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The Leader in Me

Research Literature Review

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Preface

This literature review was undertaken at the request of the FranklinCovey Company. The purpose was to determine the extent to which FranklinCovey's leadership program for K-12 students, *The Leader in Me,* aligns with recent research on effective reform strategies and practices.[1] This literature review provides the framework within which *The Leader in Me* goals, objectives, informing beliefs, and curriculum design can be examined.

A subgroup of the Warner Center Program Evaluation team collaborated on this review to ensure inter-reviewer reliability and reduce the impact of reviewer bias. Still, given our commitment to and extensive experience with K-12 education and reform initiatives, we want to acknowledge the potential for our interpretation to be influenced by our beliefs. The results articulated here do not represent the opinions of FranklinCovey or any of *The Leader in Me* schools.

An examination of the available *The Leader in Me* documents and artifacts resulted in the identification of two primary bodies of literature to be mined for this review: 1) research on systemic reform; and, 2) research on social and emotional learning. This report begins with a description of *The Leader in Me* including the beliefs informing the program, and the key design and content components.

The bulk of this report is dedicated to the literature review and presents a detailed account of the major research findings related to systemic reform and social and emotional learning. *The Leader in Me* is analyzed in light of these findings and the results are reported within each area. This analysis provides the bases for our conclusions about *The Leader in Me's* potential to foster and support school transformation and student acquisition of 21st century competencies.

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[1] The authors of this review have no stake in *The Leader In Me* program or the outcomes of this literature review. The Warner Center at the University of Rochester was paid a small fee to conduct the review.

> "*The Leader in Me* is a whole-school transformation model that acts like the operating system of a computer—it improves performance of all other programs. Based on *The 7 Habits of Highly Effective People®, The Leader in Me* produces transformational results such as higher academic achievement, fewer discipline problems, and increased engagement among teachers and parents. Better yet, *The Leader in Me* equips students with the self-confidence and skills they need to thrive in the 21st century economy." *The Leader in Me* website, FranklinCovey, 2011

Description of *The Leader in Me*

As a result of Principal Muriel Summers' effective use of *The 7 Habits of Highly Effective People*® to transform the culture of A. B. Combs public elementary school in North Carolina, the FranklinCovey Company developed *The Leader in Me* program. This school leadership program is based on *The 7 Habits of Highly Effective People*® and claims to produce "transformational results such as higher academic achievement, fewer discipline problems, and increased engagement among teachers and parents" (FranklinCovey, 2011g). *The Leader in Me* program is a whole school leadership model for K-12 schools but has primarily been implemented in elementary schools.

The 7 Habits of Highly Effective People® (also referred to as the *7 Habits* in this report) and the process for embedding them throughout a school are taught to the adults in the school community in a three-year professional development program. The adults are expected to embed the *7 Habits* throughout the entire school program, including instruction in the traditional content areas. As a result, students are expected to acquire 21st century competencies that are seen as essential for students to become successful (FranklinCovey, 2011g).

Beliefs Underlying *The Leader in Me*

The Leader in Me is based on three fundamental beliefs. First, the belief that all individuals have the capacity to lead their own lives. This belief calls for a new paradigm that moves away from a hierarchical model in which titles and positions define leaders to a culture in which all individuals, including students, are given the opportunity to lead. In this new leadership paradigm, Stephen Covey calls for looking at leadership through the lens of choice, "leadership is a choice, not a position" (FranklinCovey, n.d.C, p.29). *The Leader in Me* promotes this view of leadership and provides leadership tools to help empower students to see and reach their individual potential. For example, students use a data notebook to track their individual progress and expand upon their self-understanding to identify and apply their strengths to their personal development (FranklinCovey, 2011a).

The second fundamental belief underlying *The Leader in Me* is the belief that the habits articulated in *The 7 Habits of Highly Effective People*® pertain to all people regardless of age, race, class, gender or disability (Covey S. R., 2008). And further, that embracing and practicing these habits will lead to a transformation of a school‘s content and culture which will result in students developing skills such as leadership, accountability, adaptability and problem solving, the 21st century competencies that are essential for students to become successful (FranklinCovey, 2011g).

The school‘s culture is transformed by fully integrating the habits into its curriculum, traditions, system and culture (FranklinCovey, 2011g). *The Leader in Me* is not a one shot program it is a process that provides a common language for staff and students at all grade levels, expects teachers to create and teach daily lessons informed by the habits, and is supported through displays on the school walls and conversations in the classrooms.

The third belief informing the program focuses on the diffusion of innovation. In this case the innovation is the new paradigm of leadership coupled with a practice informed by the *7 Habits.* FranklinCovey believes that innovation will be diffused through a ripple effect from teachers and staff members to the surrounding community, they call this the “Inside-Out impact” (FranklinCovey, n.d.C.). They define leading as “communicating people‘s worth and potential so clearly that they are inspired to see it in themselves” (FranklinCovey, n.d.C, p.30). The job of teachers and administrators is to encourage and support students in seeking out their leadership ability. Teachers, or staff members, tell a student about his/her self-worth and leadership ability and when the student comes to see this in his/herself, s/he in turn inspires others to see their own worth and leadership abilities, which in turn impacts the culture of the entire school. As a result, the impacts of each individual student‘s positive beliefs ripple out into the surrounding community (FranklinCovey, n.d.C).

Key Components of *The Leader in Me*

Implementing *The Leader in Me* is a three year process that builds upon the knowledge and understanding of each previous year. This approach was informed by the third principle for creating and sustaining change articulated in Marzano‘ s 2003 book, *What Works in Schools*, “in the new era of school reform, change is approached on an incremental basis” (As cited in Covey S. R., 2008, p.187). FranklinCovey recognizes that no two schools have the same population with the same achievements and challenges, so there‘s “no one-size-fits-all process for implementing the leadership theme” (Covey S. R., 2008, p.166). That said, the year by year foci are the same. The first year focuses on introducing the *7 Habits*, the second on introducing tools to reinforce the meaning and application of the habits, and the third year on renewal training to maximize results. There are two

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key components of *The Leader in Me* program, a 7-day professional development program for the adults in the community and the ubiquitous adoption of the 7 habits by the entire school community.

The Leader in Me professional development program begins with a Franklin Covey trained facilitator researching the context of the individual school or district to inform the implementation of the professional development program. The facilitator gathers available published information and conducts a phone consult with the school leader to gather more in-depth information. Having knowledge about the school environment, their challenges and issues, and about the individuals attending the training allows the facilitator to anticipate and better prepare for the school's professional development sessions (FranklinCovey, n.d.C).

The core of the professional development takes place in the first year. The curriculum goals for these 5 full days of instruction include catalyzing the development of a school vision and participants adoption of the 7 Habits in their personal and/or professional lives (FranklinCovey, n.d.C). During the first training days participants clarify their purpose for bringing in *The Leader in Me* by responding to questions such as: "What is our vision for our school? What will we do differently? What impact could we have?" (FranklinCovey, n.d.C, p.72). Answering these questions gives direction to the program and provides an opportunity for stakeholders to develop ownership of and buy-in to the process, "If people see change as something you are doing *to* them, they might resist even if it's a good thing. But if they see it as something you are doing *with* them, they are far more likely to hop on board" (Covey S. R., 2008, p.173).

Covey describes two different strategies for deciding on a path to arrive at a destination set by the school's vision, the hard and soft strategy. The hard strategy is described as "laying out logical, orderly, and manageable steps and timetables" (Covey S. R., 2008, p.171). In this strategy, priorities and pace are set and needed resources are determined. During the soft strategy process, the "Code of Conduct" is worked out. "The soft strategy is represented by the school's *values*" (Covey S. R., 2008, p.171) and are reflected in the character of the school. For example, a school's values are reflected in the community's response to questions such as, "How will we treat each other on the journey? How will we treat the students?" (Covey S. R., 2008, p.171).

Also during the first days of training, participants are introduced to the *7 Habits* and spend time making sense of their meaning. Participants reflect on their personal and professional lives and identify contexts in which the habits would be useful. Considerable time is spent in small groups reading and discussing the habits with the goal of supporting participants to develop shared meaning

for implementing the habits and common language for continuing to discuss them throughout the school year.

The second key component of *The Leader in Me* program is the ubiquitous integration of the *7 Habits of Highly Effective People*® into the school environment. Muriel Summers found when speaking with community members and business owners that they all wanted students who had competencies beyond academic scores (Covey S. R., 2008). They wanted students with leadership skills who were responsible and could problem solve (FranklinCovey, 2011g). She found that the *7 Habits* were instrumental in helping students develop these competencies, but only if they were consistently drawn upon and applied. As a result, the *7 Habits* were re-articulated in student terms for *the Leader in Me* program, they are:

- *Be Proactive.* This habit focuses on students' personal choices and how they have control over their own actions. Students are taught to take initiative by making statements of "I choose my actions, attitudes, and moods. I do not blame others for my wrong actions. I do the right thing without being asked, even when no one is looking" (Covey S. R., 2008,p.21).

- *Begin with the End in Mind.* This habit focuses on thinking about the end result. Students are encouraged to plan ahead and set goals. Personal statements include: "I am an important part of my classroom and contribute to my school's mission and vision, and look for ways to be a good citizen" (Covey S. R., 2008, p.21). *The Leader in Me* data notebooks are used to support this habit, as they allow students to track personal and academic goals, and provide them an opportunity to see where their current achievement is compared to their goals (Covey S. R., 2008).

- *Put First Things First*. This habit encourages students to prioritize so that they may spend time on things that are most important first. Student statements would include: "I spend my time on things that are most important. This means I say no to things I know I should not do. I set priorities, make a schedule, and follow my plan. I am disciplined and organized" (Covey S. R., 2008, p.21).

- *Think Win-Win.* Students say, "I balance courage for getting what I want with consideration for what others want…When conflicts arise, I look for third alternatives" (S.R., 2008, p.21). Through this process, students learn to recognize how they react can affect others.

- *Seek First to Understand, Then be Understood.* Students are encouraged to see things from another's point of view by listening to others' ideas and feelings. Students would say, "I try to see things from their viewpoints…I am confident in voicing my ideas" (Covey S. R., 2008, p.21).

- *Synergize.* The goal of this habit is to focus on working well with groups and getting along with others. Students state: "I seek out other people's ideas to solve problems because I know that by teaming with others we can create better solutions than any one of us can alone" (Covey S. R., 2008, p.22). By working in groups, students learn to value others' differences.

- *Sharpen the Saw.* This habit puts the focus back on the individual and the importance of taking care of oneself. Students say: "I learn in lots of ways and lots of places, not just at school. I take time to find meaningful ways to help others" (Covey S. R., 2008, p.22). This habit focuses on eating right, exercising, and spending time with friends and family.

The Leader in Me calls for a ubiquitous approach embedding the *7 Habits* in school's curriculum, traditions, systems and culture. The purpose is to reinforce a unified message to students and to allow for flexibility in how a school or teacher actually implements the habits. The following example from a teacher at A. B. Combs Elementary School provides a good example of the extent to which teachers have autonomy in when and how they include the habits in their classroom instruction.

> As a part of literature and writing module, she had fifth-grade students dissect the Langston Hughes poem "I Dream a World," which shares his vision for a better world. After discussing the poem's vocabulary, structure, and meaning, Mrs. Barnett divided students into teams and assigned each member a leadership role, such as scribe, timekeeper, or spokesperson. She then gave each team a poster-sized sheet of paper and challenged them to select one quality tool to illustrate the main points of the poem. One team chose to use a lotus diagram, another a bone diagram, two others a Venn diagram… Upon completion, each spokesperson presented her or his team's creation. As a class, they then discussed which of the *7 Habits* were evident in the poem, after which they were given personal writing assignments to describe what type of vision and dreams they had for their lives in the days ahead (Covey S. R., 2008, p.53-54).

The lesson appears to only be asking students to recognize evidence of the *7 Habits*, however it was simultaneously engaging them in using the *7 Habits*. Notice that the students were put in groups so they had to work together, they had to identify a quality tool that would best accomplish the end goals, they had to take leadership roles in presenting their work to others. The lesson was only 30 minutes, but was able to incorporate several elements of *The Leader in Me* (Covey S. R,

2008). Any school day may offer numerous opportunities for highlighting and practicing the *7 Habits* and teachers are encouraged to take up these opportunities in whatever way they choose. *The Leader in Me* professional development program is completely designed and articulated for the facilitators but if, and how, the school community actually takes up the challenge to build a new culture in their school is completely controlled by the school community.

Review of Relevant Literature

To inform this review of the literature, we read and analyzed the book, *The Leader in Me (*Covey S. R., 2008), *The Leader in Me* Facilitator Guides provided to us by FranklinCovey, and *The Leader in Me* website. Drawing on our knowledge of and experience with education reform, two central concepts emerged as central in the conceptual design of *The Leader in Me* program—systemic reform and social and emotional learning.

Systemic reform takes the position that whole organizations or educational institutions are reformable, complex systems. *The Leader in Me* claims to transform the culture of a school through a process that involves all stakeholders and a ubiquitous implementation of a new leadership paradigm thus implying a belief that the whole system can be reformed. In addition, *The Leader in Me* protocol for implementation requires facilitators to develop an understanding of the school context, the stakeholders' involvement, and the participants in order to support the community in creating a vision for their new culture. Such attention to the individuality of schools and districts suggests a belief in the complexity of these systems. Social and emotional learning focuses on the creation and enhancement of positive behavioral traits linked with success inside and outside of a classroom setting (CASEL, 2006; Durlak, Weissberg, Dymnicki, Taylor, & Schellinger, 2011; Elias, et al., 1997; Kress, Norris, Schoenholz, Elias, & Seigle, 2004; Norris & Kress, 2000; Payton, et al., 2008; Rogers, 2003; Sparks, 2011; Weissberg & O'Brien, 2004; Zins, Weissberg, Wang, & Walberg, 2004). *The Leader in Me* seeks to teach and support the adoption of new behavioral beliefs and practices for all students. When we combine this fact and the results claimed by FranklinCovey and some participants in the *The Leader in Me* program…there are compelling similarities to those identified in research studies of social and emotion learning programs. Hence, this review focuses on the current research in systemic reform and social and emotional learning.

Once the central conceptual design concepts were identified, a review of the systemic reform and social and emotional learning literature was conducted. Each potential text was examined and kept or discarded through a three-step process. First, it was reviewed to determine its relevance to our

task: Did the text go into detail about the concept or the design of a program informed by the concept? Next the text was evaluated on the basis of its credibility: Did the text describe reputable research in the field? What is the author‘s reputation in the field? What sources are being cited? Finally, the specific content of the text was examined in detail to develop an understanding of the specific contributions it made to the field, and to determine the implications for the success of the programs with similar goals.

Review of the Literature on Systemic Reform

The definition of systemic reform varies based on the source. Generally, all of the literature reviewed for this report discussed systemic reform as a broad change of interrelated components of a system, e.g., classrooms, departments, schools, districts, states, students, parents, community, teachers, and administrators. More specifically, Carr-Chellman (1998) found that 84% of books ended up referring to systemic change as a change within the current system as opposed to only two percent referring to it as a whole new system (p.381). Anderson, Brown, and Lopez-Ferrao (2003) define systemic reform as a “complex, long term process that requires simultaneous changes” (p. 619). *The Leader in Me* program reflects both of these definitions as it is intended to progressively change a current system over three years, through the inclusion of all of the constituencies within a school, and to impact the culture and practices of the community.

Systemic reform is a “continuous process in which we create and design in order to come closer and closer (though never quite attaining) the ultimate goal of an ideal vision of education and learning” (Carr-Chellman, 1998, p.373). It requires individuals to be willing and open to consistently reevaluate the current system in which they work through reflection and communication with all stakeholders (Jenlink, Reigeluth, Carr, & Nelson, 1998). Ideally, it is finding a balance “between sustaining the best current practices and exploring new ideas…” (Anderson, Brown, & Lopez-Ferrao, 2003, p.624). When it comes to systemic reform, the question that needs to be asked is, “How can we design a system that will continuously reform (i.e. renew) itself, beginning with presently specifiable ills and moving on to ills that we cannot now foresee?” (J.W. Gardner as cited in Carr-Chellman, 1998, p.372)

Table 1 provides a brief explanation of key factors drawn from the research of successful systemic reform programs and how they compare to *The Leader in Me* program. Following the table, each factor and the comparison is discussed in detail.

Table 1: Key Factors Drawn from the Research on Systemic Reform and a Comparison to *The Leader in Me* Practices

Key Factors	Systemic Reform (SR)	The Leader in Me (TLIM)
1. Timeframe[2]	Lengthy process, dependent on contextual factors	Minimum three-year process
2. Facilitator[3]	Can be internal or external; must be knowledgeable and skilled	Uses a FranklinCovey trained facilitator
3. Contextual Understanding[4]	Change is context dependent	Requires facilitators to begin developing an understanding of the school context while planning; leaves the details of how to implement in the school to the school community
4. Stakeholder Involvement[5]	Universal process; all stakeholders must be included	Encourages client to include all stakeholders
5. Vision[6]	Having a vision is crucial	Teaches participants how to develop a vision
6. Core Teams[7]	Smaller group within a context lead the effort	Creates a school Lighthouse Team (6 people in the school community) to shepherd and oversee implementation
7. Teachers at the Center[8]	Pivotal due to direct daily contact with students	Defines "Inside-Out" theory – first work with teachers, then students, and then parents; provides an online space for teachers to communicate within and across sites
8. Evaluation[9]	Formal evaluation plans including ongoing feedback, observations, & achievement results	Informally solicits school narratives; changes in such things as disciplinary referrals, students achievement, & parent involvement

2 SR: Anderson, Brown, & Lopez-Ferrao, 2003; Carr-Chellman, 1998; Jenlink, Reigeluth, Carr, & Nelson, 1998. TLIM: Covey S.R., 2008; FranklinCovey, n.d.C

3 SR: Fullan, Hill, & Crevola, 2006; Jenlink, Reigeluth, Carr, & Nelson, 1998. TLIM: FranklinCovey, n.d.C

4 SR: Jenlink, Reigeluth, Carr, & Nelson, 1998. TLIM: FranklinCovey, n.d.C

5 SR: Anderson, Brown, & Lopez-Ferrao, 2003; Fullan, Hill, & Crevola, 2006; Jenlink, Reigeluth, Carr, & Nelson, 1998. TLIM: Covey S. R., 2008; FranklinCovey, n.d.C

6 SR: Anderson, Brown, & Lopez-Ferrao, 2003. TLIM: Covey S. R., 2008; FranklinCovey, n.d.C

7 SR: Jenlink, Reigeluth, Carr, & Nelson, 1998; Pasi, 2001. TLIM: FranklinCovey, n.d.B

8 SR: Lieberman & Miller, 1999. TLIM: FranklinCovey,. n.d.C; FranklinCovey, 2011a; FranklinCovey, 2011b; FranklinCovey, 2011d

9 SR: Abbott, O'Donnell, Hawkins, Hill, Kosterman, & Catalano, 1998; Friel & Bright, 1997; Little, 1993. TLIM: Covey S. R., 2008; FranklinCovey, 2011f

Timeframe. Research suggests that the timeframe of and process for systemic reform can be long, intense, slow, and frustrating, with some literature proposing more than five years to complete (Jenlink et al., 1998; Anderson, Brown, & Lopez-Ferrao, 2003; Little, 1993). The process is long because it requires multiple changes in policy, curriculum and/or structure (Anderson, Brown, & Lopez-Ferrao, 2003; Rogers, 2003). Stakeholders may feel a sense of urgency but Lieberman and Miller (1999) "caution against overlooking the importance of process" (p.60). The reviewed research does not articulate a timeframe. The timeframe depends on several factors including, but not limited to, the operating definition of systemic reform, size of the population to be effected, process for implementation, amount and nature of resistance, and definition of success.

The Leader in Me is a three year professional development program for adults in the school community. Each year focuses on a different element of the process. Year one is titled "Establishing a Culture of Leadership" (FranklinCovey, 2011a) and focuses on developing the foundation for a culture of leadership. During the first year the adults are introduced to the *7 Habits* and the importance of creating visions for guiding their work. It is assumed that teachers will begin to infuse the habits into their instructional practices during this year. The second year, "Applying Tools of Leadership," builds upon the learning that took place the first year and introduces tools such as the data notebooks to support continued growth (FranklinCovey, 2011a). The third year, and any subsequent years, focus on "Maximizing Results" as the school community begins to customize their approach to ensure achievement of their vision and maintain momentum (FranklinCovey, 2011a).

Facilitator. Fullan, Hill, and Crevola (2006) suggest that who facilitates the professional development may be less important than having strong leadership involvement and appropriate systems put in place to shepherd and support the change (discussed in more detail under Core Team). The facilitator may come from within or outside the system to be changed. What is important is that the facilitator has the knowledge and skills to conduct an intensive, long term change effort, and is seen as fair or neutral by all stakeholders, so there is no sense of favoritism (Jenlink et al., 1998).

Schools purchase *The Leader in Me* from FranklinCovey Education. The purchase includes professional development implemented by FranklinCovey trained facilitators, participant materials including *The Leader in Me* and *The 7 Habits of Highly Effective People* books, materials for use by teachers and schools, and access to a teacher social media network. The facilitators are expected to use the facilitator guides when providing the professional development (FranklinCovey, n.d.A; FranklinCovey, n.d.B; FranklinCovey, n.d.C). The guides state, "This is a facilitator-assisted training. Training must be conducted by facilitators who have been certified by FranklinCovey" (FranklinCovey, n.d.C, p.2).

Contextual understanding. Understanding the context and environment within which the reform is to take place is vital (Anderson, Brown, & Lopez-Ferrao, 2003; Friel & Bright, 1997; Jenlink et al., 1998; Little, 1993) because "systemic change is context dependent" (Jenlink et al., 1998,p.220) and learning is influenced by the context in which it takes place (National Research Council, 2000). In order to set goals and measure progress, one must know the schools' current status on the parameters of focus. The level of communication, degree of support, current state of the school and even the values modeled by district leaders can also impact the outcomes of a change initiative (Lieberman & Miller, 1999). Thus, it is crucial that facilitators of change—whether within or outside the system—be aware of the site's climate, culture, demographics, history, participants' perceptions of the current state of the school, and short and long term expectations. Facilitators from outside the system need to begin their work by developing a relationship with the site. All facilitators need to interview the varied stakeholder groups and observe the day-to-day operations at the site to acquire an understanding of the context from multiple points of view. Understanding the context allows the facilitator to tailor the program design and uncover potential areas for resistance (Carr-Chellman, 1998; Jenlink et al., 1998).

According to *The Leader in Me* Facilitator Guides, prior to the beginning of the professional development program facilitators must gather information about a school's context using a required protocol. Facilitators must examine the school's website and solicit from school personnel information about their background and experience with their school, what they feel are the strengths of their school, and what challenges they, their students, staff and/or parents face (FranklinCovey, n.d.B; FranklinCovey, n.d.C). The subsequent implementation of *The Leader in Me* and its professional development program is informed by what the facilitator learns. The professional development goals and design are predetermined but the facilitator makes instructional decisions in light of the context.

Stakeholder involvement. When stakeholders become involved there is a greater level of trust created (Fullan, 2003). In their study of 100 schools in Chicago Bryk and Schneider found that "Schools reporting strong positive trust levels in 1994 were three times more likely to be categorized eventually as improving in reading and mathematics…" (As cited in Fullan, 2003, p. 42). Likewise, Leiberman and Miller (1999) found that trust is one of the key factors influencing change. Critical stakeholders in school reform include teachers, students, administrators, staff, parents and community members.

Following Muriel Summers lead, when a school begins *The Leader in Me* program, school leaders are expected to encourage all stakeholders to get involved and to provide the professional

development for them (FranklinCovey, n.d.C). It is not known from the available literature if, or how, *The Leader in Me* ensures involvement of all stakeholders, or how it specifically tailors the professional development to meet the needs of all stakeholders.

Vision. Developing a shared vision is crucial to the success of systemic reform, as it is the "transformation of vision and purpose that drives constant internal improvement" (Anderson, Brown, & Lopez-Ferrao, 2003, p.624). The vision for reform is described as "the energy of the change effort" (Jenlink et al., 1998, p.221). Success depends upon the extent to which the participants fully engage and the process is universal (Anderson, Brown, & Lopez-Ferrao, 2003; Fullan et al., 2006; Jenlink et al., 1998). Developing a vision calls for arriving at a consensus on where the reform effort should take the school and identifying goals for this desired future. Open dialogue is key to this process because it allows stakeholders to become clear about what it is they want to achieve (Rogers, 2003). The process allows everyone to see how the vision was created and to become invested in the vision (Jenlink et al., 1998). Fullan et al. (2006) argue that "shared vision and ownership are less a pre-condition for success than they are an *outcome* of a quality process" (p.88).

Within the first three days of *The Leader in Me* professional development training a full day is spent on the concept and importance of creating a common vision (FranklinCovey, n.d.C). The goal of the day is to foster a need for and begin to catalyze a discussion of a school vision. The facilitator is to help participants clarify their purpose for engaging in *The Leader in Me* program by posing questions such as "What is our vision for our school? What will we do differently? What impact could we have?" (FranklinCovey, n.d.C, p.72).

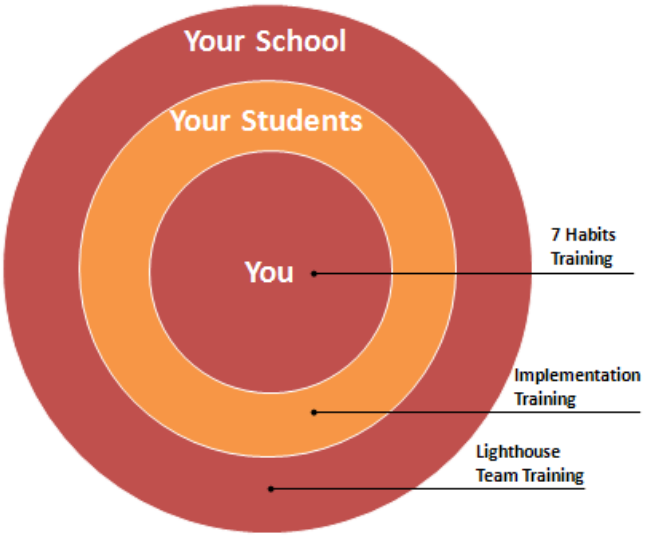
Core team. All stakeholders must own the reform agenda but a core team needs to consistently support and lead the reform efforts (Carr-Chellman, 1998). These core teams typically consist of five to seven people and are sometimes referred to as "specialists" or "steering committees" (Friel & Bright, 1997 p.118; Pasi, 2001, p.32). The core teams are responsible for spreading ideas, maintaining open communication with school community members, and planning and initiating professional development surrounding the reform (Friel & Bright, 1997). Their continuous involvement allows for a "continuous cycle of innovation, feedback and redesign" (Lieberman & Miller, 1999, p.62).

The Leader in Me utilizes a "Lighthouse Team" of about six people who meet on a regular basis to help oversee the implementation process (FranklinCovey, n.d.C, p.57). The team is created at about six months into the process and is "responsible for ensuring smooth implementation of *The Leader in Me"* (FranklinCovey, 2011a).

Teachers' role. Systemic reform is about school change, but as one source stated, "policies can encourage change but they cannot make it happen; only teachers can" (Lieberman & Miller, 1999, p.60). Although all stakeholder involvement is necessary, in the educational context, teachers play a crucial role in the overall reform effort because they have a direct connection with the students. In fact, the Carnegie Report on Teaching (1986) cited "the need for teacher leadership at the forefront of any reform movement" (As cited in Lieberman & Miller, 1999, p.xii). The research literature associates teacher professional learning communities, that is, teachers working together and reflecting on their own practices, with positive results, deepened understanding, sustainability and community building (Fullan et al., 2006; Lieberman & Miller, 1999; Little, 1993; Jenlinket al., 1998; National Research Council, 2000). Fine (1994) found that "when teachers work together to research classroom and school practice, they position themselves individually and collectively as agents of change" (p.177).

The "Inside-Out" concept described in *The Leader in Me* facilitator materials identified teachers as the source for change (FranklinCovey, n.d.C, p.35). (See figure 1.) The "Inside-Out" concept states that "leadership starts with what's inside you (teachers) and flows outward to your impact on the individual students in your classroom and then extends to impact the culture of the school. It eventually extends beyond the school to impact families and communities" (FranklinCovey, n.d.C, p.36). This concept and its model are described in detail during Vision Training.

Figure 1: Franklin Covey Model of "Inside-Out" concept.[10]



[10] Image recreated from Covey S., *The Leader in Me: Lighthouse Team Facilitator Guide*

FranklinCovey's belief in the importance of teacher collaboration is evidenced in their recently created social media site for teachers, "Teachers' Lounge". Participating teachers are encouraged to connect with each other through open forums and to share lessons (FranklinCovey, 2011d).

Evaluation. The systemic reform literature calls for programs to include formal evaluations (Abbott, O'Donnell, Hawkins, Hill, Kosterman, & Catalano, 1998; Friel & Bright, 1997; Jenlink et al., 1998; Little, 1993). Jenlink and colleagues (1998) claim that "continuously evaluating the change process in order to improve it… [is] a critical process for improving all aspects of the systemic change effort" and is also important to aide in the discovery of "new possiblities and problems" (p.230-231). Evaluation tools might include: surveys, reflections, oberservations, written or verbal feedback, and test scores (Abbott et al., 1998; Friel & Bright, 1997; Jenlink et al., 1998).

There is no evidence that *The Leader in Me* process calls for schools to do any formal evaluation. However, in both the *The Leader in Me* book and the *The Leader in Me* website FranklinCovey claims that "based on *The 7 Habits of Highly Effective People®, The Leader in Me* produces transformational results such as higher academic achievement, fewer discipline problems, and increased engagement among teachers and parents…equips students with the self-confidence and skills they need to thrive in the 21st century economy" (FranklinCovey, 2011g).

FranklinCovey has established an opportunity and criteria for schools to join a select group called "Lighthouse Schools." The criteria for being a "Lighthouse School" represents the essence of *The Leader in Me* logic model. Schools must have:

1. Lighthouse Team—A Lighthouse team is in place, meets regularly, and oversees schoolwide implementation of the leadership model.
2. Leadership Environment—School environment that reinforces the leadership model.
3. Integrated Instruction and Curriculum—Teachers are integrating leadership language into instruction and curriculum daily.
4. Staff Collaboration—Staff works together effectively to build a culture of leadership in classrooms and throughout the school.
5. Student Leadership—Students are provided with meaningful leadership roles and responsibilities.
6. Parent Involvement—Parents are involved in activities that support the leadership model and have an understanding of the common language being used at the school.

7. Leadership Events—The school is holding events to share their leadership model with the community and other schools.
8. Goal Tracking—A system is in place for setting and tracking goals at the student, classroom, and school wide level.
9. Measureable Results—The school is seeing improvements as a result of implementing *The Leader in Me* process. (FranklinCovey, 2011c)

Despite the very detailed criteria for acceptance as a Lighthouse School there is no requirement that the schools' data be scientifically gathered or verified. At the time of this report only 16 of 616 schools have Lighthouse School status (FranklinCovey, 2011e). This low number raises questions about the likelihood of schools achieving the program's claimed results given the parallel between the criteria for Lighthouse status and the program's logic model.

In summary, *The Leader in Me* appears to include many of the key factors distilled from the research literature as requirements for a systemic reform initiative to be effective. The three year process involves a trained facilitator to provide professional development for all stakeholders, emphasizes the importance of understanding the school context before implementation, involves all stakeholders in developing a vision to energize and guide the process, and recognizes that teachers play the central role in bringing about the change. The major missing element is the requirement that there be an evaluation tied to each implementation. This omission seems reflective of the lack of emphasis the company puts on evaluation in general, as evidenced by the lack of research on *the Leader in Me* process as a whole.

Review of Literature for Social and Emotional Learning

Social and emotional learning is "the process through which people learn to recognize and manage emotions, care about others, make good decisions, behave ethically and responsibly, develop positive relationships, and avoid negative behaviors" (Fredericks, 2003, p.4). It is predicated on the idea that our highest degree of learning comes from challenging and supportive relationships (Weissberg & O'Brien, 2004). Additionally, evidence indicates one may not be able to attain personal and academic success without addressing these core skills, "…learning is possible only after students' social, emotional and physical needs have been met. When those needs are met, students are more likely to succeed in school" (CASEL as cited in Fredericks, 2003, p.4). Communities and various groups are reaffirming the importance of these skills (Cohen, 2006; Elias, et al., 1997; Fredericks, 2003; Top Qualities & Skills Employers Seek, 2003; Norris & Kress, 2000). Multiple surveys and polls continually indicate that parents and employers all prefer social and emotional competencies such as communication, responsibility and problem solving over reading or even

attaining a certain grade point average (Cohen, 2006; Elias, et al., 1997; Top Qualities & Skills Employers Seek, 2003; Norris & Kress, 2000).

The term "character education" tends to be used interchangeably with "social and emotional learning." The generalized goal of character education is to "promote a set of values and directive approaches that presumably lead to responsible behavior" (Elias, et al., 1997, p.2). Similar to social and emotional learning, character education teaches values such as caring, honesty, and respect. They differ in the fact that social and emotional learning has a broader lens that includes creating a caring environment and building skills like decision-making, problem solving and other general competencies learned through active learning techniques (Elias, et al., 1997). Despite their differences, a 1999 survey of 600 College Deans, "found that over 90% of respondents supported the need" for these types of programs in Pre-K-12 grade settings (Cohen, 2006, p.226).

Table 2 provides a brief explanation of key targeted competencies of social and emotional learning programs and a comparison to *The Leader in Me* program. Each competency and the comparisons are discussed in detail after the table.

Table 2. Key Targeted Competencies of Social and Emotional Learning Programs and a Comparison to the Targeted Competencies of *The Leader in Me* Program.

Key Factors	Social and Emotional Learning (SEL)	The Leader in Me (TLIM)
1. Self- Awareness[11]	Understanding or ability to assess his or her own feelings, interests, strengths or limitations	Habit 1: Be Proactive; focus on personal choice
2. Self-Management[12]	"Accurately assessing one's emotions to handle stress, controlling impulses, and persevering in addressing challenges; expressing emotions appropriately; and setting and monitoring progress toward personal and academic goals"	Habit 2: Beginning with the End in Mind; focus on planning ahead and setting goals
3. Social Awareness[13]	Shifting focus from individual to others; "taking perspective of and empathize with others"	Habit 5: Seek first to understand, and then be understood
4. Relationship Skills[14]	"Establishing and maintaining healthy and rewarding relationships"	Habit 4: Think Win-Win Habit 6: Synergize
5. Responsible Decision Making[15]	Decisions are "based on consideration of ethical standards, appropriate social norms" while considering consequences	Habit 3: First Things First Habit 7: Sharpen the Saw

[11] SEL: Goleman, 1998; Pasi, 2001; Payton, et al., 2008. TLIM: Covey S. R., 2008
[12] SEL: Fredericks, 2003; Payton, et al., 2008, p.4. TLIM: Covey S. R., 2008
[13] SEL: Fredericks, 2003; Payton, et al., 2008, p.4. TLIM: Covey S. R., 2008
[14] SEL: Fredericks, 2003; Payton, et al., 2008, p.4. TLIM: Covey S. R., 2008
[15] SEL: Fredericks, 2003; Payton, et al., 2008, p.4. TLIM: Covey S. R., 2008

The Collaborative for Academic, Social and Emotional Learning (CASEL) promotes social and emotional learning in schools across the country through research and initiatives. The organization was founded in 1994 by Daniel Goleman, author of *Emotional Intelligence*, and Eileen Rockefeller Growald, educator and philanthropist (CASEL, 2006). CASEL identified five core competencies that can be achieved through social and emotional learning. The competencies include the development of self-awareness, self-management, social awareness, relationship skills and responsible decision making (Payton, et al., 2008). According to CASEL, as a result of acquiring these five competencies "… should lead to improved adjustment and academic performance as reflected in more positive social behaviors, fewer conduct problems, less emotional distress, and better grades and achievement test scores" (Payton, et al., 2008, p.5). Fredericks (2003) claims that engaging in schoolwide social and emotional learning "involves altering schools in a very fundamental way, not just instituting small, superficial changes" (p.10).

Self-awareness. Self-awareness is one's understanding or ability to assess his or her own feelings, interests, strengths and limitations (Pasi, 2001; Goleman, 1998; Payton, et al., 2008). Self-awareness is important because it helps to heighten consciousness of one's feelings and how they can affect others. "Developing awareness of one's own feelings and behavior is a critical step in development" because it "allows 'hidden' cognitive elements of the problem-solving process to become visible and understandable." (Elias, et al., 1997, p.52-53). Once a student is aware of how s/he is feeling or behaving, the goal is to help him/her recognize emotional triggers so that s/he can act or react most effectively. *The Leader in* Me teaches this skill through Stephen Covey's Habit 1: Be Proactive. This habit focuses on taking responsibility for personal choice regarding one's mood, action or attitudes (Covey S. R., 2008).

Self-management. Self-management is "regulating one's emotions to handle stress, controlling impulses, and persevering in addressing challenges; expressing emotions appropriately; and setting and monitoring progress toward personal and academic goals" (Payton, et al., 2008, p.4).Self-management is literally being able to manage one's self, whether in terms of emotion or personal goals. Goleman (1998) argues that tracking goals or achievements brings out the desire to achieve and even taking on greater challenges once initial goals have been met. He states "self-

control, motivation, and empathy are 'master aptitudes'" that can actually determine how well we use our intellect (As cited in Pasi, 2001, p.2).

The Leader in Me includes Covey's Habit 2: Begin With the End in Mind. Individuals are taught to self-manage so they can focus on planning ahead and setting goals (Covey S. R., 2008). Covey (2008) utilizes a tool, a Data Notebook, in which students track their progress on their articulated goals over time.

Social Awareness. Social awareness is the ability "to take the perspective of and empathize with others; recognizing and appreciating individual and group similarities and differences…making best use of family, school and community resources" (Payton, et al., 2008, p.4). Empathy is important in the workplace because of the increasing use of teams, globalization and a need to retain talent (Goleman, 1998). *The Leader in Me* adopts Covey's Habit 5: Seek First to Understand, Then to Be Understood (Covey S. R., 2008).

Relationship skills. Relationship skills are described as "establishing and maintaining healthy and rewarding relationships based on cooperation; resisting inappropriate social pressure; preventing, managing, and resolving interpersonal conflict; and seeking help when needed" (Payton, et al., 2008, p.4). When students form supportive relationships with one another, it can serve "as a buffer against developing social, emotional, physical, and academic problems" (Elias, et al., 1997, p.45). *The Leader in Me* teaches Covey's Habit 4: Think Win-Win and Habit 6: Synergize, emphasize balancing one's own needs in relation to others, working well as a team, and calling for thinking in terms of "we," not "I" (Covey S. R., 2008).

Responsible decision making. The final key competency fostered in social and emotional learning programs is responsible decision making. More specifically, making "decisions based on consideration of ethical standards, safety concerns, appropriate social norms, respect for others, and likely consequences of various actions; applying decision-making skills to academic and social situations; and contributing to the well-being of one's school and community" (Payton, et al., 2008, p.4). Although some students are naturally better problem solvers than others this competency can be taught in schools (Bransford & Stein, 1984). Determining and Putting First Things First, Habit 3, calls for making decisions in light of goals, expectations and priorities (Covey S. R., 2008).

In summary, through the adoption of the *7 Habits, The Leader in Me* program targets the key competencies defined by social and emotional learning programs.

Literature Review on the Impact of Social and Emotional Learning Programs

The research literature on social and emotional learning included studies of programs that were deemed successful. Success was defined as having transformed a school's culture. Four types of transformations were identified in the reviewed studies. Table 3 provides a brief description of the types of transformations and compares them to the observations being made by participants in some of *The Leader in Me* schools. A detailed explanation of the transformations and the comparison is provided after the table.

Table 3. Types of Transformations That May Result from Social and Emotional Learning and a Comparison to Informal Observations Made by Some of *The Leader in Me* Participants

Impacts	Social and Emotional Learning (SEL)	The Leader in Me (TLIM)
1 Social Transformations[16]	Reduced behavior problems: lowered suspensions, drop outs. Reported reduced aggression and hyperactive behaviors. Demonstrating greater social skills and better attitudes	Decreases in disciplinary issues, increases in self-confidence, teamwork, responsibility, communication
2 Environmental Transformations[17]	Calmer more conducive environment, no additional distractions in classroom	Improved school culture
3 Academic Transformations[18]	Improved student achievement 11-17 percentile points	Increased academic performance

[16] SEL: CASEL, 2006; Zins, Weissberg, Wang, & Walberg, 2004. TLIM: Covey S. R., 2008; FranklinCovey, 2011f
[17] SEL: Sparks, 2011; Covey S. R., 2008. TLIM: FranklinCovey, 2011f
[18] SEL: Payton, et al., 2008. TLIM: Covey S. R., 2008; FranklinCovey, 2011f

Social Transformations. Several schools and larger scale studies have shown cultural transformations by showing social, environmental and academic transformations (CASEL, 2006; Durlak, Weissberg, Dymnicki, Taylor, & Schellinger, 2011; Elias, et al., 1997; Kress, Norris, Schoenholz, Elias, & Seigle, 2004; Norris & Kress, 2000; Payton, et al., 2008; Rogers, 2003; Sparks, 2011; Weissberg & O'Brien, 2004; Zins, Weissberg, Wang, & Walberg, 2004). Social transformations are indicated by behavior changes, such as reduced behavior problems as demonstrated by fewer suspensions and expulsions and fewer students dropping out or skipping class

(CASEL, 2006; Payton, et al., 2008; Weissberg & O'Brien, 2004; Zins, Weissberg, Wang, & Walberg, 2004). The Promoting Alternative Thinking Strategies (PATHS) program reported that students who participated in their program exhibited reduced aggressive and hyperactive behaviors, followed the rules better, and expressed their emotions more appropriately (Payton, et al., 2008; Weissberg & O'Brien, 2004). Some studies (Payton, et al., 2008; Sparks, 2011) found students who participated in social and emotional learning programs demonstrating improved social skills, better attitudes and more frequent displays of positive behavior, even in high pressure situations (Payton, et al., 2008; Sparks, 2011).

Environmental transformations. Environmental transformations resulted from social transformations. Once students' aggression was lowered and they learned to control their emotions, a calmer more learning conducive environment was created. In the classroom, students were more likely to pay attention when they weren't distracted by others acting out (Sparks, 2011). It addition, the brain, which responds to the "entire sensory context in which teaching or communication occurs" (Nummerla Caine & Caine, 1990, p.67), responds to a positive environment and "inhibits negative feelings… (and) offers the body a general rest, as well as readiness and enthusiasm for whatever task is at hand and for striving toward a great variety of goals" (Goleman, 1995, p.6-7).

Academic transformations. CASEL conducted a meta-analysis of several studies and found that successful social and emotional education in grades K-8 improved student achievement test scores by 11 to 17 percentile points (Payton, et al., 2008). Several other studies (Weissberg & O'Brien, 2004; Elias & Leverett, 2011) suggested academic success was an outcome of social and emotional learning but did not present any data.

The Leader in Me webpage, "What are the Results?" reports "increases in students' self-confidence, teamwork, initiative, responsibility, creativity, self-direction, leadership, problem solving, communication," as well as additional student behavior changes observed by members of the school community (FranklinCovey, 2011f). For example:

- A Florida school reported that "discipline referrals dropped from 225 to 74 in just over a year after implementing *The Leader in Me"* (FranklinCovey, 2011f);
- An Illinois school reported that "The number of parents attending PTA meetings more than doubled, as did parent attendance at monthly Parent-Child activity sessions" (FranklinCovey, 2011f); and finally,
- At A. B. Combs, the first school to implement *The Leader in Me*, it was reported that "the percentage of students passing end-of-grade tests jumped from 84 to 94 percent in two

> years. A.B. Combs has since maintained elevated scores for a steady decade, peaking at 97 percent. Scores dropped when the state test changed, but the drop was far less than the district average" (FranklinCovey, 2011f).

Though these claims resonate with the findings from research on the impact of social and emotional learning programs it is important to note that…more documentation or the implementation of systematic research is needed before such claims can be accepted.

In light of the lack of rigorous research on *The Leader in Me* it is important to note that more social and emotional learning programs fail than succeed. In 2010, the Institute of Educational Sciences "found that seven of the nation's most common character education programs failed to yield significant social or academic improvements" (Sparks, 2011, p.8). Zins and colleagues (2004) review of the research found that only 14% of 80 nationally available classroom programs provided evidence of effectiveness (Zins, Weissberg, Wang, & Walberg, 2004).

CASEL reported that in their universal review of 180 school based studies involving 277,977 students, programs that were implemented by someone other than their teachers had lower results (Payton et al., 2008). In addition, programs described as "single shot" by addressing one issue at a time, like substance abuse, have been linked to increases in the undesired behaviors (Elias et al., 1997). Most other failures seem to occur during the implementation stage.

If program organization and coordination is not present, the students receive mixed messages. One study concluded that in schools that were not unified, either in the vision, or in overall environment, a social and emotional program was "likely to be rejected in the same way that, during a transplant process, the body will reject a healthy organ that it deems foreign" (Elias & Leverett, 2011, p. 30). The CASEL study reported schools with implementation problems could achieve positive results, but in fewer categories than those without, and often the schools do not have the lasting desired effects (Payton, et al., 2008).

As a result of their extensive review of social and emotional learning studies CASEL identified guidelines for effective social and emotional learning programs which state that effective SEL programming has the following characteristics:

1. Grounded in theory and research
2. Teaches children to apply social and emotional learning skills and ethical values in daily life
3. Builds connection to school through caring, engaging classroom and school practices

4. Provides developmentally and culturally appropriate instruction
5. Helps schools coordinate and unify programs that are often fragmented
6. Enhances school performance by addressing the affective and social dimensions of academic learning
7. Involves families and communities as partners
8. Establishes organizational supports and policies that foster success
9. Provides high-quality staff development and support
10. Incorporates continuing evaluation and improvement (CASEL, 2003, p.16)

Using only the available literature about *The Leader in Me* program, without the benefit of research on the actual implementation of the program, it is impossible to determine the extent to which the program follows the CASEL guidelines. It is clear from the literature that the program's goal is to "teach children to apply social and emotional learning skills and ethical values in daily life" and to "involve of families and communities as partners" (CASEL, 2003, p.16). Furthermore, the existence of and the actual content in the facilitator guides demonstrate FranklinCovey's desire to "provide high-quality staff development and support" (CASEL, 2003, p.16). The extent to which the remaining eight guidelines are followed can only be determined through systemic research of the implementation process both FranklinCovey's implementation of *The Leader in Me* process, including professional development training, the support provided by FranklinCovey, and schools' progress as they navigate through execution of *The Leader in Me* program.

In summary, using data drawn from the available *The Leader in Me* documents, most notably Covey's (2008) book, *The Leader in Me,* and FranklinCovey's *The Leader in Me* Facilitators Guides, the documents suggest that the program incorporates many of the key elements studies have identified as necessary for systemic reform (Abbott et al., 1998; Anderson et al., 2003; Carr-Chellman, 1998; Friel & Bright, 1997; Fullan et al., 2006; Jenlink et al., 1998; Lieberman & Miller, 1999; Little, 1993; Pasi, 2001) (See Table 1). The content of *The Leader in Me* resonates with the qualities and characteristics of social and emotional learning programs identified in the reviewed research literature (Fredericks, 2003; Goleman, 1998; Pasi, 2001; Payton, et al., 2008) (See Table 2). Although the lack of scientific data makes it impossible to confirm or attribute outcomes to *The Leader in Me* program, observations offered by some program participants mirror some of the outcomes identified by researchers of effective social and emotional learning programs (CASEL, 2006; Durlak, Weissberg, Dymnicki, Taylor, & Schellinger, 2011; Elias, et al., 1997; Kress, Norris, Schoenholz, Elias, & Seigle, 2004; Norris & Kress, 2000; Payton, et al., 2008; Rogers, 2003; Sparks, 2011; Weissberg & O'Brien, 2004; Zins, Weissberg, Wang, & Walberg, 2004) (See Table 3).

However, it is not possible to determine the extent to which the program aspires to or actually follows CASEL's highly regarded guidelines for the implementation of social and emotional learning programs.

Conclusion

In light of the congruence found between the key elements of systemic reform identified in the reviewed research literature and the design and rationale provided in the literature for *The Leader in Me* it is reasonable to make the inference that if *The Leader in Me* program is implemented with fidelity it could result in systemic reform. The qualifier here, "with fidelity," is crucial given that researchers have found very few effective systemic reform programs.

The close resemblance between the nature and goals of *The Leader in Me* program and those of effective social and emotional learning programs described in the reviewed research literature also indicate that it is reasonable to make the inference that if implemented well the program has the potential to transform school culture. Further, given that the goal to develop leaders and the specific contents of the *7 Habits* are quite similar to the successful programs identified in the reviewed research it is also reasonable to make the inference that the transformation may include changes in student behavior and increased student achievement.

All of these conclusions are theoretical as they are based only on the similarities between the available literature on *The Leader in Me* and the research literature on other programs, not on the actual implementation of *The Leader in Me*. The results of this literature review point to two distinct but related recommendations for FranklinCovey. One, to ensure the highest quality design for *The Leader in Me* program, FranklinCovey should examine the extensive literature in the areas of systemic reform and social and emotional learning and use it to challenge and refine *The Leader in Me* program. Two, in order to make any claims about the actual impact of *The Leader in Me* program, FranklinCovey and participating schools must engage in intensive research of the implementation of the program. It will be important to systematically study changes in school context data during and after implementation, how the implementation is carried out, and how it is experienced by the participants. These studies could be designed using the highly regarded CASEL guidelines for implementation of social and emotional learning programs as the research questions while simultaneously allowing for additional factors to emerge. Acting on the two recommendations can provide FranklinCovey with information necessary to provide the highest quality support to schools implementing *The Leader in Me*.

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[Note: Minor recommendations directed specifically to FranklinCovey were removed from this document. FranklinCovey thanks the University of Rochester's Warner School of Education for its insights and recommendations.]