic checklist. The order of the steps was completely dependent on the principal and the demands of the situation. The response confirmed the essential thesis of the study-- principals need a conceptual tool to facilitate the change process.

REACTIONS OF RESPONDENTS  
TO THE MODEL

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Steps Within the Model:	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
<hr/>																	
Respondents:																	
1																	
2																	
3																	
4				X													
5																	
6										X							
7																	
8																	
9																	
10																	
11																	
12				X													
13																	
14																	
15				X				X		X							
16																	
17																	
18				X						X							
19																	
20					X					X	X	X					
21				X	X												X

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No mark indicates agreement of respondent with step in model. X indicates suggested change or modification of step in model which is explained in the accompanying notes.

Explanation of Suggested Modifications  
Indicated on Chart

Respondent 4 suggested forming an advisory council following Step 3. The council should go through following steps with the principal.

Respondent 6 suggested a step between Steps 10 and 11 for presentation and consultation with the superintendent.

Respondent 7 suggested that Step 10 be incorporated with Step 2. Step 11 should come earlier in the process, perhaps after Step 7, and further suggested that Step 12 be considered after Step 7.

Respondent 12 suggested forming faculty council and involving it following Step 4.

Respondent 15 suggested that Step 5 be considered basic to the whole model. The respondent further suggested that Step 10 be considered with Step 3.

Respondent 18 suggested that Steps 3 and 10 be considered simultaneously.

Respondent 21 suggested that Step 3 should precede Step 2. He further suggested that Step 14 come earlier in the model.

## CHAPTER V

### SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS OF THE STUDY

The basic problem treated in this study was the generating of a comprehensive approach to the development of a conceptual model for the introduction of planned change in an individual school. A review of the literature revealed the lack of such a model, simple yet comprehensive, written from the principal's perspective. A process model depicting factors involved in change in the individual school from the principal's perspective was developed. Utilizing the Delphi Technique, the model was presented to twenty-one selected practicing administrators representing a cross section of race, sex, age, and professional experience who were asked to critique the model as to its practical usefulness in aiding the principal in planning for change. All twenty-one of the respondents acknowledged the need for such a model and accepted the model for its potential usefulness, simplicity, flexibility, and comprehensiveness. The only suggested addition to the seventeen points in the model was for a faculty planning and advisory council to assist in the planning for change. The other suggestions

concerned ways of utilizing the model and the different arrangement of the steps, and not any substantial alterations. The general model was confirmed by the respondents.

The study began with the hypothesis that the practicing school principal can find little help for planning, managing, and dealing with the problems of change. The Delphi Technique was chosen so that more time could be given to the discussion of the model by the respondents. The basic idea was to cover and discuss each step in the model as thoroughly as possible, thus allowing for the respondent to react to the model in an original and creative manner. The process model adopted portions of other models which seemed in their entirety to be too complex and theoretical to be of real value to the practicing administrator. The investigator spent much time in attempting to make the model both simple and comprehensive. During the course of the interviews, the respondents commented favorably on the comprehensiveness, usefulness, and flexibility of the model. It became clear during the interviews that those respondents who had been faced with the problem of change could see the value of the model. As was stated earlier, the only real criticism of the model centered on how it was to be used. It was pointed out to the respondents that, although the model was presented sequentially, this did not necessarily mean that the steps had to be taken in that order. For example, Step 8, concerning the

philosophy of change, certainly should undergird the whole model. In fact, if the principal and key members of the faculty are not flexible, probably no change will take place. Further, Step 10, concerning specific objectives and evaluation, could be considered simultaneously with Step 3, concerning the purpose of the proposed change. These suggestions by the respondents were taken as indications that the essential questions concerning planning for change had been asked.

During the formulation of the study, a detailed questionnaire was considered. Under each step a series of questions setting the criteria for that step was considered. This method was rejected because it seemed to complicate rather than simplify the investigation. The method of investigation utilized in the study made possible a simpler and more direct reaction by the respondents to the main steps. The method used seemed to have provided the necessary information. The usefulness in the conceptualization stage of the model appeared to be affirmed by the respondents. The respondents also confirmed the comprehensiveness of the general categories considered within the model's framework.

#### Conclusions

The conclusions drawn from the study are:

1. There was a definite need for administrators to know more about change as it affects the individual school. Any information about and exposure to the process

of change would be helpful to school administrators. More specific information on each of the points covered in the model, plus specific techniques would be beneficial to both potential and practicing administrators.

2. Knowledgeable administrators welcomed any kind of conceptual tool, such as the process model, which helped to simplify and render more comprehensible the change process. The problems the practicing administrator must deal with daily seem to preclude the time and attention needed to conceptualize a strategy for dealing with change.

3. The study in its formative stages was predicated on the supposition that there was a need for a model to aid in the developing of a strategy for dealing with change in the individual schools and the identification of general categories that need to be considered in the individual school. The model provides the practicing administrator with a basic checklist.

4. Finally, it is the administrator who must preside over the process of change.

#### Implications of the Study

In addition to the conclusions drawn from this study, several other items evolved during the interviews.

1. The practicing administrator needs a great deal of help in the actual implementing of change. This is an area in which most administrators practice trial and error rather than any kind of sound strategy. The

administrators do not feel they have time to develop the necessary strategies needed.

2. The administrators who were interested in innovation and change felt they were too often constrained by antiquated laws and policies.

#### Recommendations

The conceptual stage of the model has been affirmed by the respondents. An attempt now should be made to implement and adapt the model for a particular school, taking into account the managerial style of the principal, the informal structure of the school, and other major factors which affect the change process. Each step of the model should be tested as to sequence, adaptability, and importance. Additional factors involved in the change process should be identified and the appropriate software for the effective implementation of each step should be developed. If several extensive implementations of the model were conducted and tested thoroughly, this theoretical, conceptual model could become a useful and viable tool to aid the practicing administrator in dealing effectively with the problems of change.

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## APPENDIX



# GADSDEN HIGH SCHOOL

607 SOUTH 12TH STREET

GADSDEN, ALABAMA 35901

May 23, 1972

PHONE 547-5446

OFFICE OF THE PRINCIPAL

Mr. George Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

I have consumed considerable time in studying your model for factors involved in changes. Theoretically, I concur with your model in every step, however, as a practical matter when you attempt to place round people into square models they appear not to fit.

What I am saying, in effect, is that any change must have a model to establish procedures for change - and you have a great one - but the "hang-up" comes in dealing with individuals, groups, policies and traditions.

While each system has its own peculiarities and problems, all which would probably be different than ours, our problem would be over coming step four in your model because we are seething with all manner of conflicting policies and rules and a strictly traditional philosophy. So you can see that our change process is terminated immediately because we cannot over come that one obstacle. But, as I say, that is our problem but realistically I am positive that all systems have their own problems.

Very truly yours

A handwritten signature in cursive script, appearing to read "Phil Andrew". The signature is written in dark ink and is positioned above the typed name of the principal.

Dr. Phil Andrew, Principal  
Gadsden High School

May 25, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

After studying your Process Model Depicting Factors Involved in Change, I would like to state that I think it is very well done and reflects considerable thought and study. I feel that it could be adapted as stated and upon success at each level, change could successfully take place.

Attached are a few ideas that I feel would need to be substituted or interwoven to apply the process model at Vestavia Elementary.

Sincerely,



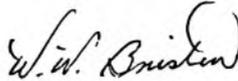
Roger D. Ballard, Principal  
Vestavia Elementary School

EASTWOOD JUNIOR HIGH SCHOOL  
2301 14TH STREET EAST  
TUSCALOOSA, ALABAMA

May 29, 1972

OFFICE OF THE PRINCIPAL

I find the George Bell Plan for processing and evaluating changes in the school very comprehensive and helpful. Most of the major changes involving laws and policies are initiated by the board of education. For changes brought up by the faculty, student council, or P. T. A. this outline would be most helpful in thinking through problems involved and making continuous or follow-up evaluation. It would serve as a framework for making objective assessments of each step in the change as it is being consummated. Also it would be useful as a vehicle for informing faculty, students, and parents of the progress of changes being made.



W. W. Bristow  
Principal  
Eastwood Junior High

# SOUTHSIDE ELEMENTARY SCHOOL

Telephone  
(205) 447-7483

HUEY R. BROWN  
Principal

P. O. Box 359  
Piedmont, Ala. 36272

May 23, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama

Dear Mr. Bell:

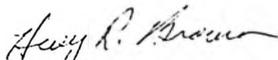
Let me first of all say how pleased I was by our recent conversation regarding the Process Model. This Model covers the essential points in the change process.

Having given our conversation some careful thought, I would identify the steps given below as the essential items of the total number of seventeen. All are important but those discussed below are the most important:

- Step 4 The curriculum change will come about, I think, as a result of the complete Process Model involved in change in an individual school, as seen from the principal's perspective.
- Step 7 Personnel change is a very important factor and will be the success of any program change.
- Step 11 Communication will encourage and promote the process model. This may very well be the final step in any process model, unless exact steps are taken in this to insure smooth communication.
- Step 12 The organizational or structural change - will be determined very much by the program to be offered, by the facilities, leadership, and the total scope of everything involved.

I trust that this will be beneficial to you and I am holding myself available for any further assistance I can give you in the course of your study.

Very truly yours,

  
Huey R. Brown  
Principal

HRB/mce

HOLT HIGH SCHOOL  
OFFICE OF THE PRINCIPAL  
HOLT, ALABAMA 35401

May 30, 1972

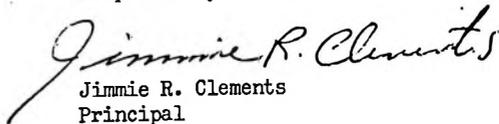
Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, AL 35401

Dear Mr. Bell

Your process model depicting factors involved in change should establish for principals a pattern to follow when attempting to implement changes. I think most of us either conscious or unconscious have gone through one of all of the steps involved in your model. If decisions involving secondary education and change could be made in a calm, cool, academic atmosphere most of them would be better implemented. However, when you deal with a group of people the age of secondary school students this usually is not the case. They have no time, everything must happen at once, so secondary school principals usually muddle through because time won't permit and his load is too great to systematically follow a process model.

In my opinion, this should be something taught in school administration courses and future principals would come equipped with knowledge that there are organized ways to implement change and perhaps they would be more successful.

Respectfully

  
Jimmie R. Clements  
Principal

pkp

Enclosure

*Disque Junior High School*

OFFICE OF THE PRINCIPAL

PRINCIPAL'S OFFICE 546-6112

612 TRACY STREET — GADSDEN, ALABAMA 35901

GUIDANCE 547-0694

May 24, 1972

Mr. George Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear George:

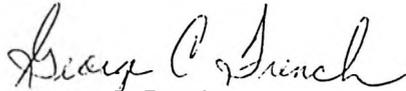
Since our conversation regarding the "Process Model" for change, I have concluded that in order to justify an idealistic approach it must become a reality. Conceptually speaking, the model is clear and concise with little room for improvement. However, it must be pointed out that realistically speaking, a time reference should be applied to the model. My first reaction regarding the model was how much time does one have in order to complete the proposed process involved? Experience has shown me that all too often it is easy to get "bogged" down in the planning phase of the proposed change process.

It appears that the overall model and attempts to illustrate the depicted processes are extremely well done and its basic concepts are well prepared.

In conclusion, it should be pointed out that the model has brought to my attention facets of operation that, quite frankly, were not considered before as relevant to a change process. After seeing them in the model, I realize how important these processes are to success.

My compliments to you and I wish you every success.

Respectfully,



George C. French,  
Principal

GCF/lg

VERNER ELEMENTARY SCHOOL  
801 10TH STREET  
TUSCALOOSA, ALABAMA

OFFICE OF THE PRINCIPAL

May 25, 1972

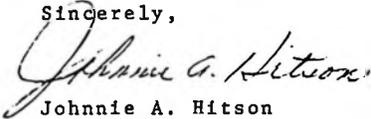
Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

It seems to me that an instrument like you have developed would be a great help to any principal who is initiating change in his school.

The instrument seems to me to be logical and practical. I think the sequence is good.

Sincerely,



Johnnie A. Hitson  
Principal

JAH/cp

DRUID HIGH SCHOOL  
1715 32ND AVENUE  
TUSCALOOSA, ALABAMA 35401

OFFICE OF PRINCIPAL

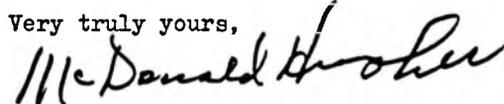
June 6, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

I read with interest your model depicting factors regarding change in individual schools. The factors you mentioned should be considered before one changes. I was especially pleased to see that you have specified there must be justifiable reason for change. And after you are satisfied that changes are needed, you must decide on methods and techniques to be used in bringing about this change. Good communication with the teachers, students and parents is one of the main factors that must be considered in change. Finally I would say the purpose of change in the curriculum should always be improved instruction for the child.

Very truly yours,

  
McDonald Hughes  
Principal

McDH:ar

TUSCALOOSA CITY SCHOOLS  
1100 21ST STREET, EAST  
NORTHINGTON CAMPUS  
TUSCALOOSA, ALABAMA 35401

OFFICE OF SUPERINTENDENT

May 29, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

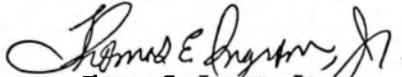
Dear Mr. Bell:

Upon review of the Process Model depicting factors involved in change in an individual school, I am favorably impressed with what appears to be the depth and scope of the model. Its prospective usefulness as a tool to aid the practicing principal is most evident.

I think the philosophical position of a principal relative to change will determine the extent to which the model can be used constructively. For example, a rigid principal who is generally opposed to change probably will not alter his philosophical position as a result of the model. However, if a person is open to change, the model seems to hold a great deal of potential as a useful tool.

My general position is one of agreement and enthusiasm for the model as designed.

Sincerely yours,



Thomas E. Ingram, Jr.  
Administrative Assistant

TEI/ad

CRESTMONT ELEMENTARY SCHOOL  
2400 THIRTY-FOURTH AVENUE  
NORTHPORT, ALABAMA 35476

May 30, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama

Dear Mr. Bell:

Much thought and study has gone into this process model from the initiation of the proposed change to the continuous evaluation of the change.

Although everyone involved in the change should be included in the initiation stage, some guidelines have been set up for the principal to check against.

The steps in the process model are in logical order and could help a leader and faculty avoid many pitfalls.

Sincerely,

*Samuel A. Key*  
Samuel A. Key  
Principal

Mr. Douglas Killough, Principal  
Tuscaloosa High School  
905 15th Street  
Tuscaloosa, Alabama 35401

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

I have compared this model to the procedure we use at Tuscaloosa High School.

I feel that it is an excellent model with very sound step by step procedure.

One suggestion that I would make for change would be to include a step where the principal would present this change to the local superintendent for approval or rejection. Changes where this model is applied would have to go through the local superintendent. I would suggest that this be included between steps 10 and 11. A principal needs to know all the answers of steps 3 through 10 before he can present an effective proposal to the superintendent.

Yours truly,



Douglas Killough, Principal

# PIEDMONT CITY SCHOOLS

TELEPHONE 447-3501

PIEDMONT, ALABAMA 36277

JOHN R. KIRKPATRICK  
SUPERINTENDENT

May 24, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

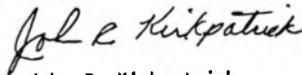
This letter is written to you concerning our discussion about your Process Model Depicting Change. As you know, we are involved in such a change for the Piedmont School District for the school year 1972-73.

One real criticism I have is that I didn't get to see the model soon enough. I feel that it would have been very helpful in our situation.

As in our discussion, we both felt that even without the model we were following the steps outlined almost 100%.

I wish to congratulate you on your work and wish you every success. If I can ever be of assistance to you, please feel free to call upon me.

Yours very truly,



John R. Kirkpatrick  
Superintendent

JRK/ms

# PIEDMONT CITY SCHOOLS

PHONE 447-3501 - 447-8831 - PIEDMONT, ALA. 36272

JOHN R. KIRKPATRICK  
SUPERINTENDENT

Frances E. Willard School  
Piedmont, Alabama  
May 23, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama

Dear Sir:

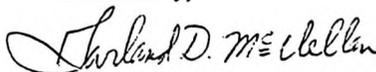
Our recent discussion concerning the process model on factors involved in change can be invaluable. To principals, superintendents, or business leaders, it is an insight into future developments, essential to better education.

It does not only provide for the present, but projects into the future of the institution undergoing change. Every element which influences the philosophy, needs and choice of personnel and their use find a place in this scheme.

The value of each step can be determined before attempting the next one.

Any administrator in the process of initiating change would need to be aware of the series of items given in the model structure in order to make the most desirable changes.

Yours truly,



Garland D. McClellan  
Principal  
Frances E. Willard School

JD:/jw

ARCADIA ELEMENTARY SCHOOL  
3740 14TH STREET, EAST  
TUSCALOOSA, ALABAMA 35401

OFFICE OF PRINCIPAL

June 8, 1972

MEMORANDUM

TO: George H. Bell  
FROM: Betty C. Pilegge  
SUBJECT: Comments on Process Model

I feel that the principal usefulness of a model such as you have proposed is to serve as a checklist to insure that the user considers as many factors as possible in arriving at a decision. It seems to me, however, that decision-making in real life situations seldom follows such a neat step-by-step pattern. All models tend to oversimplify and to assume a level of rationality not usually present.

Since many of the steps outlined in your model might well occur simultaneously, or nearly so, the use of a flow chart could be made to show this. However, if a step-by-step model is to be used, I might suggest the following for your consideration:

1) Step 8--evolving a philosophy to justify the change--seems to be misplaced. It suggests that the development of educational philosophy is a response reaction, occurring only after the need for change has become apparent. Ideally, educational philosophy ought to suggest and guide policy--including the need for change--rather than be a prisoner of policy.

2) Step 10--determining the specific objectives of change--probably should come earlier in the process. The raising of questions related to the purpose and goals of any proposal would seem to be a prerequisite to proceeding with some of the other steps. Unless the objectives can be defined and agreed upon, there is little point in worrying about financial costs, personnel changes, etc. By placing this important step so late in the process the impression is conveyed that the determination of objectives of change is almost an afterthought. In fact, it should be among the initial considerations. To propose change without having first thought through the objectives and purposes (not to mention the possible consequences), is to appear to be advocating "change for change's sake."

Your efforts to clarify this important process could be of considerable value to those engaged in school administration.

**BOTELER JUNIOR HIGH SCHOOL**  
1001 Crescent Ridge Road  
Holt, Alabama 35401

Office of the Principal

June 2, 1972

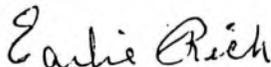
Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Mr. Bell,

At your request, I have reviewed your Process Model Depicting Factors Involved in Change in an Individual School. It appears that the Model could be of some use to practicing principals provided the seventeen steps outlined are followed. Among the most important educational change that takes place in schools are those pertaining to Curriculum and it is the principal's responsibility to create a structure and an atmosphere in which change can take place. Obviously, no model or series of models for bringing about change can be applied until the involved participants know what they want and how for they are willing to go to obtain it.

The only change that I am recommending is item number eight. It seems to me that evolving a philosophy should come much earlier in the process.

Yours truly,



Earlie Rich

ER:jp

# PIEDMONT CITY SCHOOLS

TELEPHONE 447-3501

PIEDMONT, ALABAMA 36272

JOHN R. KIRKPATRICK  
SUPERINTENDENT

May 22, 1972

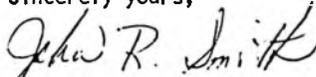
Mr. George Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

After reviewing the planning model, at your request, I desire to make the following points concerning the project:

1. The model could be adapted to system-wide planning as well as to an individual school. This adaptation would involve the superintendent as well as the principal.
2. Step (5) could, and I think should, be changed to step (6) and a new step (5) instituted which would call for a group titled the Faculty Council for the individual school and a group titled the Planning Team for the entire school system. These two groups would not be policy-making groups but would act as, or function as, sounding boards for the principal and superintendent to give them direction as to whether or not the proposed change would be feasible and worthwhile. This step would bring about a greater sense of cooperation on the part of the faculty or faculties if the proposed change is implemented to a greater degree.
3. The model provides for flexibility which is essential to positive planning. Readjustments are provided for and are necessary if model is to be adaptable.
4. The model provides a means for evaluation of the proposed changes. The step involving evaluation should mention or state the criteria to be used in evaluating the proposed change; a narrative would be feasible.

Sincerely yours,



John R. Smith  
Principal

JRK/ms

TUSCALOOSA CITY SCHOOLS  
1100 21ST STREET, EAST  
NORTHINGTON CAMPUS  
TUSCALOOSA, ALABAMA 35401

May 29, 1972

OFFICE OF SUPERINTENDENT

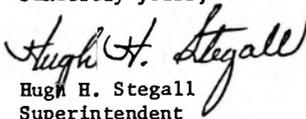
Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear George:

The model appears to be quite comprehensive and appropriate for use by a school principal. I would suggest only that following step number 1, regardless of whether the proposed change is introduced to the principal or by the principal, other members of the school staff, including classroom teachers, should have the opportunity to consider the proposed change. Participation of classroom teachers in decision-making should come no later than step 4, as their contributions will be essential to checking on "values of a community" and "organizational health."

With kind personal regards and best wishes, I am

Sincerely yours,

  
Hugh H. Stegall  
Superintendent

HHS/hi

Mattaline M. Temple, Principal  
University Place Elementary School  
221 18th Street  
Tuscaloosa, Alabama 35401  
June 3, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

The steps in A Process Model are sequential. They follow sound logic. Some things keep running through my mind as I look at these steps.

In the past and even now, how has change evolved? Has it followed logical steps or procedures which were documented prior to initiating change? What does research show?

Shouldn't there be a self-study or research done to see if change is needed or desired? In such a study, you'd focus on what is found, what would be desirable, what is attainable? This places emphasis immediately on your objectives, your philosophy. Such a study means involvement of all concerned forces and should point out a felt need. Such an involvement leads to the stating of acceptable goals and the initiation of steps to attain these.

I have strong feelings about "locking-into" a carefully documented plan for change. To me, change is not effectively accomplished by putting together pieces of a giant pattern where each piece has been carefully prepared to fit another and in a pre-determined sequence. I think of change as a democratic process resulting from much dialogue, continuous evaluation and implementation. In such a setting the process may be and is criticized without offending personalities, the master product belongs to the group effecting the change.

To me, change does not result from one master stroke but many brush strokes. Failure becomes a part of the success just as an artist never removes a false stroke from his canvas.

There is much value in thinking through logical procedures such as your process model in initiating structure for change.

From my personal experience I would use self-study as a beginning point for structuring change and develop the plan in the change process.

Yours truly,

*Mattaline M. Temple*

Mattaline M. Temple, Principal

John Vickers, Principal  
Hillcrest Elementary School  
Route 1, Box 140  
Tuscaloosa, Alabama 35401  
June 2, 1972

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear George:

As I view your process model for change, I think that building administrators have been asking for such a tool to help aid them in the many decisions that must be rendered each day. I believe that the new administrators will more than welcome this aid. As you know there is no handbook written describing or depicting an orderly process for decision-making. Therefore, I think this work will be very beneficial to those of us in such positions.

At this point I would like to look at your model critically. I believe that Step 3 should be placed before Step 2. This is predicated on the notion that without an understanding of the problem, etc., one would tend to feel that the model would be a means to an end for all problems. Furthermore, I feel that some situations must be given a thumbs-down at the outset.

With reference to Step 8, I am not sure if I am following you at this point. If the building administrator doesn't have some knowledge about change and how he feels about change, I am not so sure that he can evolve a philosophy so quickly that is basically sound and meaningful at this point. I would suggest that the "evolving a philosophy" be removed and restructure this event with keeping abreast of current philosophies concerning change.

I feel that any changes that merit attention of your model will effect the curriculum. Therefore, I would use "change in curriculum" before Step 14.

I would appreciate receiving a copy of your work.

Yours truly,



John Vickers, Principal

GREENSBORO PUBLIC SCHOOLS

Box 278

Greensboro, Alabama

June 1, 1972

Office of the Principal

Mr. George H. Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

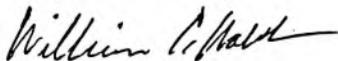
Dear Mr. Bell:

In my judgement, you have developed a model which should be included in any handbook ever developed for principals. It is a very practical way to approach many of the problems that the principals of the 1970's must solve.

I think that the substance of the model will prove valuable as a check list of areas of concern for most principals of today, You have, in very succinct form identified and described the major areas of the change cycle.

The model will be helpful to me in introducing changes in curriculum, teacher assignments, student regulations and non instructional staff. It will be a useful guide as a final check to make sure that all areas have been covered prior to the introduction of change.

Very truly yours,



William C. Walsh  
Principal  
Greensboro Public School, West Campus

UNIVERSITY OF ALABAMA  
UNIVERSITY, ALABAMA 35486

June 9, 1972

COLLEGE OF EDUCATION

Mr. George Bell  
23 Woodridge  
Tuscaloosa, Alabama 35401

Dear Mr. Bell:

In reviewing the model depicting the factors that involve change in individual schools, I feel that a model such as this would be helpful to an administrator in the process of change.

There are perhaps three points that must be considered in reviewing any change procedures such as this. The first is that you must assume that the administrator will have the freedom to follow the steps listed. Changes that are "mandated from above" would oftentimes fail to allow the freedom that he would have in a change that he initiated himself.

A second point of consideration would be the overall degree of freedom the administrator is allowed by the school system governing board. While the model does leave this open to the individual's interpretation, points 5, 6, and 7 must be considered in relation to the governing board.

A third consideration is the involvement of the faculty in the process of change within a school. I feel that you have allowed a latitude for personal discretion in the utilization of this factor.

Overall, I feel that this model would be helpful to an administrator anticipating some change within his school.

Sincerely,



H. Bruce Wright, Principal  
MANCHESTER HIGH SCHOOL  
Manchester, Georgia

HBW:cw