

The Role of Psychological Services
in implementing
Better Behaviour/Better Learning

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Foreword

Noreen Phillips, PDP Coordinator

The report on *Better Behaviour / Better Learning* (SEED, 2001) is a significant report for Scottish Education, drawing on several concurrent developments such as effective joint working between agencies; better integrated children's services; clear protocols for the processes of assessment, planning and intervention. Reflecting national priorities and a changing legislative and philosophical context, the key topic to be explored by the PDP group referred specifically to recommendation 5 of the *Better Behaviour - Better Learning Report of the Discipline Task Group* (December 2000)(BB/BL). Although psychologists were not represented on this group, the resulting report contained many ideas and developments rooted in psychology, enhancing its validity as a topic for PDP study. In chapter one, *Implementation of BB/BL with Specific Reference to the Staged Approach to Intervention with Behavioural Issues*, **Mandy Ewan** proposes " ...the key question requiring to be addressed centred around the role of the Psychologist in developing this type of approach, taking into account the CPD demand created by the inclusion agenda". She also outlined the agreed outcomes for the project which were:

- to produce a basic reference regarding staged intervention in relation to behavioural issues for Educational Psychologists, which is grounded in applied psychology
- to produce a working tool for Educational Psychologists to support the development of staged intervention in relation to behavioural issues in local authorities, in collaboration with others

Details of a national telephone survey of Psychological Services was conducted at the outset of the project to determine the manner in which authorities had responded to recommendation five of the *Better Behaviour - Better Learning Report*. The results were outlined and discussed in chapter one.

In chapter two, *Setting the Context for Staged Intervention*, **Mary Bendermacher** and **Gail Nowek** describe the broader context in which staged intervention approaches have evolved. They make the salient point that. "... the justification for this approach comes from a need to respond to the wide range of government legislation and initiatives that define national and local priorities". They also stated " ...the rationalization for the approach lies in applied psychological theory, notably ecological, systems and transactional theories". Research evidence in relation to school effectiveness and school improvement also provides guidance

on the systems and structures which help to ensure good outcomes for pupils in schools.

In chapter three, *Underlying Principles and Essential Features of Staged Intervention Approaches*, **Gill Taylor** detailed these key principles and essential features that form the foundations of the staged intervention. She also stated that “While not exhaustive there was strong consensus within the group that the essential features reflected how effective staged approaches were evolving locally and also incorporated principles of good practice nationally.” Finally, she looks at the practicalities of introducing new approaches where behaviour is an issue and the importance of practitioners to develop core skills for successful implementation.

In chapter four, *Key Elements of Birmingham City Council’s Framework for Intervention, its Adoption and Adaptation in Scotland*, **Jim Kane** describes the development of FFI in Birmingham. He then looks at the position in Scotland and states that ” ...an appreciation and critique of FFI will be evidenced through observation of Staged Intervention in Scotland”. The approach in Scotland in the less centralized Scottish education context, is not as prescriptive as the Birmingham FFI.

In chapter five, *Survey of Educational Psychologists’ views*, **Ken Keighren** outline the results of this survey, which looked at educational psychologists’ views of Staged Intervention. He stated “The survey indicated that the models of Staged Intervention developed in Scotland drew heavily on the Framework for Intervention model, but also linked into well established existing practice, particularly in relation to positive approaches to managing behaviour”. There were 8 key readiness factors recognised by the respondents but it was agreed that more evaluation of the approach would be required.

In chapter six, *Readiness and Maintenance Factors for the Implementation of Staged Models of Intervention*, **Rhona Larney, Caroline Martin and Iain Kellock** aimed to reflect on the prerequisites for the successful implementation of a staged model of intervention. They also looked at many models of change in the research literature. Finally, they looked in detail at the 8 “*readiness and maintenance factors*” highlighted by the survey of educational psychologists. They concluded by stating “...these factors should be deemed necessary and essential prerequisites to the successful implementation of a staged model of intervention in schools and local authorities”.

In chapter seven, *Summary and Conclusion on the Role of the Psychologist*, **Jenni Barr** states that “The psychologist is in a unique role, an integral part of the dynamic of school and local authority systems, familiar with an overview of the principles which underlie the systems in place and aware of the key principles for achieving successful organisational change”. These skills are useful in ensuring the success of any Staged Intervention. The second part of the chapter looks at a working tool for educational psychologists to support the development of Staged Intervention in relation to behavioural issues. It is proposed to carry out a pilot of this tool and report the results at the Annual Psychologist Continuing Professional Development Conference for Educational Psychologists in Scotland.

The work presented here is offered as an important contribution to looking at the responses from the education authorities and the psychological services to the implementation of recommendation 5 of Better Behaviour/Better Learning. It highlights the readiness and maintenance factors required in order to have a successful implementation of the staged model of intervention. These factors are useful indicators for psychologists to consider when looking at a staged model of intervention.

References

Better Behaviour - Better Learning Report of the Discipline Task Group (2001)

Edinburgh: HMSO

Chapter One

Implementation of Better Behaviour Better Learning with specific reference to the staged approach to intervention with behavioural issues

Mandy Ewan

Introduction

Reflecting national priorities, the key topic to be explored by the PDP group referred specifically to recommendation 5 of the *Better Behaviour - Better Learning Report of the Discipline Task Group*, established in December 2000 by the Minister for Education, Europe and External Affairs to address indiscipline in Scottish schools. Although psychologists were not represented on the Discipline Task Group, the report highlighted the link between good discipline and effective learning and teaching and contained many ideas and developments rooted in psychology, further enhancing its validity as a topic for PDP study.

This PDP topic also reflects a changing legislative and philosophical context with inherent implications for all sectors of authorities associated with the effective provision of education to all children. *The Standards in Scottish Schools Act (2000)*, with the presumption of mainstream education at its centre, and the *Additional Support for Learning (Scotland) Bill (2003)*, with its requirement that schools be responsive to the needs of every pupil, enforce the concept of inclusion and promote the idea of whole school effectiveness. Mainstream schools must now take responsibility for developing their own procedures and stages of support prior to considering outside intervention. The new *Standard Circular 8.03* also emphasises this need for schools to take responsibility and develop appropriate structures.

Staged Intervention

In considering the concept of staged intervention, it was noted that very little literature seemed to pertain specifically to a staged approach although the little there was seemed to support the concept. Gray (1997) considered that a staged approach allows prioritisation of time and resources and avoids flooding of referrals to agencies whilst Durlak (1995) considered that every successful intervention needs to target different levels and facets of an organisation and a staged approach can target support at pupil, class and school level. Despite the lack of literature and research base however, a wide range of support systems existed within schools and authorities which reflected a staged process - where stages were

incremental and graded from 1 to 4 for example, and moved from a position of least to most concern with increasing support or intervention at each stage - suggesting that school systems of this kind may be influenced primarily by pragmatic utility. These support systems shared certain common characteristics in the sense that they were staged/incremental, structured, solution focused and supportive. They were also broadly based around shared principles. In fact, the principles which underpin the concept of staged intervention are drawn largely from educational psychology and the psychology of intervention - the move away from a within child focus to an ecological perspective, early identification and least intrusive intervention. Staged intervention provides a model of how the different contexts in which children exist can be supported at a number of levels. Effective models seek to resolve problems as early and at as low a level as possible. The importance of all those involved investing in what is happening within a stage was recognised in preventing rapid movement through the stages and it was considered that a transactional model (Samaroff, 2000), which highlights the process element rather than the framework, might help explain staged intervention as a cycle of intervention rather than a linear process.

Framework for Intervention

In addition to endorsing the principles of staged intervention, recommendation 5 of the BB/BL Report stated "Funding should be made available to enable a number of pilot programmes on staged intervention to be established". Framework for Intervention was highlighted within the body of the report as an example of this type of approach. A national forum set up to evaluate how far the approach has been taken up by authorities across Scotland and the extent to which it has been successful is due to report back in June 2004.

Behaviour in Schools: a Framework for Intervention (FFI) was developed as part of the City of Birmingham Education Department's New Outlooks project (1996 – 1997) and provides a structure to assist teachers in managing low level classroom disruption in order to promote effective teaching and learning. Essentially, a teacher who holds the respect and confidence of colleagues is appointed to act as a Behaviour Coordinator (BeCo). That teacher receives specific training, which draws heavily on psychology, and subsequently a time allocation to assist fellow teachers in developing their own solutions to classroom difficulties. A fundamental principle is that this relationship is confidential and supportive and that teachers opt in. The FFI model has three incremental stages in terms of intervention or support. However, the emphasis is on stage one where the focus is on the learning and teaching environment rather than the individual child. The FFI model is described in more detail in chapter 4.

Whilst FFI is itself a staged intervention approach, it is important to set it within the context of a wider model of staged intervention. Given its emphasis on the learning and teaching environment in particular and aim of managing low level disruptive behaviour, it would very much seem to represent an initial/starting level of a wider staged intervention model such as an overall authority-wide staged intervention model.

Role of Psychologist

In contemplating how best to move forward in exploring the implementation of BB/BL in relation to staged intervention with behavioural issues, it seemed that one key question requiring to be addressed centred around the role of the Educational Psychologist in developing this type of approach, taking into account the CPD demand created by the inclusion agenda. Related to this was consideration of what would be helpful in assisting Educational Psychologists to carry out this role.

The Project

After much discussion and deliberation, in the light of the factors discussed above, the following outcomes for the project were agreed:

- to produce a basic reference regarding staged intervention in relation to behavioural issues for Educational Psychologists, which is grounded in applied psychology
- to produce a working tool for Educational Psychologists to support the development of staged intervention in relation to behavioural issues in local authorities, in collaboration with others

These outcomes were to be achieved by considering the following aims:

- to review the literature and outline the principles which underpin a rationale for staged intervention
- to determine the essential features of an effective staged intervention model, setting the current development of FFI type approaches within this framework
- to investigate the readiness factors with regard to implementation and maintenance of staged intervention at authority and school levels
- to develop a web based questionnaire on the basis of this collation of information regarding readiness factors with a view to surveying Educational Psychologists' views
- to determine the role of Educational Psychologist in the overall process

These aims had in turn been informed by a national telephone survey of Psychological Services conducted at the outset of the project to determine whether authorities had

responded to the BB/BL of the Discipline Task Group, what format that response had taken and the role of the Psychological Service within the model at an operational/strategic level. Thirty out of the thirty-two Scottish Councils authorities responded and the results of this national survey are presented below:

Q.1. Has your authority responded to the *BB/BL* Report of the Discipline Task Group (with particular reference to recommendation 5)?

	Yes	No	Unclear
Number	22	7	1
%	73.33	23.33	3.33

Table 1

Almost three quarters of authorities, therefore, had responded to this recommendation pertaining to staged intervention.

Q.2. What format does that take (or what does your service do that can be viewed as a staged model of intervention)?

For example:

- FFI
- Modified FFI
- Other

	FFI	Mod. FFI	Other	None
Number	7	11	6	6
%	23.33	36.66	20	20

Table 2

This suggested that 60% of authorities had responded by implementing some form of FFI.

One authority indicated that it had not responded to the BBBL report in respect of Recommendation 5 but went on to suggest that a modified form of FFI was taking place. This accounts for the discrepancy between 7 ‘no’ responses in table 1, and 6 ‘none’ responses in table 2.

	FFI/Mod.FFI used as sole SI approach	FFI/Mod.FFI used as part of wider SI app.	Wider SI approach ('other' responses)
% overall responses	33.33	26.66	16.66

Table 3

Some 43% of authorities had, therefore, implemented a broader staged intervention approach. FFI/Mod.FFI was a part of this in just under two thirds of these authorities. There is likely to be some confusion, therefore, over what is meant by staged intervention given that FFI is currently being rolled out as staged intervention across Scotland at the moment.

Q.3. What role does your Psychological Service have within this model at an operational/strategic level?

	Number of authorities	% of authorities
Centrally involved in overall planning for SI	19	63.33
Evaluation	9	30
Involved in dev. of course materials and resources	4	13.33
Delivering staff development	10	33.33
Supporting initiatives directly in schools	5	16.66
Managing initiatives directly	1	3.33
Consultation and advice	10	33.33
Monitoring	2	6.66
Awareness raising only	2	6.66
Relating SI process directly to timing and nature of involvement of Psychological Service	9	30

Table 4

The above results suggested that almost two thirds of Psychological Services across Scotland were centrally involved in the overall planning in relation to their authority's

response to recommendation 5 of the BB/BL of the Discipline Task Group. Approximately a third were involved in evaluation, delivering staff development and providing consultation and advice. A few were involved in developing course materials and resources and supporting initiatives directly in schools with less still involved at a more peripheral level. Only one Psychological Service had a role in managing an FFI style approach directly. Almost a third of Psychological Services related the staged intervention approach operating in their authority to how and when a school might involve Psychological Services.

The following chapters explore in detail the agreed aims to achieve the project outcomes.

Chapter Two

Setting the Context for Staged Intervention

Mary Bendermacher and Gail Nowek

As noted in the introduction, very little research outlines a clear and comprehensive rationale for the use of a staged approach, although it is often advocated in both governmental and psychological literature. Part of the reason for its ubiquity, must surely lie in the pragmatism of applying a staged approach to a wide range of educational issues. It can be perceived as a practical means of planning interventions and prioritising resources. Gersch et al (2001) note that, "Education management literature suggests that planning is crucial to school development, as is the ability to assure that access to services and scarce resources is available to those children most in need." The following chapter seeks to describe the broader context in which staged intervention approaches have evolved. In doing so, it outlines a possible theoretical basis for staged intervention that can be found in applied psychological theory, i.e. ecological systems theory (sometimes known as the ecosystemic approach.) It also explores the school effectiveness research and government legislation and initiatives that have provided some justification for the use of staged intervention.

The Ecological Perspective

The ecological perspective as developed by researchers such as Lewin (1935, 1943) and Bronfenbrenner (1979) has found an appeal in a wide range of disciplines. Bronfenbrenner (op.cit) offered a conceptual framework for analysing the layers of the environment that have a formative influence on the child. He stated, "...the ecological environment is conceived as a set of nested structures, each inside the next, like a set of Russian dolls." (Bronfenbrenner, op.cit)) An ecological environment is perceived as being comprised of the microsystem, a pattern of activities, roles and interpersonal relations of an individual in a given system; a mesosystem, the relations and interactions between a number of microsystems; the exosystem, a setting where the individual may not be directly involved, but where events occur that affect them; and the macrosystem, the belief systems or ideology that structure lower systems.

An ecological approach therefore seeks a wider set of explanatory features for children's behaviour and enables, "...a recognition that children live in a variety of contexts, each one impinging upon the other." (Thomas,1995) Thomas (op.cit) recognised that behavioural psychology is inadequate to cope with the increasingly complex problems with which schools and EPs are confronted. Nevertheless, ecological thinking does not seek to invalidate knowledge generated in other frameworks but instead offers a new perspective within these frameworks. Through this perspective a school is seen as, "...a complex, multi-levelled and multi-factorial organisation." (Jones, 1995)

Apter (1982) described an ecological perspective as an umbrella concept that provides some understanding within the chaotic field of emotional and behavioural difficulties.

According to the ecological model, disturbance resides in the interaction between a child and critical aspects of a child's surrounding environment, i.e. the child's system.

(Apter, 1982)

Problems presented by troubled children therefore represent troubled systems and require more comprehensive intervention strategies, focusing on three main levels of intervention, i.e. changing the child, changing the environment and changing attitudes and expectations. Consequently, any intervention requires to be targeted at these different levels.

Researchers who have applied ecological principles or the ecosystemic approach have typically targeted their interventions at many different levels. Molnar and Lindquist (1989) developed techniques based upon an ecosystemic approach. Their approach set out stages involving both pupils and teachers in reframing a problem. Tyler and Jones (2000) applied Molnar and Lindquist's techniques and found them to have a successful impact on 47 out of 51 interventions tackling difficult behaviours. Upton and Cooper (1990) also used an ecosystemic perspective to focus on teacher-pupil communication and found this perspective to have a powerful impact on improving outcomes for pupils. Teacher-pupil relationships are an important part of a systems approach and are explored in further detail below. Jones (1995) notes that in an ecological perspective...

A pupil's behaviour can be explained in the context of the classroom interaction; the classroom interaction can be explained in view of the school ethos; the way a school is run can be explained in the context of the local education authority or the society that it serves and so on. Given the complexity involved in understanding how or why a particular behaviour might occur and the need to target any intervention at many different levels of a system, a staged intervention provides us with a framework in which to tackle these different levels.

Staged intervention typically allows for a consideration of support at each level of a system, whether it be the mesosystem, microsystem, exosystem or macrosystem.



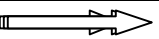
(Jones, 1995)

Another proponent of ecological systems theory has been Sameroff (1991), Fiese and Sameroff (1989, 2000) who, although working primarily in the context of family systems and not school, developed a model which can be adapted to examine interactions across many contexts. In considering concepts of intervention and prevention Sameroff et al (op.cit) used a transactional model that explains behavioural outcomes as the mutual effects of context on child and child on context. In the transactional model developmental outcomes are neither a function of the individual alone nor of the experiential context alone: they are a complex result of the interplay between the child and the environment over time.

What is innovative about the transactional model is that in considering the dynamics of the relationship between the child and the environment it places a fairly equal emphasis on each factor and encourages a comprehensive analysis of both.

The child may have been a strong determinant of current experiences, but developmental outcomes cannot be systematically described without an analysis of the effects of the environment on the child (op.cit.)

At the very simplest level, the transactional model provides a picture of how difficult behaviour develops by examining the interrelationship over several time intervals.

	time 1	time 2	time 3	time 4
Environment 	Environment	Environment	Environment	Environment
				
Pupil 	Pupil	Pupil	Pupil	Pupil

The diagram above is an attempt to capture the essential features of the model in a simple abstract way: it depicts the interrelationship of the pupil and the environment over several time intervals. The interaction at time 1 has an effect on the way the pupil behaves at time 2, and also affects the environment at time 2 in terms of the adult's response. Analysis of the interaction at time 1 can provide understanding of alterations in the pupil's behaviour at time 2, and of the changes which have happened within the environment i.e. modification of the adult's actions, strategies being employed etc. At the same time the interaction itself is

modified as a result of what has gone before. Each stage therefore is determined by two factors - the pupil and the environment or adults within it.

Examination of the process therefore can demonstrate how the attitudes and actions of adults who work with a pupil will have an effect on the pupil's reactions and responses; likewise the pupil's reactions and actions within the school context will influence the actions of adults who work with him or her. Of course adults might decide to redefine the situation as being of a more/less serious nature and they might take action which recognises this. Logically then a transactional model can ultimately result in the last 'stage' or level being reached and could be used in a hierarchical way to gather evidence of increasing seriousness towards an ultimate negative outcome e.g. exclusion or alternative educational placement. When applying the model to school context and in order to find it useful as an underlying conceptual tool to examine staged intervention, it might be more useful to consider the process as a cyclic rather than a linear one, and as a process which can move in either direction. It is only when adults and pupils have vested interest in either maintaining the situation at a particular level or in reducing the level of seriousness that the process avoids following a pre-determined route.

The Transactional perspective therefore provides a simple explanation of the process through which patterns of interaction influence outcome; it is based around the principle that the interaction between pupils and their environment is a dynamic process which works best where there is ownership and investment by both and supports the view that environmental factors foster or impede successful change. This leads to the conclusion that intervention strategies need to be framed within a context flexible enough to allow creativity and individualisation of response; freedom to do this is more likely to occur within a supportive but not overly prescriptive framework, eg. staged intervention.

School Effectiveness Research

Research into school effectiveness provides further credibility to the importance of environmental factors on pupil outcomes. Although there is little said directly about the importance of staged intervention in the research, some important lessons have been learned which can help inform an approach towards staged intervention. One of the most pertinent lessons that has emerged from school effectiveness research is that whilst school education cannot wholly compensate for socio-economic inequality, "...schools can make a difference and being in an effective as against a less effective school is a crucial determinant of life chances for young people." (MacBeath and Mortimore, 2001) Seminal research by Rutter (1979), and Mortimore et al (1988) demonstrated that schools can not only make an impact

on academic attainment, but on attendance and behaviour outcomes for pupils. This finding has been demonstrated repeatedly, with MacBeath and Mortimores (op.cit) concluding that there is a 'school effect' of around 5-15 %. This evidence alone leads us to the conclusion that developing effective practice and systems within schools can lead to positive outcomes for pupils. It is vital to therefore examine what might be the features of effective systems within schools.

A number of factors have been identified as being important in school effectiveness. Sammons et al (1996) carried out a meta-analysis of research which identified 11 salient factors, including shared visions and goals, positive reinforcement, monitoring progress, purposeful teaching, high expectations, etc. Teacher effects were also found to be a powerful determinant in effective schools. Indeed, the Elton Report in 1989 stated that a teacher's general competence can have a strong influence on his/her pupil's behaviour. Reynolds (1991, 1992) also recognised the importance of individual teacher's attitudes when highlighting potential blocks to school effectiveness and improvement. These included 'teachers clinging onto past practices', and 'teachers projecting their own deficiencies onto children.' These findings demonstrate the need to develop systems that have a strong element of support and built in reflection for teachers.

As previously indicated in our exploration of ecological systems theory, the outcome of teacher-pupil interactions can have a significant impact on whether a pupil will be successfully supported at an earlier stage of intervention or whether the difficulties will escalate and lead to further stages such as exclusion or removal to alternative provision. This rapid escalation towards an outcome is always the inherent danger within staged intervention, but one that can be guarded against by appropriate staff development and support.

A further lesson that has been learned from school effectiveness research is that the effects in schools are complex and multilayered and support requires to be targeted at a number of different levels. MacBeath and Mortimore (op.cit) recognise that behaviour is determined more by the 'complex nature of schools as a social system.' This indicates that any support structure requires the flexibility to take into account individual school contexts. Hopkins et al note that schools are more likely to enhance outcomes if they adopt ways of working that are consistent with their own aspirations, "...schools can use similar broad approaches and strategies to develop, there is no one way that is right for every school." (Hopkins et al, 1997) They cite enabling conditions such as staff development, enquiry and reflection, involvement of students, collaborative planning and review, that can allow change to take place.

Consequently, a staged approach which takes into account individual school contexts and allows for staff support and collaboration as well as involving students is likely to be the most effective. Factors impacting on school effectiveness will be explored in further detail in following chapters.

The Legislative Context

Consideration of how a staged approach has emerged as a tenable means of supporting pupil needs requires a thorough consideration of the legal context in which education exists, both historically and in the present day. Riddell (2002) describes the basic tension that has existed in supporting pupils with Special Educational Needs within the school system. Whilst a long-standing need to separate pupils with special educational needs has existed, there is a growing sense of obligation towards pupils with special educational needs. Prior to the Warnock Report (DES 1978) pupils were ascertained by medical officers to be in need of special educational treatment and were placed in 1 of 9 legal categories of 'handicap.' Warnock suggested a new and all-embracing category of 'special educational needs' with around 2% of pupils having significant and severe difficulties. These pupils were to be assessed by a multidisciplinary team and have their special needs formally recorded. These recommendations were later incorporated into the Education (Scotland) Act, 1980 which introduced the Record of Needs process for those pupils who were felt to have 'pronounced, specific or complex special educational needs which required continuing review' Although the Education (Scotland) Act laid out specific rules pertaining to assessment and recording, it did not explicitly detail specific stages that may or may not lead to this outcome. Around this time a report published by the Scottish HMI (SED, 1978) criticised the segregation of lower achieving pupils in schools and recommended the key role of the learning support teacher in helping to differentiate materials and develop appropriate pedagogy to allow pupils with learning difficulties to be educated alongside their peers. Riddell states,

The reports of the Warnock Committee and Scottish HMI were groundbreaking in shifting the emphasis from identifying the child's difficulties to focusing on how the school environment could be modified to allow much higher levels of inclusion

(Riddell, op.cit)

This shift from separate and segregated support to more inclusive support in schools inevitably led to the need to manage how this support would be allocated and managed. The Warnock Report and subsequent Education (Scotland) Act, 1980 focused on a continuum of special needs requiring a continuum of provision. This legislation whilst not specifically outlining distinct stages could be said to have necessitated consideration of a

staged process that would help determine the level of need and subsequent support that a pupil might require.

Later documents and guidelines, including '*Effective Provision for Special Educational Needs* (EPSEN) (SOED, 1994), '*Children and Young Persons with Special Educational Needs: Assessment and Recording*' (Circular 4/96, SOED, 1996) and '*A Manual of Good Practice in Special Educational Needs*' (SOED, 1998) provided further guidance on how to manage and support special educational needs. Individual Education Plans were introduced as means of setting targets and evaluating teaching effectiveness. Most importantly, the EPSEN report identified eight stages or steps in opening a Record of Needs, with the emphasis being on within school support at the early stages. The later SOED Circular 4/96 emphasised that there should be no practical difference in the approach to the provision of education across the continuum of special educational needs and emphasised the need for flexible approaches to Recording.

The Manual of Good Practice provided further guidance in implementing these steps and described its goal as raising standards for all children. The *Manual* advocated a commitment to inclusive practice in schools and emphasised the need for effective structures and processes with clear remits and responsibilities for all involved. A clear monitoring, reviewing and evaluation cycle was also outlined with the focus of responsibility being on schools themselves. Whilst the documents discussed provided a helpful framework for developing staged intervention, Riddell (op.cit) points out that the school-based stages of assessment have been largely left up to the school's discretion. Consequently there is no uniform practice across the country. Furthermore, these documents focused predominantly on pupils with identified learning needs and did not provide much guidance on how to support pupils with emotional or behavioural difficulties through staged intervention.

A major influence on the evolution of staged approaches as a means of supporting a range of needs has been the *Code of Practice on the Identification and Assessment of Special Educational Needs*' (DfE, 1994.) Although the Code of Practice is only implemented in England and Wales, many of its principles are pertinent to the development of staged intervention throughout the United Kingdom. Again, the Code of Practice describes a continuum of special education needs which is reflected in a continuum of provision, but states that the special educational needs of most children can be effectively met in mainstream schools. It introduces a 5 stage model which begins with school-based stages of assessment and intervention from stage 1 to 3 and moves through to statutory assessment and Statementing at stages 4 and 5. It does emphasise however, that the early stages will

not usually be steps on the way to statutory assessment. The school-based stages are to be seen as "...a continuous and systematic cycle of planning, action and review within the school to enable the child with Special Educational Needs to learn and progress" (DfE, op.cit) The range of special educational needs which are encompassed within this framework includes general learning difficulties, specific learning difficulties, language and communication and emotional and behavioural difficulties. It specifically recognises that, "...in some cases, emotional and behavioural difficulties may arise from or be exacerbated by circumstances within the school environment" (DfE, op.cit) The inclusion of emotional and behavioural difficulties in this way is useful in that it recognises the context of behavioural difficulties and the need to develop a staged intervention to tackle the complexity of such difficulties.

However, there have been a number of criticisms aimed at the Code of Practice, not least of which is that there is often a rapid acceleration towards Statementing for a number of children. Lyons (1999) describes EP's frustration at being trapped on a statutory treadmill. Part of the difficulty with the use of staged intervention in the Code of Practice lies in its link with resource allocation. Lyons describes an attempt by Essex Psychological and Assessment Service to shift the focus from the getting of resources to the effective use of them. This involves a focus on improving the quality of Educational Psychology intervention at Stage 3 of the process by further planning and collaborative work with schools. Smith and Reynolds (1998) also outline an initiative by Lincolnshire County Psychological Service at the preschool stage, which advocates a plan, do and review cycle at each stage to prevent the rapid acceleration through the stages. The Code of Practice within the English and Welsh context could be said to further highlight the possible pitfalls of staged intervention and the need to build in structures which avoid a rapid acceleration through the stages to an end point. However, it is worth emphasising the particular climate in which this staged approach has evolved. The Code of Practice with its emphasis on time limits for assessment, its links to resource allocation and outlining of a parent's rights to take specific cases to Special Needs Tribunal could be said to have an altogether more consumerist emphasis which may impact on the effective use of intervention at earlier stages.

Whilst the *Education (Scotland) Act, 1980* set the benchmark for legislation involving young people in Scotland, very little legislative change was introduced in Scotland for some time following this key act. Recently, legislation has begun to move towards placing the child in a more central role. *The Children (Scotland) Act, 1995* precipitated a period of rapid growth whereby the rights of the child were central and an emphasis was placed on the responsibility of both parents and schools.

By ratifying the *United Nations Convention on the Rights of the Child* (1989), the UK government committed itself to full implementation of the standards set therein. *The Children (Scotland) Act* (1995) was one of the major pieces of legislation formulated to address this need specifically in relation to children and families. The Act placed responsibility on the local authority as a corporate body for safeguarding and promoting the welfare of the child, and made untenable the traditional split between care and education. This change in philosophy necessitated changes in practices and procedures within the educational system including the need for greater emphasis on interagency working and shared responsibility. The Act brought new emphasis to parental responsibilities towards children as opposed to rights over them and to children's views being given formal consideration. It stated that parents should consider their child's views before taking any major decisions that would affect them. The same section of the Act also stated that children over the age of twelve are presumed in law to be old enough to express their views. Local authority education departments have been required therefore to consider to what extent they genuinely consult with children over key decisions and how they empower children to contribute meaningfully to decisions that affect them. In essence the Children's Act promoted the principle that each child has the right to be treated as an individual: this has required schools to develop procedures and practices which are sufficiently flexible to allow individualisation of response when considering how to meet their pupils' needs, and which are wide enough in their definition of need to encourage consideration of individual potential.

The concept that education's main purpose is to ensure that each individual pupil fulfils his or her potential is not a new one, but it is given renewed emphasis and clearer focus through the obligation placed on local education authorities by *The Standards in Scotland's Schools etc. Act 2000* to ensure that "...education is directed to the development of the personality, talents and mental and physical abilities of the child or young person to their fullest potential" (*Standards in Scotland's Schools etc. Act 2000* Section 2(1)). The development of five *National Priorities in Education* (2000) gave strategic direction to Scottish schools and identified desirable outcomes which could be measured by both qualitative and quantitative indicators. Among other areas discussed, emphasis was placed on creating and sustaining a positive classroom climate and on the development of teachers' management skills including dealing effectively with disruptive behaviour. During extensive consultation agreement was reached on the value and effectiveness of self evaluation as a basis for planning and this is generally considered an ongoing area for development both at school and authority level. The development of reflective practice through the establishment of effective procedures for self evaluation and monitoring facilitates the implementation of many recommendations.

The Report of the Discipline Task Group – Better Behaviour, Better Learning (op. cit) introduced further recommendations emphasising schools and teachers roles in dealing with disruptive behaviour. It made thirty six recommendations in all, one of which was that schools should consider integrating the work of learning support, behaviour support and guidance into a single overall framework of pupil support in order to achieve a more holistic approach to meeting the needs of pupils. As detailed in the introduction, a further recommendation involved the development of staged intervention to tackle difficult behaviour, thus emphasising the general assumption that staged intervention is an effective means of tackling difficult behaviour.

The Standards in Scotland's Schools etc. Act 2000 further established that, except in certain circumstances, all children should be educated in mainstream schools and placed the agenda of inclusion firmly in the foreground of the decision making process for all schools. Tension has resulted with for example, teacher's unions not wholeheartedly supporting inclusion because of a perceived lack of resources and pressure upon staff. Consequently, the need to further develop and establish effective systems to support both staff and pupils has become increasingly pertinent.

The minister for Education and Young People set out the Scottish Executive's policy on exclusion in July 2003 and provided guidance to education authorities in Circular No 8/03 Exclusion From School. Although the Executive is committed to supporting teachers and taking a firm approach to discipline this statement sets the use of exclusion within the framework of effective policies and practices and places exclusion in the category of last resort. Whilst there is increased emphasis on ensuring the safety and positive learning and teaching environment in which other pupils can learn without disruption, the importance of meeting the needs of excluded pupils and limiting periods of interrupted learning by providing alternatives is clearly stated. Further to this is the introduction of the principle of "...supporting victims of anti-social or violent behaviour, and of developing approaches such as mediation, or restorative justice, to prepare the pupils, their parents and staff, and the excluded pupil, to re-integrate him or her into school in ways which encourage a positive school atmosphere" (op.cit). There is discussion in this document of the importance of considering the feelings of involved school staff and pupils when planning for the re-integration of excluded pupils since the atmosphere and ethos of the school could be compromised if the views and feelings of the school population are not acknowledged and managed appropriately. This obviously necessitates the establishment of clear school policies and practices, developed through consultation and discussion by the school community and to which there is shared commitment.

Structures which support and empower school staff to the extent that they are encouraged to invest and re-invest in finding ways to lessen the seriousness of pupils' behavioural difficulties, are likely to be those that exist in a culture of shared ownership and meaningful consultation. There is also new emphasis on pupils and parents sharing responsibility for maintaining positive behaviour in schools, which requires schools to consider issues of parental communication and involvement, and pupil participation.

These issues and many of the others outlined above have been the subject of widespread debate and formal consultation with parents and educational professionals by the Scottish Executive since May 2001 and as a result, the *Additional Support for Learning (Scotland) Bill* was introduced to the Scottish Parliament on 28th October 2003. This Bill's key aim is to ensure that all pupils can access the support necessary to achieve their full potential and enjoy a positive inclusive education; it has a stated intention to broaden, strengthen and simplify the approach to meeting children's needs by reducing the bureaucracy of the recording process in assessment and intervention. The ideological principles on which this new legislation is based strongly support the implementation of staged approaches to meeting children's needs and with the introduction of the new term 'additional support needs' replacing 'special educational needs' comes a widening of the definition to encompass children and young people who for whatever reason, require support to access and benefit from school education. This means that children and young people with social, emotional and/or behavioural needs will be formally included. The Bill creates a duty on local authorities to identify and assess children with additional support needs (ASN) and to provide them with an educational package tailored to their individual needs. Some pupils may also require further support from agencies outwith education, such as health and social work services. The aims identified for these pupils and the support required will be documented within a Coordinated Support Plan (CSP) and subjected to regular review. A decision has also been made by the Scottish Executive to issue a Code of Practice (section 22) which will set out minimum standards in order to promote joint planning and increased partnership and which should develop consistency across Scotland. This could potentially be the vehicle which provides the impetus for the implementation of a model of staged intervention in every educational establishment across the country. There may also be a role for the Educational Psychology profession in emphasising the need for the development of specific stages within the Code, which avoids the potential pitfalls that have previously been discussed.

Conclusion

The principle of staged intervention is clearly not a new one although it has been difficult to find a direct theoretical source to provide justification for its use. Nevertheless, a number of

sources supply us with a rationale for the approach, in particular ecological systems theory, which has its roots in applied psychology. This theory moves away from a within child deficit model to focusing on how the environment impacts on both a child's learning and behaviour. Schools are perceived as being complex systems and consequently require multi-levelled interventions. Durlak (1995) provides further justification for this ecological approach,

Programs that have effects that are durable over time tend to be intensive, multicomponent, multilevel interventions. Many different types of intervention have produced immediate, positive effects, but those with more enduring effects have been multidimensional programs that have targeted multiple individual, social and organisational factors.

(Durlak, 1995)

A key area of focus in the ecosystemic approach is the relationship between the pupil and teacher. This can be further explored through an examination of Sameroff's transactional model (op.cit.) In this model a child can be perceived as having an impact on the environment and the environment as having an impact on the child in a cyclical rather than a linear process. The cyclical nature of staged intervention is an important feature to emphasise as it avoids the perception that each stage is a hierarchical step towards a final outcome. Indeed, it is important that participants perceive early stages as being effective interventions in their own right. When an intervention does progress to a further stage, it should still be possible that the outcome might be a return to a previous stage rather than an automatic progression to the final stage.

School effectiveness research further highlights the impact of the school environment on a pupil, emphasising the need to develop clear systems and positive teacher attributes to enhance positive pupil outcome. Interventions should also take into account the complex nature of schools as systems and should be flexible, collaborative and supportive. Staged intervention in its broadest sense can provide this degree of flexibility, collaboration and support.

The legislative context in both Scotland and England has also provided the foundations upon which to establish staged intervention. This has gained increasing impetus within recent government legislation and guidelines. The introduction of Recording in Scotland through the *Education (Scotland) Act*, 1980 and Statementing in England, through the Education Act, 1993 have necessitated the development of systems, which allow both assessment and intervention to be allocated and managed. The Scottish education system initially developed the idea of doing this in stages through the EPSEN and The Manual of Good Practice

documents, although how these stages were implemented was largely left to the school's discretion. The recent development of the *Additional Support for Learning Bill* (op.cit) has provided further guidance on supporting a broader range of pupil needs with the introduction of a Co-ordinated Support Plan for some pupils who may require further support outwith the context of education. This further emphasises the need to allocate and manage support effectively and with the introduction of a Code of Practice in Scotland, may focus on stages within this process.

Other legislation has emphasised the role of the child in the decision-making processes which affect them and outlines the need for schools to develop effective practices to fully support them. There is also an emphasis on the inclusion of a wide range of pupils in their local mainstream schools. Circular 8/03 (op.cit) highlights the need for schools to provide creative and effective alternatives to exclusions. Staged intervention is one possible means of meeting the needs of such legislation and guidance and it is hoped that the chapter which follows can provide further insight into the principles which inform the development of an effective staged approach.

Chapter Three

Underlying Principles and Essential Features of Staged Intervention Approaches

Gill Taylor

Building on the preceding chapter which described a possible rationale for the evolution of staged approaches, this chapter examines the essential features of staged approaches drawing on the experiences of the group members within their own authorities. It then examines the factors for success when introducing initiatives into a system, with particular emphasis on the importance of relationships, skills, attitudes and expectations of teachers.

From Theory into Practice

Educational psychologists will be familiar with and have a working knowledge of the theory underpinning the staged intervention model as described in this paper – in particular from early intervention through the planning and review cycle, with an emphasis on solution focused approaches and peer assisted learning models.

The previous chapter outlined the ecological systems theory, which construes behaviour as affected and determined by a range of influences. In short behaviour is seen to be a complex interplay between a person and the contexts in which they exist. Ecological systems theories have been critical in changing the within child deficit model that once drove educational practice, by making clear the links between the child, the context and the others within the system. Drawing on these theories, models of staged intervention raise issues of classroom ecology at the early stages and importantly can incorporate the views of the young people themselves regarding the optimum learning conditions for them.

A natural progression from ecological theories is to begin to address the actual social transactions within the settings, which may help or hinder the learning process. The work of Sameroff (2000) was developed earlier and its applicability to staged approaches outlined. The transactional model does allow for within child factors as has been illustrated, but recognises the complexities impacting on the child. Models of staged intervention sit fairly comfortably with this model, as although attempts would be made to change the environment as a first stage approach, there is scope to address the specific needs of individuals as

appropriate. The importance of the interactions between young person and their teacher will be explored later in this chapter.

Essential Features of Staged Approaches

In the early stages the PDP group discussed their experiences of staged intervention within their local authorities and the following key principles were identified as laying the foundations when considering the implications of introducing such an approach into schools.

CPD / “Rights” Model

It was felt by the group that if staged intervention initiatives were to be a success and welcomed by teachers across schools, the principle of entitlement had to be emphasised. That is, that teachers have a right to access effective support to ensure that they develop and maintain good practice. The link between teacher effectiveness and outcomes related to school effectiveness was outlined in the previous chapter (Elton Report (1989); Reynolds (1992). Without such stress on the rights of teachers to the opportunity for reflection and support for professional development, there is a risk that any intervention such as staged intervention might be perceived as a way of dealing with inadequate or struggling staff. As a result a number of the models under development currently emphasise CPD from the outset. Linked to this is the conscious decision taken by some authorities to avoid the use of the ‘no blame’ terminology favoured in the original Framework for Intervention model (Birmingham). The reason for this is that it is felt that to use this ‘no blame’ term is unhelpful as it actually sows the seeds of the concept of blame before seeking to dispel it.

Structure of Support

Staged Intervention models provide a structure of support which addresses the needs of staff and pupils within the system. This is a multi-layered structure designed to deal with behavioural issues. The way in which it does so is incremental and the appropriate level is determined by degree of difficulty, taking into account a number of related factors. The initial focus would normally be an assessment of the classroom ecology to determine any factors which might be affecting the behaviour of the pupils. Thus hypotheses are tested and the effect of any changes evaluated prior to looking more closely at the behaviours of groups or individuals within the setting.

Problem Solving / Peer Assisted Learning

Within the above structure there are a range of skills and techniques upon which staff are able to draw in difficult situations. The primary task of the support has a problem solving

focus and is based upon peer assisted learning models. In essence, ownership of the issue and its management remains with the teacher and their colleague provides support and challenge. With peer support the concern is analysed in terms of approaches to learning and teaching and classroom management. Key to the success of the relationship and in turn positive outcomes is a supportive culture within the school. Management has a role to play in promoting the approach and providing practical support to enable problem solving to occur. Good interpersonal skills and demonstrable teacher effectiveness are essential qualities of staff selected to support their colleagues. In short, they must have a positive reputation amongst their peers and have the skills to provide the correct blend of challenge and support.

Expert Models” v Empowerment

Staged Intervention models empower staff principally and potentially pupils and parents, by addressing the problem as close to the source as possible. This helps to ensure ownership and commitment to continuing change. Thus problems associated with “expert models”, in particular sustainability, relevance and practicality are minimised. The selection of staff to act as supports to their colleagues is critical to avoid the obvious pitfalls of creating ‘super teachers’ which would inevitably set them apart from their peers and be counter productive. Many developing models recognise this and are addressing the issue in a variety of ways to suit the context, including training a number of teachers within one setting all of whom are regarded positively by their colleagues.

Most Effective / Least intrusive Intervention

All effective models of Staged Intervention are based upon the guiding principle of most effective / least intrusive intervention and support exit from the system / process at as early a point as possible. Management of low level disruption within classrooms is critical to the learning and teaching environment. Thus the emphasis is initially on the context, rather than individuals within it. Quick exit from the system following resolution of a problem, or a move to a lower stage would be considered a good performance indicator.

Pupil / Parent Participation

In line with legislative changes and national and local guidance, models of Staged Intervention have the potential to involve pupils and their parents as active participants in the learning process. The research conducted by Tyler and Jones (2000) cited in Chapter 2 evidenced the impact of pupil involvement. Schools are increasingly aware of the pragmatic benefits of involving pupils and parents and as a result there is a growing investment in this area. Class teachers can seek the views of these groups to complement feedback on their

professional development. Pupils often have insightful and informative comment to make on the learning and teaching experience as it impacts upon them.

Early Identification

The group recognised that effective models of Staged Intervention would encourage informal consultation at the earliest opportunity. Early identification and action are important to the success of the approach and this early consultation could in many cases offset the need for more direct involvement later. Effective models seek to resolve problems as early and as at low a level as possible. An investment of resources now would be considered cost effective, with the potential to prevent the need for heavier resource implications at later stages.

Flexibility and Articulation with Existing Systems

The system should be flexible enough to address the widest range of possible challenges within the system. This ties in with the inclusion agenda and the Presumption of Mainstreaming as described in Section 15 of the *Standards In Scotland's Schools etc. Act, 2000*.

Staged Intervention models are not designed to stand alone. They should complement existing systems within the school (i.e. discipline policy and associated agreed practices including school liaison groups) and referral routes should be made explicit. By adapting a staged approach to fit the local context, the potential pitfalls of importing a rigid model without taking account of the local context should be avoided.

Staged intervention models have often been represented in a linear way, with movement up or down through the stages as appropriate. An alternative proposition to such a linear model is to consider each stage as a cycle with the opportunity for retesting of hypotheses at the same level without the necessity to move through the stages. The 'plan, do, review' cycle could usefully be incorporated into a cyclical staged model.

Roles and Responsibilities

Staged Intervention helps to identify the most appropriate strategy to support the agreed plan following analysis of a situation. Individual roles and responsibilities are made explicit and collective responsibility is encouraged. Throughout the process there is an emphasis on accountability. Again the group felt that at the appropriate stage, pupil and parent participation can be important to ensure shared ownership and positive outcomes.

The group would propose that the above features be considered alongside factors for readiness, which is explored fully in chapter 6, as part of the support to schools considering the implementation of a staged intervention approach.

Introducing Initiatives: an Important Consideration

Initiatives are often billed as new, yet when an examination of the psychological theories underlying the approaches is conducted, a clear link is often evident between the new approach and earlier initiatives. While this is not necessarily negative, especially if a new approach builds upon a strong evidence base, it is important to acknowledge such connections, if only to further evaluate the efficacy of the approach. The danger in not doing so is that attempts are made to import the structure and systems of an approach into a system in which the professionals have no concept of the principles underlying it. To this end, the psychological roots of staged intervention are made explicit throughout this report.

Professionals working within education will be only too aware of the number of initiatives in their working arena. These initiatives or approaches require commitment from the staff involved if they are to have any chance of successfully impacting on the behaviours of the young persons within the system. But more than just commitment is needed in reality. However good systems are, there are key aspects of the skills and attitudes of practitioners which have to be right. In relation to this Visser (2002) offers a model based on research and lengthy practical experience which the group found helpful in identifying critical skills and attitudes. He describes these as “eternal verities”, or “core factors which must be present if any intervention is to successfully meet the needs of children and young people with EBD”.

These are theoretical constructs, supportive of the transactional model, not absolutes, but can help professionals to manage the sometimes difficult interactions when working with troubled young people where behaviour is an issue.

In discussion relating Visser’s model to other approaches the group identified the following key themes.

- optimistic expectations
- preventive work
- good communication
- boundaries and challenge
- empathy and humour

In summary, any staged intervention model will only be as effective as the staff who implement it. It is essential therefore that in exploring readiness factors and actual implementation, support is available to ensure the development of the skills and attitudes identified above as appropriate.

Chapter Four

Key Elements of Birmingham City Council's Framework for Intervention: Its Adoption and Adaptation in Scotland

Jim Kane

Recommendation 5 in "Better Behaviour – Better Learning" (BB/BL) urged Scottish Executive

endorsement of the principles of staged intervention, the funding of a number of pilot programmes around Scotland and a particular focus within these on the links between indiscipline, classroom management and effective learning and teaching. The Framework for Intervention (FFI) was evidenced within BBBL as a noteworthy example of a staged intervention approach for managing challenging behaviour in schools. In the months following the publication of BB/BL, the Scottish Executive funded a number of visits and other contacts with the FFI team in Birmingham, culminating in a number of Scottish Council officers attaining the Framework Consultant Qualification (FCQ).

In the first year (1998/99) of Standards Fund Pupil Retention Grants support, 80 Primary and 8 Secondary Birmingham schools joined the project with around £200,000 funding from DfEE and the City Council. Following further funding of £1.5 million over the years 1999 – 2001, the total number of Framework schools trained and in training had risen to 280, including nursery, primary and secondary.

The telephone survey outlined in the Introduction provides a Scottish perspective on past and current developments with particular reference to FFI. It showed that 60% of Scottish authorities have responded to BB/BL Recommendation 5 by implementing some form of FFI. Also seven authorities report that they have adopted FFI in intact form, whilst 11 authorities report that their staged intervention approach is a modified version of FFI. The survey indicated further that a broad staged intervention model had been implemented in some 43% of Scottish authorities and that either an intact form of FFI or a modified form of FFI was frequently a feature within this approach.

Key Elements in FFI

There are 7 key elements which are outlined below:

- the approach concentrates on the learning environment, uses a problem solving

approach and works in accordance with the theories of Deming's Total Quality Management

- the levels of intervention describe a process which is marked by initial focus on the environmental circumstances in which the concerning behaviour occurs (Level 1) moving to a focus on the needs of the individual child (Level 3)
- intervention is triggered by anyone making an expression of concern – there is no prescribed minimum level of difficulty required -the emphasis is on early response
- the person raising the concern takes the lead in producing a plan with the help of the school's Behaviour Co-ordinator (BECO)
- there is a strong implication that the school and external agencies channel significant resources into supporting Level 1 interventions to facilitate early support and prevention of further difficulties
- a process of "behavioural audit", working towards an optimal behavioural environment is outlined at Level 1 utilising a Behaviour Environment Plan (BEP)
- there is no need at an early stage to define whether or not the behaviour difficulty being focussed upon is part of a special educational need
- at Levels 2 and 3, individual behaviour plans are utilised though work on the behavioural environment may continue

In summary, FFI

- provides a systematic context for managing behaviour in schools
- provides a principled context for action through its inclusive, proactive and co-operative style, and its "no-blame" philosophical base
- is a vehicle for delivering current best practice in that it recruits those who are closest to the concern as solution finders and tackles concerns as defined by the concerned persons rather than as defined by managers or other "experts"
- is a whole-school approach, available to all staff in any location within the school
- is a three level system: Level 1 is entirely environmental, Level 2 introduces IBPs and Level 3 introduces external agencies

In summary, FFI is not

- a discipline policy, being a preventative, progressive approach rather than a reactive, "fire-fighting" one
- a short-term fix, as the aim is to embed its philosophy and practice in school culture
- a new way of changing behaviour as the environmental impact on children's behaviour has long been recognised

- a system for immediately tackling exceptionally challenging behaviour, as its design focuses on the constant low-level disruption identified so consistently in recent years in teacher surveys
- a soft option as it works alongside rather than replaces existing discipline policies and maintains personal responsibility for behaviour

Common characteristics of Staged Intervention approaches are identified elsewhere in this project as incremental, structured, solution-focussed and supportive and FFI can claim to have these principles as firm foundations.

Adoption and Adaptation of FFI in Scotland

A limited number of Scottish Councils have imported FFI intact into their practice but considerably more authorities have identified specific elements of FFI approaches and techniques, and grafted them onto their own nascent staged intervention approaches.

In Scotland, there is no Code of Practice (as yet) and consequently no SENCO, so the term BECO used within FFI has no resonance. Most authorities have rejected this term and a wide variety of substitutes have appeared eg Peer Guider, Staged Intervention Approach Behaviour Co-ordinator etc. In a similar vein, only a limited number of authorities describe their staged intervention schemes for managing challenging behaviour as FFI schemes; descriptions such as the Staged Intervention Approach, or Staged Staff Support where the initiative is rooted in CPD, are more commonplace. There are several other significant differences between Scottish and English educational contexts. For example, there has been the suggestion that Scottish Psychological Services have had more opportunities for system-oriented practice and this has in turn influenced the nature of FFI adaptation. The telephone Survey referred to earlier reveals that almost two thirds of Psychological Services across Scotland were centrally involved in the overall planning in relation to their council's response to Recommendation 5.

Finally, there are challenges in a less-centralised Scottish educational context of introducing a fairly prescriptive approach, and most authorities have given consideration to loosening what might be perceived as some of the more rigid elements in FFI before implementation.

Of particular interest has been the gated entry to Structured Intervention schemes operated by some Scottish authorities based on a threshold of defined readiness factors, discussed elsewhere in this project.

A further common trend is that whilst FFI level 1 approach has been widely embraced and the BEP in particular appreciated, most Scottish Councils already had in place their own arrangements for IEP/IBP construction and well established routes of referral to other agencies. Consequently the focus within Scotland in recent months has been on the adaptation/development of FFI thinking within Level 1.

Evaluation studies within Scotland are at an early stage but there has been a great deal of interest in identifying enabling and constraining factors. Under the former heading, school ethos, personal style of Behaviour Co-ordinator, school readiness, SMT commitment to the initiative, authority commitment to maintenance seem worthy of further study. Under the latter heading, time allocation, inadequate school staff briefing, absence of financial resources to effect identified needs and low position power of behaviour co-ordinators within schools have been tracked in early qualitative work

Chapter Five

Survey of Educational Psychologists' Views

Ken Keighren

Introduction

In order to explore the principles underpinning Staged Intervention, with particular reference to an applied psychology framework, and to identify factors which were seen to contribute critically to success or effectiveness, a survey of educational psychologists' experiences and views of Staged Intervention was undertaken. As noted previously the Framework for Intervention model developed by the City of Birmingham Education Department was influential in the development of related approaches in Scotland, and the survey sought to examine the specific nature of this influence. The key themes explored in the survey were:

1. underpinning principles
2. leading and developing the initiative
3. training
4. readiness factors
5. teachers' and Behaviour Co-ordinators' views
6. evaluation

The survey was conducted using PICO – Participating in Consultation Online. This is a web based survey tool developed jointly between Fife Council Education Service and the Department of Applied Computing at Dundee University. This system allows survey questionnaires to be created, published, completed and analysed online, and in the context of a national survey is highly efficient and cost effective. The system enables the creation of dependent links between a range of different types of questions, allowing specific responses to be explored in greater depth and detail. As a result, not all respondents are necessarily asked all possible questions within the survey; the branches taken in the questionnaire process will reflect the responses given.

Information regarding the survey was sent to all council Psychological Services in Scotland, with a request that this should be passed on to all psychologists who had been involved in any aspect of Staged Intervention within the Authority. It was agreed that respondents should not be asked to identify either themselves or the council for which they work. While this preserved anonymity it is not possible as a consequence to identify which or how many

different Services are represented in the survey. The group felt that obtaining this information was less important than accessing the views and experiences of a sample of practising EPs.

Twenty-five EPs responded to the survey. The results of the survey are presented in the order in which the questions were presented. As is noted above all respondents would not necessarily be asked all questions. Where numerical data are presented the analysis is based on the number of respondents to that specific question, which is stated. The number of respondents is also stated in the content analysis of text based responses.

Results

1. Underpinning principles

Q.1 Which of the following principles, as outlined in Framework for Intervention, explicitly underpin your system?

Number of respondents: 25

Equality and Inclusion:	88%
Positive approaches to behaviour:	80%
Respect for all:	70%
Working with children and parents:	66%
Effective multi-agency working:	66%
Organisational consistency and improvement:	62%

Reference to the principle of Equality and Inclusion by 88% of respondents suggests that Staged Intervention is one strategy which has high relevance in supporting National Priority 3, and the development of local Authorities' inclusion strategies. Reference by 80% of respondents to the principle of positive approaches to behaviour reflects both the centrality of this theme to the original work developed within the Framework for Intervention model, and the widespread development of such approaches within Scottish schools in general.

Q.2: Which of the following elements of Framework for Intervention are present in your system?

Number of respondents: 25

Behaviour Co-ordinator (or equivalent):	76%
Review Documentation:	72%
Behavioural Environment Plan:	68%
Behavioural Environment Checklist:	68%
Baseline Observation Frameworks:	68%
Individual Behaviour Plan:	60%
None:	8%

The above responses indicate that the application of Staged Intervention models in Scotland, as reported by this sample of psychologists, draws significantly on the key elements of the Framework for Intervention model. However it is interesting to note that there is also variation from this model, and this variation would merit further examination as models develop and mature. No information was available from the 2 respondents who reported that none of the described elements was present.

Q.3: Are there any principles or elements contained in your system which are not present in Framework for Intervention?

10 respondents identified a number of principles in response to the above:

- embedding the approach in a CPD framework (3)
- multi agency problem-solving (2)
- the use of solution focused approaches (2)
- make an explicit link to school ethos issues, particularly in relation to positive behaviour management and ownership of initiatives
- incorporate learning as well as behaviour management issues
- link to peer mentoring
- link to general teacher welfare and support issues

The extent to which the above principles or elements are absent from Framework for Intervention is debatable. Their reporting may reflect respondents' unfamiliarity with the actual content of the model, the relative degree of emphasis which is accorded to the above within a particular Psychological Service, or the way in which the approach articulates with other key processes or initiatives within a Local Authority.

2. Leading and developing the initiative

Q.4: Which section of the Education Service is leading this initiative in your council?

Number of respondents: 25

Combination:	40%
Education Service Management:	20%
Psychological Service:	16%
Working group:	8%
Advisory or Development Service (or equivalent)	8%
Other:	8%

If a Working Group is assumed to represent a combination of different professionals almost half (48%) of respondents identified a combined group as leading the initiative within their Authority.

Q.4a: Where Education Service Management were identified as the specific leaders 3 respondents linked this activity to the following aspects of the wider remit of Education Service Management:

- additional support needs
- development and implementation of behaviour support and whole school ethos
- staff support

One respondent reported that it was unclear to practitioners where this initiative was located within the overall Education Service Management remit.

Q.4b: 4 respondents noted the following roles for the Psychological Service in leading the initiative:

- line managing seconded development officers responsible for training and support
- supporting the initiative as head of Pupil Support Service
- promoting the initiative in schools
- overall project management, including training, support, monitoring and evaluation

Q4c: A combination of workers was reported to be leading the initiative by 9 respondents, as follows:

- psychological service, learning area network teams, and primary and secondary behaviour support teams
- education service management, psychological service, school SMT
- education authority psychological service and BB/BL steering group from various parts of education
- seconded managers from secondary schools, psychological service
- education service management and psychological Service
- education development officer, psychological service, steering group, BeCo group
- education service manager, seconded principal teacher (Pupil Support) advice from psychological services
- temporary development officer, psychology service, teachers
- quality improvement officers, educational psychologists

In all 9 cases reported above educational psychologists were represented in the combined teams leading the initiative.

3. Training

Q5: What form did training take?

Number of respondents: 22

In response to this question the following training themes emerged:

- INSET (2 - 6 days)
- attendance at initial Framework for Intervention Training (Birmingham)
- general awareness raising in schools and with colleagues in other agencies
- visits to other councils

15 respondents described INSET models ranging between 2 and 5 days, based broadly around the key principles developed of the Framework for Intervention model. Reference was made to a mix of theory and practice in these INSET sessions, and 3 comments were made about ongoing support beyond the initial session. Five respondents reported attendance at training in Birmingham, or training delivered by Birmingham representatives.

Q.6: Which of the following areas were addressed in training?

Number of respondents: 20

Background introduction (including reference to FFI):	100%
Theoretical perspective:	100%
Positive approaches to behaviour:	96%
Observation skills:	76%
Communication skills:	76%
Negotiation skills:	56%

Responses indicate that training draws heavily on the Framework for Intervention model, and on established practice in relation to positive approaches to behaviour management. It is interesting to note that there is considerably more variation in what is seen as other relevant aspects of training.

Q.7: Is there any area or areas which were covered in your training which we did not identify?

11 respondents identified areas covered in training which were not listed, as follows

- solution focused approaches (9)
- motivation (2)
- child protection training

Given the limitations of the sampling model it is not possible to determine how many different Services are represented in the above responses. However if it is assumed that psychologists from more than one Service made reference to Solution Focused approaches, and these responses do not therefore represent just one local initiative, the relevance of key elements of Solution Focused approaches to Staged Intervention appears to be high.

4 .Readiness Factors

As with many whole school initiatives, particularly in relation to areas such as ethos or behaviour management, it is well established that key systemic readiness factors can significantly influence the processes of establishment, development and maintenance. There is also some evidence that such factors impact on effectiveness of outcomes.

In view of this the survey explored psychologists' views of the importance of eight readiness factors:

- positive school culture
- strong leadership
- involvement of key stakeholders
- voluntary nature of involvement
- identified needs and shared goals
- staff development
- effective school structures
- teacher attitudes

Q.8: Positive school culture, i.e., where the school has shared goals; feelings of responsibility for success; collegiality; openness to trying something new; a feeling of mutual support and respect; an ability to discuss differences without the threat of criticism; and a positive attitude / practice towards inclusion

Number of respondents: 25

Not at all important:	0%
A Little Important:	0%
Quite Important:	0%
Very Important:	32%
Extremely Important:	68%

Q.9: Strong leadership, i.e., where the school headteacher is considerate of others, decisive, honest, collaborative, and forward-thinking; where support is provided to school staff in terms of practical implications (time, training), financial implications, and policy development

Number of respondents: 25

Not at all important:	0%
A Little Important:	0%
Quite Important:	12%
Very Important:	36%
Extremely Important:	52%

Q.10: Involvement of key stakeholders, i.e., where all key stakeholders are involved in the decision-making process (i.e., staff, pupils, parents) and all key stakeholders feel ownership of the process

Number of respondents: 25

Not at all important:	0%
A Little Important:	4%
Quite Important:	24%
Very Important:	48%
Extremely Important:	24%

Q.11: Voluntary nature of involvement, i.e., where the school / pupils / parents etc are buying into the model on a voluntary basis rather than where the model is imposed upon them

Number of respondents: 25

Not at all important:	4%
A Little Important:	12%
Quite Important:	12%
Very Important:	32%
Extremely Important:	40%

Q.12: Identified needs and shared goals, i.e., where the benefits of a staged model are specific to the school context, reflect the school's particular needs, and where all key stakeholders involved in implementing the staged model have a shared goal which they wish to achieve

Number of respondents: 25

Not at all important:	0%
A Little Important:	0%
Quite Important:	16%
Very Important:	52%
Extremely Important:	32%

Q.13: Staff development, i.e., where appropriate training has already been offered to all school staff on a range of approaches to positive behaviour management (e.g., solution-focussed techniques), with ongoing support networks within and across schools

Number of respondents: 25

Not at all important:	0%
A Little Important:	0%
Quite Important:	30%
Very Important:	34%
Extremely Important:	38%

Q.14: Effective school structures, i.e., where the school already has effective structures in place for referral routes to management / other agencies

Number of respondents: 24

Not at all important:	0%
A Little Important:	8%
Quite Important:	24%
Very Important:	44%
Extremely Important:	24%

Q.14: Teacher attitudes, i.e., willingness to offer and accept peer support and feedback; awareness of effect of teacher behaviour on pupil behaviour; readiness to listen to the views of children and young people and their parents; belief that teachers themselves can find solutions.

Number of respondents: 25

Not at all important:	0%
A Little Important:	0%
Quite Important:	12%
Very Important:	36%
Extremely Important:	52%

While all of the above factors were rated as 'very important' or 'extremely important' by the majority of respondents there was some variation in responses which merits further consideration. In particular it is interesting to note that 16% of respondents considered the *voluntary nature of involvement* to be only 'a little important' or 'not at all important', while 32% of respondents identified *effective school structures* as only 'quite important' or 'a little important'. Research on school effectiveness and experience suggest that both of these factors impact significantly on both process and outcomes.

Q.15: Are there any other readiness factors which we have not identified which you feel are of importance?

5 respondents identified the following factors as important in relation to this initiative:

- individual teachers' perceptions and expectations of themselves
- the effectiveness of multi-agency working
- overall readiness of council
- leadership across the school structure
- clear guidance and leadership from education service management
- wider understanding of the purpose and rationale (e.g. leaflets for parents etc.)

Q.16: From your experience are there any other significant issues which should be taken into account in planning, developing or implementing a staged intervention model?

18 responses were received to this question. The following themes emerged from content analysis:

The role of education service management

Respondents identified the key role to be played by education service management in promoting, establishing and maintaining an initiative such as Staged Intervention. Several respondents remarked on the need for such an initiative to be embedded systematically within a wider approach to managing behaviour and promoting inclusion, commenting on the need for the council to have an ethos which is supportive of such developments, with practice reflecting this in terms of measurable outcomes.

The role of school management

The importance of the role of school management was underlined, both in establishing the approach and in maintaining the conditions under which it is likely to grow. It was recognised that Staged Intervention modelled on Framework for Intervention posed unusual issues for school managers in being able to distance themselves from aspects of the management task, and that this should be addressed explicitly early in the development process. Related to this point a number of respondents also made reference to the need to retain the voluntary nature of involvement, and stressed that Staged Intervention should be seen always as an opportunity for teachers rather than a requirement.

Selection of behaviour co-ordinator (or equivalent)

A number of respondents made reference to the essential qualities which a behaviour co-ordinator requires to be effective, and how the selection process needs to be sensitive to these. This was identified as a potentially greater issue as the initiative is rolled out in authorities beyond those schools which volunteered to become involved initially. The need for schools to identify contingency plans to manage Behaviour Co-ordinator staff changes was also noted.

Q.17: From your experience, how do teachers rate this initiative?

The impression of 16 out of 22 respondents was that teachers see this initiative as positive and are generally enthusiastic about it, though the lack of rigorous evaluation evidence at this stage was noted. This positive perception would appear to be because it is nonintrusive, is delivered by a peer mentoring model, tackles issues at source, and offers relevant, practical advice. Examples of positive comments received were;

- *'Highly – once they see the benefits'.*
- *'Those who have contact rate the process highly – my experience is that in a supportive school context all staff value the approach'.*
- *'Teachers who have received this form of support have rated it as effective, professional and non-intrusive'.*

Comments were made regarding the overall ethos of the school as being significant in influencing teacher attitude. The need to maintain enthusiasm for the initiative in the longer term was identified as being as important as the initial establishment process. Where teachers had a less positive view of the approach this was felt to reflect a personal model of behaviour management which was largely based around child deficit, or when involvement with Staged Intervention developed too late in relation to the development of concerns.

Q.18: From your experience how do Be Co's (or equivalent) rate this initiative?

13 out of 20 respondents described Behaviour Co-ordinators as enthusiastic and positive, but noted concerns about allocation of time to undertake the work involved, particularly in relation to development of the strategy. There was also reference to the unique nature of the role of the Behaviour Co-ordinator, and the need to be aware of support structures which they in turn require.

5. Evaluation

Q.19: Has your Education Service undertaken any evaluation of this initiative?

Number of respondents: 23

56% of respondents noted that evaluation was ongoing, but with one exception described it as at an early stage. Early data were largely drawn from the monitoring process and were seen as part of continuing development of the strategy. In one case the respondent noted that a more substantial evaluation of a pilot project had been conducted. Three respondents noted that evaluation was neither ongoing nor planned.

Summary

In summary, the survey indicated that the models of Staged Intervention developed in Scotland drew heavily on the Framework for Intervention model, but also linked into well established existing practice, particularly in relation to positive approaches to managing behaviour. A number of respondents commented on the relevance to Staged Intervention of Solution Focused approaches, and the need to incorporate consultation and negotiation skills into training.

No clear pattern for responsibility for leading the initiative within councils emerged from respondents, although half identified responsibility lying with mixed groups, and psychological services were highly represented in these.

Training was reported as following a largely conventional INSET model, making significant reference to Framework for Intervention. Comment was made regarding the need to ensure maintenance and development plans were of a similar high quality as initial training.

The importance of eight key readiness factors was recognised by all respondents though some variation in responses merits further consideration.

Respondents' views of teachers' and behaviour co-ordinators' attitudes towards Staged Intervention were generally positive, though more rigorous evaluation of this is required, as is more general evaluation of the initiative.

Chapter Six

Readiness and Maintenance Factors for the Implementation of Staged Models of Intervention

Rhona Larney, Caroline Martin and Iain Kellock

Having explored some examples of staged models of intervention, it is now appropriate to reflect on the necessary prerequisites for the successful implementation of a staged model of intervention. What are the factors which indicate a 'readiness' on the part of an organisation to implement a staged model of intervention effectively, and what are the factors which are required to 'maintain' such a model? These two questions will be explored at the level of the school and at the level of the local council, since change at both levels is required to lead to successful implementation of an intervention within an educational context.

Theories and Methodologies of Change

In considering how to implement a staged model of intervention, or indeed any intervention, the starting-point must first be the "...theory and technology of change" (Gillham, 1978) which is at the heart of educational psychology. There are many theories or models of change in the research literature. One of the most helpful models in terms of understanding change in schools has been developed by Fullan (1991; 1993). Fullan's model serves as a useful starting-point for Psychological Services planning on introducing staged models of intervention in a local authority or a school. Fullan suggests that the general process of change has four main stages:

- 1 *Initiation*: This involves the process that eventually leads to an individual organisation proceeding with a change. To succeed, the proposed change must be perceived to make a positive difference to those involved. The key staff members must be well informed and supported by an effective leader. In addition, the organisation must be provided with adequate funding and resources.
- 2 *Implementation*: This refers to the first experiences of attempting to put the change into practice. The members of the organisation must be clear about their roles in the change process, and there must be a positive ethos towards change from the council and from the headteacher.
- 3 *Institutionalisation*: This is the process by which the change is incorporated into the system (or not) beyond the initiation phase. In order for the change to become institutionalised, the headteacher must be supported, there must be continuation of

funding, and the change must be embedded into the context through policy and budget.

- 4 *Outcome*: This refers to whichever aspects of the organisation the change was designed to affect.

As well as having an understanding of the process of change, the Educational Psychologist (EP), as an integral part of the dynamic of the school and local authority systems, must apply 'a robust methodology of change' (PDP, 2001) which addresses systemic issues within the school and council and which can be readily evaluated. One example of a framework for achieving change in an organisation is presented by Senge et al (2000). Senge et al present five disciplines as the building blocks of a learning organisation, and thereby methodological tools for leading an organisation towards change. Tavendale (2001) describes the use of Senge's framework to achieve change in one particular primary school (PDP, 2001). Tavendale refers to the need for EPs to work collaboratively with schools in developing the following building blocks so that schools become effective learning organisations:

- *personal mastery*: supporting the school / headteacher to articulate a coherent vision of what they wish to achieve, alongside a realistic assessment of the current situation. This can lead to a greater capacity to make better choices and to achieve more of the desired results
- *shared vision*: encouraging the school to focus on and commit to a common or mutual purpose
- *mental models*: supporting all school staff to develop an awareness of their own attitudes and perceptions and those of others around them
- *team learning*: transforming the collective thinking of the school staff group, through dialogue and skilful discussion, leading to mobilisation of their energies and actions to achieve common goals
- *systems thinking*: supporting the school staff to better understand interdependency and change, and thereby to deal more effectively with the forces that shape the consequences of their actions

To enhance the likelihood of the success of a staged model of intervention, Psychological Services should take account of the need to develop the five building blocks above in working with schools and local authorities.

Senge et al (op cit) proceed to describe some key principles for achieving successful organisational change:

- change is only sustainable if it involves learning

- change starts small and grows organically
- pilot groups are the incubators for change
- significant change initiatives raise these two questions about the prevailing strategy and purpose of the organisation: *where are we going?* And *what are we here for?*
- successful change takes place through multiple layers of leadership
- challenges are a natural part of organisational change

Stobie (2002) discusses some prerequisites for 'change' and emphasises the need for an organisation to perceive a reason for change. Whether the organisation changes and undergoes a metamorphosis will depend on whether the reason is based on a shared understanding, and affects both the people within and outside the system. Stobie proceeds to outline some of the critical factors which must be present to ensure that change is embraced by an organisation:

- change must be supported internally and externally
- the complexity of the change must be understood by all
- the change must present solutions to perceived problems
- members of the organisation must accept that there may be unintended outcomes
- the school / council recognises itself as a 'learning organisation' for which 'change' may only be temporary as new paradigms emerge leading to further 'change'
- The organisation permits dissent, uses it constructively and considers change as a personal and organisational matter

Readiness and Maintenance Factors

Having explored some of the general principles and models of change and the processes by which change may be brought about, it is now necessary to look at the features of an organisation (either a school or a local authority) which are first required to be present in order for change to be cultivated. In particular, the focus of this section is on the factors which are necessary to lead to successful implementation of a staged model of intervention in a school and / or local authority. These features are referred to here as 'readiness and maintenance factors'. Some of the factors described here could be considered necessary prerequisites for the introduction of any type of intervention, and are not solely necessary for the introduction of staged models of intervention focusing on behaviour. The factors themselves have been identified from the findings of the questionnaire as outlined in Chapter Five, and from the findings of the research literature. The identified factors are as follows:

- positive culture
- strong leadership

- involvement of key stakeholders
- identified needs and shared goals
- voluntary nature of involvement
- teacher attitude
- effective school structures
- staff Development

Each readiness and maintenance factor will now be described in turn.

Positive culture

The culture of an organisation is a major determinant of whether the organisation is ready for and open to change. In addition, the organisation's culture also determines whether change will be sustained in the long-term. Some of the cultural norms that underpin successful organisational change include:

- having shared goals
- having feelings of responsibility for success
- collegiality among staff members
- openness to trying something new
- a feeling of mutual support and respect; and
- an ability to discuss differences without the threat of criticism (Stoll & Fink, 1995)

Fullan (op cit) refers to the need for EPs and others to have an awareness of the local factors of the organisation, in particular the degree to which the organisation has an ethos of openness to facilitate the development of any planned change.

Strong leadership

The effectiveness of the leadership of an organisation has been found to be an essential prerequisite for successful change (Newton & Tarrant, 1992). Effective leaders are frequently shown to be optimistic, honest and considerate, with behaviours such as modelling and visibility conveying these values (BlasÈ & Kirby, 2000).

Gersch (1992) has identified a number of the features of effective school leadership, as follows:

- structures
- visibility
- good relationships with and support for teachers
- good relationships with and support for pupils

- direct dealing with behaviour incidents
- involvement in teaching
- contacts with the community and parents

At the 'initiation phase' of the change process, Fullan (op cit) refers to the need for effective leaders to provide support to staff and to keep them well informed of planned changes. During the initiation phase, support to staff may be in the form of pre-identified training. Such support to staff will require to be sustained during the 'implementation phase' if change is to be maintained. Throughout initiation and implementation, the planned change must also be wholly supported by central administrators and adequate funding made available to sustain the change process.

For change to become 'institutionalised', leaders at school and local authority level must have the support of school staff, and there must be a continuation of funding from central administrators. In addition, the leaders at both school and local authority level must ensure that the change is embedded into the context through policy and budgetary measures.

The issue of leadership is particularly critical for the success of a staged model of intervention such as *Frameworks for Intervention*. For example, the headteacher of a school requires to take a strong leadership role in driving the initiative forward and embedding the initiative within the school's structures. However, the headteacher also requires to 'take a step back' in order to allow the BeCo to take a strong lead once the initiative has become established within the school.

Involvement of key stakeholders

As an important pre requisite for change, organisations must perceive themselves within the wider context of other systems and the relative importance of transactional influences (Stobie, 2002). Change does not take place in a vacuum but within systems (e.g. schools, parents, community). Bronfenbrenner's (1979) ecological model of human development illustrates that through direct and indirect transactions separate systems influence one another. In essence change in one system can impact and influence other systems. Fullan (1993) points out that you cannot enforce individuals to change and that for effective and successful change, each person involved or whom change will impact on be regarded as a 'change agent'.

Change is a complex process open to conflict and obstructions to the process tend to feature in peoples feelings of perceived threat (Stobie, *ibid*). Most people, as Stobie points out, are

anxious when taken out of their 'comfort zone', where ,for example, current work practices are already established. As a consequence challenges to this equilibrium or the status quo can be resented and resisted, particularly if people have been excluded as collaborators within the proposed change process (Gillham, 1999).

A commitment to involvement of key stakeholders is supported in the school effectiveness literature (Sammons et al 1995). Indeed schools that have been successful in promoting positive behaviour have consulted with staff, pupils and parents who have been active partners in the decision making process (Newton and Tarrant, 1992). Involvement of key stakeholders, mainly school staff (teaching and non-teaching), parents and pupils, is an important readiness and maintenance factor in the process of effective and successful change (Miller and Nash, 2002). Not all within the school community have equal status and it is important that all contributions are valued and taken into account (Clarke and Murray, 2001). The complexity of change can be better understood by all when key stakeholders have a greater sense of ownership and mutual purpose to change (Pattie, 2001). When considering the implementation of a staged model of intervention, consultation and collaboration with all stakeholders should be considered crucial at each key stage of the process, particularly at the initial stages where resistance to change may be greatest.

Identified needs and shared goals

Having a coherent and consensus based philosophy; set of goals and a collective vision are key factors affecting successful change (Galvin et al 1999). Senge (2000) points out that those who have a common purpose can nurture commitment within an organisation through development of a shared vision and identified goals. He further suggests that the absence of a shared vision will prevent a school articulating its sense of purpose. Schools require to undertake a thorough needs analysis of their current situation prior to implementing change (Galvin op cit; Clarke and Murray, 2001). This process will require establishing with key stakeholders in the early stages what they perceive the needs of the school to be and the possible solutions to addressing these needs (Huberman and Miles, 1984).

Voluntary nature of involvement

As has been discussed, the involvement of stakeholders and their collective ownership is vital for the successful implementation of new systems and practices, such as the introduction of a staged model of intervention. Through collaboration and communication not only will stakeholders embrace change they will contribute to improvement and maintenance (Pokras, 1990). However, what are the effects of imposed change? Change introduced without any prior consultation can leave people feeling both undervalued and defeated (Newton and

Tarrant, 1992). As previously mentioned the notion of maintaining the 'comfort zone' in the face of perceived disequilibria is a significant obstruction to the change process. As Stobie (2002) notes, "The importance of retaining locus of control in the face of perceived threat cannot be underestimated". As Fullan (1993) points out, change cannot be enforced and failure to engage stakeholders in the process may well make it difficult to implement.

Teacher attitude

"Change is a never ending proposition under conditions of dynamic complexity", (Fullan 1993) and highlights that one "can't mandate what matters"; such that change cannot be forced, behaviour and beliefs require to be developed through a process of skill development and gradual changing of attitude then behaviour.

In developing a climate promoting attitude change, Perkins (PDP 2001) indicates that the process of change, be it classroom management practices or teacher attitudes, represents a considerable challenge to those initiating such a process. She further proposes three distinct elements in the 'initiation' of change as a process: 'Relevance': will change make a difference to those involved?; 'Readiness': are key staff well supported? And 'Resources': do key members have opportunity to gather resources (and is appropriate funding available)?

The process of change, as has been highlighted earlier, needs to encourage a sense of 'ownership'. This stage could be seen to reflect the initiation stage, when staff are involved in the introduction of new strategies, but transition to implementation requires proof (in the eyes of the teacher), that continuing to use new strategies will provide a positive personal benefit to their management and classroom organisation. Fullan notes training programmes alone do not necessarily lead to useful change. This leads other demands such as staff support, building of successful outcomes and ongoing support provide a suitable utility for ongoing EP involvement. Within Fullan's framework, institutionalisation cannot conceivably be realised in the short term, but would be apparent in the ongoing practices of staff into subsequent medium term time spans (e.g. into the second session of change). Successful institutionalisation requires consideration of the process of change as well as the strategies (content) being implemented.

Effective school structures

Thomson (2001) highlights/identifies a number of central elements within a school to be essential to the change process: empowerment of staff; maximising communication within the organisation; awareness of and responsiveness to staff needs: Fullan (1991) is frequently

cited in the area of change in education. He outlines a three stage model of educational change:

- use of new revised processes and materials
- used new teaching approaches
- the alteration of relevant beliefs

Bowe et al (1992) suggests however, that there are two common flaws in the current literature regarding the change process. They highlight the importance of context, and the importance of viewing the school context within wider contextual framework e.g. being part of an authority or responding to wider political (natural) initiatives or policies. They also highlight that an organisation (school) cannot be divorced from its 'institutional history' of that organisation. Ongoing changes are related and relevant to proceeding effective changes with the organisation (school) Perkins, (op cit).

The key factors affecting successful implementation include

- school requires to acknowledge a perceived 'need' for new initiative(s)
- clarity of roles and of the extent of expected 'changes' required by each participant
- time for changes to be trialled and evaluated
- ethos of openness within the school
- positive ethos from authority
- role of head teachers especially 'attitude' at starting point of initiative
- individual teacher factors: approach collegially as well as individually

Perkins (2001) indicates several key themes for the success of new initiatives:

- 'joint vision' among key players e.g. staff as well as trainers, implementers of any approach
- an ethos of evolutionary planning – that allows the new approach to be correct and 'embedded' within the school.
- In order to enhance motivation there should be freedom for individuals to make their own decisions and operate autonomously (as far as it is practical)
- staff are 'supported', especially at the beginning of initiatives, and that on-going support is also required to reach an 'implementation' phase
- it is important to 'monitor' problems and allow additional discussion/planning time within the overall process

Staff development

It has been indicated throughout this paper that the role of the EPs can be pivotal in assisting schools to develop a change culture. The development of staff to embrace new initiatives and to develop the vision that accept that new strategies can be personally, as well as collectively, advantageous. Perkins (2001) derives some related change issues regarding the successful introduction of new initiatives to schools:

- 'ownership' and 'commitment' to change through an understanding of a shared philosophy
- commitment to new ways of working
- investigation and prior planning
- flexibility for further developments
- 'effective communication' between participants in the change process

Fullan and Stiegelbauer (1991) warn that policy directives, in themselves do not necessarily produce change. In other words change cannot be forced on individuals or systems. Hopkins (1991) describes change as a process whereby individuals alter their ways of thinking and doing. In the absence of shared goals and an understanding of the philosophy and policy regarding change, effective change will be resisted. The role of the EP as a facilitator between staff and management may be an invaluable aid in the long-term success of new initiatives and targets. Brown (1992) highlights the knowledge base of a EP and that EPs are well placed to facilitate and enable change e.g. to assist Head Teachers to initiate new developments. In order to ensure the elements of essential staff development proceed effectively, and to devise communication, ownership and agreed evolutionary development within the system of the organisation concerned.

The psychological principles of the process of change need to be applied when considering systematic change at school and authority levels. Jensen (2002) highlights that resistance to change based on several specific and often interrelated factors (based on Schiemaun, 1995):

Individual level:

- loss of control of working patterns that are known, and probably 'comfortable'
- uncertainty concerning the new process and the outcomes
- fear of 'the difference of change from something that is habitual' and routine
- loss of power both perceived and real can be affected by change demands
- misunderstanding the changes and subsequent demands may not have been made clear

In addition Schiemaun (1998) identifies 5 related system/organisational level issues.

System level

- 'inappropriate culture' i.e. has emphasis within the school to expect change to take place
- 'poor planning/communication' this suggests an ongoing dialogue between the initiators of the new regime and those receiving it
- 'incomplete follow up' where those doing the change need to support the implementation of change and help those changing their own practices to accommodate and develop new behaviours
- 'lack of management agreement on strategy' clearly there is a need to have head teachers and SMT members in agreement as to what is the purpose, process and content of change
- 'insufficient skills', there can be a lack of skills within the group executing change and as a result the expected change is unlikely to happen

The above sections highlight the need to consider in full the impact of such 'Readiness' factors in the change process, in particular at the initiation phase when new initiatives may be viewed as threats rather than opportunities. Staff need to be aware of the impact that change has for them personally as a teacher, as well as a member of the organisation (school). If care is taken to ensure awareness of such factors exists within those proposing and propelling change in the system, then final success may be better achieved and in a much quicker time frame.

The readiness and maintenance factors highlighted within the literature were rated by the majority of respondents in the survey of 'educational psychologists views' in chapter five, as being either 'very important' or 'extremely important' to the successful implementation of a staged model of intervention. In light of the research literature presented and survey feedback, these features should therefore be considered both necessary and essential prerequisites.

Chapter Seven

Summary and Conclusions on the Role of the Educational Psychologist

Jenni Barr

Better Behaviour / Better Learning and the Role of the Educational Psychologist

The report on *Better Behaviour / Better Learning* (SEEDa, 2001a) is a significant report for Scottish Education, drawing on several concurrent developments such as effective joint working between agencies; better integrated children's services; clear protocols for the processes of assessment, planning and intervention. The specific reference to a staged approach to intervention with behavioural issues draws on years of involvement by educational psychologists in schools, and highlights the two-way link between good discipline and effective learning and teaching.

There was no EPs on the Discipline Task Group which produced the BB/BLreport in 2001. The Association of Scottish Principal Educational Psychologists (ASPEP) was not one of the four key groups which that same year collaborated on the supplement, *Better Behaviour / Better Learning: a Joint Action Plan* (SEEDb, 2001b). Nevertheless, both reports draw heavily on the work of EPs and their recommendations impact directly on current roles for EPs in

- working in an embedded way within councils and individual schools
- highlighting principles for practice
- helping develop and implement clear systems for assessment and intervention
- working with pupils, families and schools in a clear and holistic way

There are several explicit references to EPs in the main report and in the Joint Action Plan, and the Currie Report, published in the same session and reporting on the review of provision of educational psychology services in Scotland (SEED 2002), makes the a specific link with *Better Behaviour / Better Learning*. In a section entitled 'Future Demands' and referring to the identified national priority "to support and develop the skills of teachers, the self-discipline of pupils and to enhance school environments so that they are conducive to teaching and learning," the report states:

7.7 To carry forward (this) priority the following will be expected of educational psychology services:

- *taking forward the recommendation of the Discipline Task Group, by supporting schools in maintaining young people with social, emotional and behavioural difficulties in mainstream, promoting multi-disciplinary decision making and researching and disseminating flexible support provision*
- *working with schools to develop holistic policies for integrating existing support structures*
- *providing continuing professional development opportunities for teaching staff and new ancillary staff in relation to multi-disciplinary working, the needs of looked after and accommodated children, promoting positive behaviour and relating to parents and carers.*

7.8 *Psychologists have traditionally had a lead role in advising schools and other agencies on the provision and monitoring of children and young people with special educational needs. Their role is increasingly one of promoting equality of opportunity for all pupils. The New Community Schools initiatives have invariably involved educational psychologists from the start, and their co-ordinating role with other agencies has been a major advantage in these projects. The psychologists' promotion of the entitlement model for addressing the needs of all pupils, especially those with additional needs, is part of the equality agenda. The development of staged intervention approaches in many authorities has been largely led by psychological services.*

7.9 *The inclusion agenda promoted by the 2000 Act will have major repercussions for all schools and for large numbers of children and young people. Educational psychologists have already contributed much to this development in terms of organising inclusive provision for children and young people with disabilities or with social and emotional difficulties, and promoting the return of children and young people from outwith local provision. Educational provision for looked after children has become a priority, as are children and young people who cannot attend school. Psychologists participate in council working groups contributing to and implementing policies and procedures for inclusion, improving attendance and reducing temporary exclusions from school. They also have had a major role in staff development for classroom teachers, specialist teachers and classroom assistants in all aspects of special needs, in preparation for increased mainstream inclusion. Lastly, such support for schools makes a major*

contribution to a reduction in teacher stress. The role of psychological services in helping schools to deal with critical incidents and their aftermath is also recognised.

(SEED, 2001a, p.25)

Within such an approach, and building on earlier documents such as *Education Authority Psychological Services: Future Directions* (Closs, 1997), the Currie Report endorses an emphasis on the psychologist as a facilitator and key partner in establishing new processes with schools - but not, specifically, as the lead player. Notably, in a section which looks at 'Time for Psychology', recommendation 12 of the Currie Report reads:

Each local authority should review its staged intervention procedure to ensure that schools, and not educational psychologists, play the central role in co-ordinating the process, and that the roles of support for learning staff in supporting assessment and intervention are clear.

(SEED, 2002, p.10)

This quotation from *Better Behaviour / Better Learning* is also apposite

Local authority policies and structures are central to determining the nature and role of the educational psychology service. Where the policy is to involve the psychological service in developing the wider authority strategy, this provides a clear rationale for the work of educational psychologists within schools.

(SEED, 2001a, p.41)

Summary and Conclusions

This PDP report has taken a fresh look at the response from education authorities and psychological services to the implementation of Recommendation 5 of *Better Behaviour / Better Learning* - pilot work to develop the use in education authorities and in schools of a staged approach to intervention with behavioural issues.

The initial survey of services, reported in chapter 1, showed that almost three-quarters of councils in Scotland had already started piloting such work. Sixty percent of councils were using some form of Framework for Intervention (FFI, the approach developed in Birmingham), but it was clear that for many authorities this was incorporated as a part of a broader staged intervention approach. Almost two thirds of Psychological Services across Scotland were centrally involved in the overall planning within the authority, with around a third involved in evaluation, delivering staff development and providing consultation and advice.

The PDP team recognised that the principles on which Staged Intervention approaches are built are grounded in applied psychology, but this has not always been acknowledged in the literature. The decision was taken to compile a basic reference regarding Staged Intervention in relation to behavioural issues, highlighting the contribution which applied psychology has made to the developments in the area. The logic for the report has been clear. Chapter 2 searches for a theoretical source of the principles of staged intervention, and while the conclusion is that very little research outlines a clear and comprehensive rationale for the use of a staged approach, there are a number of sources which together supply us with a rationale. Drawing on literature from ecological systems theory, transactional psychology, school effectiveness research and the recent legislative context, a detailed framework is outlined on which to build an examination of the principles and essential features of staged intervention approaches.

This is the task which is tackled in Chapter 3, drawing on the experience of the PDP group members in working with staged intervention within their own authorities. The following key principles are identified and described:

- employs a CPD / 'rights' model
- provides a structure of support with clear roles and responsibilities
- based on problem solving and peer assisted learning
- empowers teachers
- seeks the most effective but least intrusive intervention
- includes pupils and parents as equal partners
- encourages early identification
- offers flexibility and articulates with existing systems.

A caution is sounded. EPs should pay heed to the psychology of change when seeking to introduce and establish new approaches within an council or school. However good the systems are, there are key aspects of skills and attitudes which need careful attention if the intervention is to meet successfully the needs of children and young people with SEBD. Support is drawn from Visser's work (2002) and again from the experience of the PDP group in drawing out key themes. These are offered as:

- optimistic expectations
- emphasis on preventative work
- good communication
- offer boundaries and challenge
- use empathy and humour.

A key role for EPs in assisting with change will be in ensuring that support is available to foster the development of these key skills and attitudes.

At this stage in the report (chapter 4) a more detailed account is given of the key elements of the FFI approach as it has been developed in Birmingham and subsequently adapted in Scotland. In the less centralised Scottish educational context, some of the more prescriptive elements of the approach have been softened, and there is a new emphasis in some Scottish councils in defining and fostering factors for readiness, a topic to which we return in chapter 6. Given the existence in many authorities of established Staged Intervention processes which co-ordinate referral to other agencies and construction of individual education (and/or behaviour) plans, the emphasis in developing the FFI approach in Scotland has frequently been at Level 1 – introducing it as a support framework for staff.

Chapter 5 reports responses by 25 EPs to an on-line survey of their experiences and views of Staged Intervention. More detail is thrown on the initial suggestion that in Scotland models of Staged Intervention with behaviour issues are drawing on the FFI approach but supplementing it when used, particularly with fresh emphases on solution focused approaches, consultation and negotiation skills. No clear pattern for responsibility for leading the initiatives within authorities emerges from respondents, though half identify responsibility lying with combined groups, and psychological services are highly represented in these.

Asked about a list of readiness and maintenance factors (those factors which indicate a readiness on the part of the organisation to implement a staged model of intervention effectively, and those factors required to maintain such a model), the respondents rated each consistently as 'important' or 'very important'. In chapter 6, the process of change within an organisation is examined in more detail, and each of these readiness factors is explained and elaborated.

What, finally, of the implications for the role of the educational psychologist? The psychologist is in a unique role, an integral part of the dynamic of school and local authority systems, familiar with an overview of the principles which underlie the systems in place and aware of the key principles for achieving successful organisational change. He or she can help prompt the questions that will ensure that the ground is ready, whether this is at council level, looking at readiness factors, or at school level, looking at the steps that will allow an intervention to be embedded successfully in the workings of the school. Consultation and collaboration with stakeholders (or advice to those involved in such consultation) can help

make important links with existing approaches, explore the perceived need for the new initiative and address some of the reservations experienced in the face of change.

The core functions of psychological services, outlined in the Currie report as consultation, assessment, intervention, training and research (SEED, 2002) may all come into play, whether supporting development and training at the level of the council or the school.

Much of this report has highlighted the importance of clarity about the reasons for change, awareness of the principles on which Staged Intervention is based and the need to look carefully at readiness and maintenance factors in order to foster a process of change that rests well within the systems of the authority and the school.

For this reason, the second part of the task of the PDP group has been to produce a working tool for educational psychologists to support the development of Staged Intervention in relation to behavioural issues in local authorities, in collaboration with others. This task is still ongoing.

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