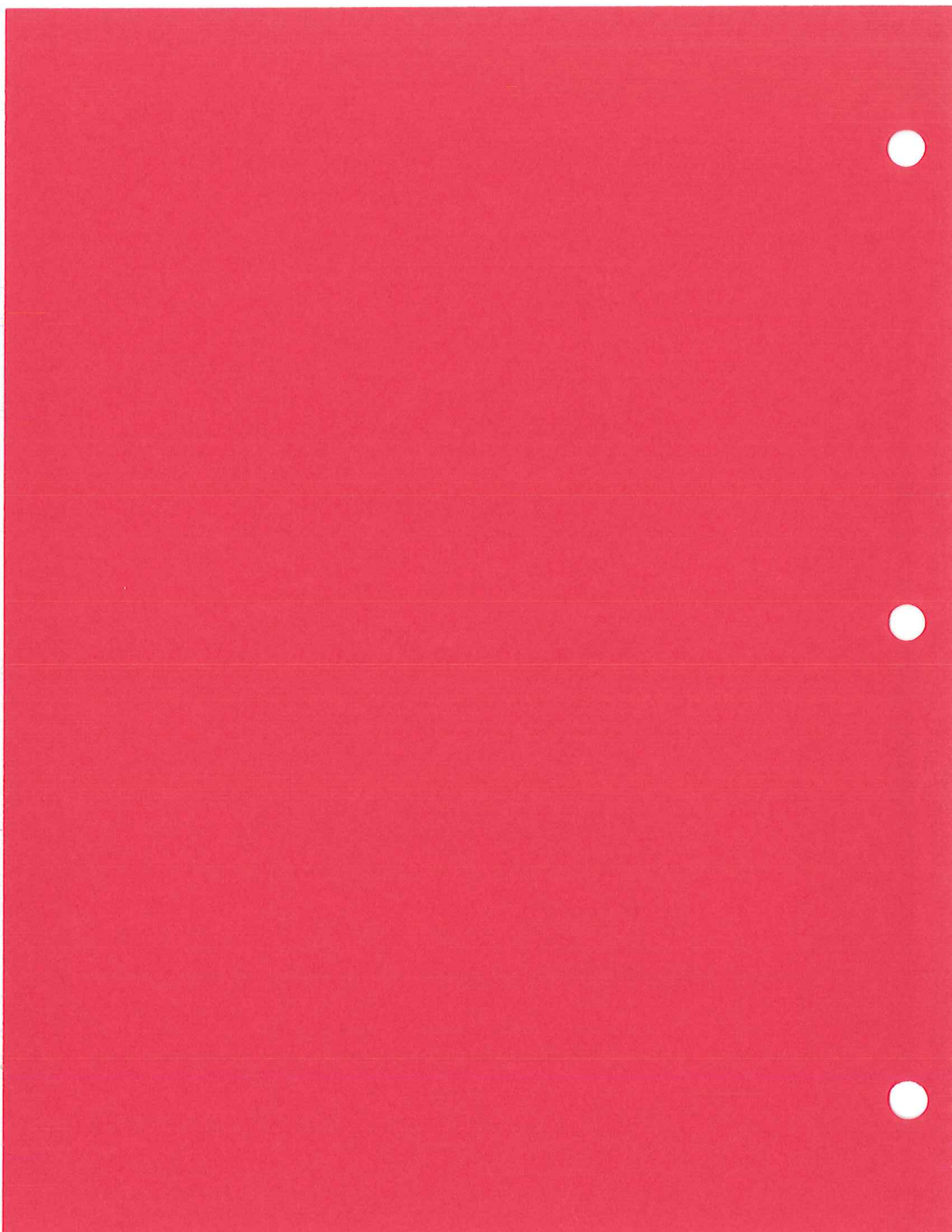# Ruby K. Payne

President and Founder
aha! Process, Inc.

## Nominated by
Tony Harduar

Ruby K. Payne
President and Founder, aha! Process, Inc.

Dr. Ruby K. Payne has been a professional educator since 1972, serving as a high school teacher, principal, central office administrator and educational consultant. She received a B.A. in English Education from Goshen (IN) College, earning her master's degree in English Literature from Western Michigan University and her doctorate in Education Leadership and Policy Studies from Loyola University (IL). Her book, *A Framework for Understanding Poverty,* has sold more than 500,000 copies and teaches the hidden rules of economic class as well as strategies for overcoming poverty's obstacles. Her latest book, *Hidden Rules of Class at Work,* written for the workplace, helps understand the motivation and mindset of entry-level employees and assess one's own ability to get promoted. She has written and co-authored a dozen books surrounding the issue of poverty in areas of education, social services, communities, churches and leadership. She has published more than 25 books and video products, offering a dozen different seminars that she presents throughout the United States as well as internationally.

Founder and CEO of aha! Process, Inc., Dr. Ruby Payne has been sharing her insights about the culture of poverty since 1994, providing how-to strategies to help educators and other professionals work effectively with children and adults from that culture. Having trained tens of thousands of professionals, her mission: to positively impact the education and lives of individuals in poverty throughout the world.

Submitted by: Tony Harduar
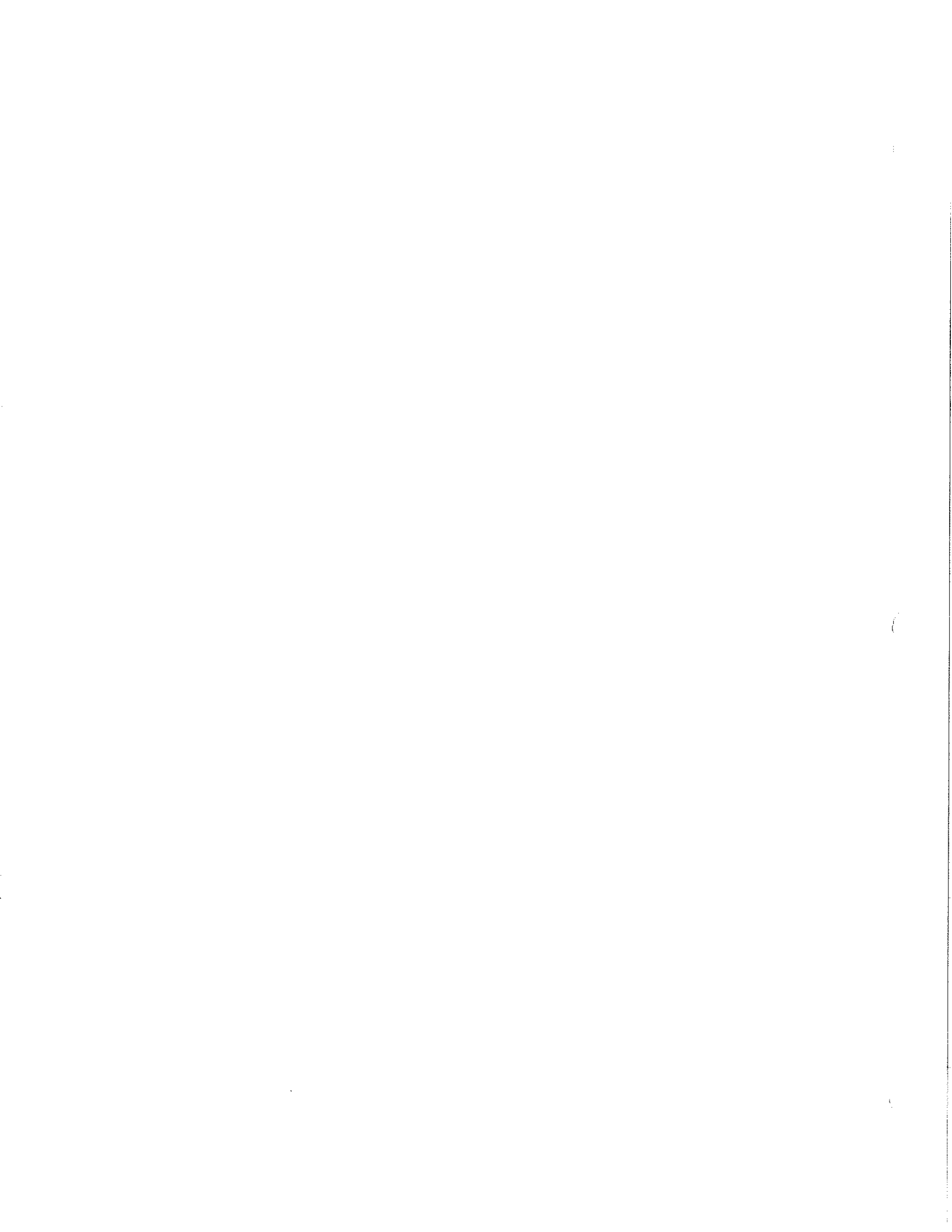
Ruby K. Payne, Ph.D.

Educator

- Professional educator since 1972, from high school teacher, principal, central office administrator, to educational consultant
- Provides training in how to work effectively with individuals from poverty
- Has trained tens of thousands of professionals yearly since 1996
- Has certified more than 5,500 *Framework* trainers
- Mission: to positively impact the education and lives of individuals in poverty throughout the world
- Ph.D. Educational Leadership and Policy Studies, Loyola, IL; M.S. English Literature, Western Michigan University; MI, B.A. Goshen College, IN

Speaker

- Expert on poverty and mindsets of economic classes
- Accessible style, using humor and stories
- Message relevant to business leaders, educators, community and social service workers
- Helps find creative and practical solutions to the challenges of working across socioeconomic lines
- Speaks more than 150 days a year, with past engagements including PBS, Harvard's Summer Institute for Principals, Verizon, Panasonic Foundation, SCERT (State Council for Education, Research & Development (New Delhi), Colorado Governors Conference, NY Superintendents Association, Palm Beach Literacy Council, Lightspan, Chief Officers of State School Departments Conference, Exxon

Author

- *Crossing the Tracks for Love*
    - ~ Published in 2005: how to come together when you start out worlds apart
    - ~ Helps understand mindsets of our economic background
    - ~ Helps ease movement between economic classes
- *A Framework for Understanding Poverty* – seminal work, 1995
    - ~ Has sold more than 800,000 copies
    - ~ For educators and other professionals
    - ~ Teaches the hidden rules of economic class
    - ~ Teaches specific strategies for overcoming poverty's obstacles
- Also wrote and co-authored a dozen books surrounding issues of poverty in areas of education, social services, the workplace, communities, churches, and leadership

Business owner

- Founder and CEO of **aha!** Process, Inc. (formerly RFT Publishing) in 1995
- Employs 20 full- or part-time staff with cadre of 50 consultant trainers
- **aha!** Process has seen exceptional company growth with no debt
- Has published more than 36 books and video products, offering a dozen different seminars

About the Author
Ruby K. Payne, Ph.D.
Founder, CEO of aha! Process, Inc.

Dr. Ruby Payne's career-long mission is to positively impact the lives of people in poverty throughout the world. Since 1972, when she first took up the role of professional educator, success has followed her efforts. Initially a teacher and central office administrator, later an educational consultant, she is now also a trainer, speaker, author, business owner, and publisher. In short, she has become the *go-to expert* on the affects of class differences on relationships, whether at home, at work, in organizations, or in educational settings.

Her own educational background includes a B.A. from Goshen College, an M.S. in English Literature from Western Michigan University, and a Ph.D. in Educational Leadership and Policy Studies from Loyola University.
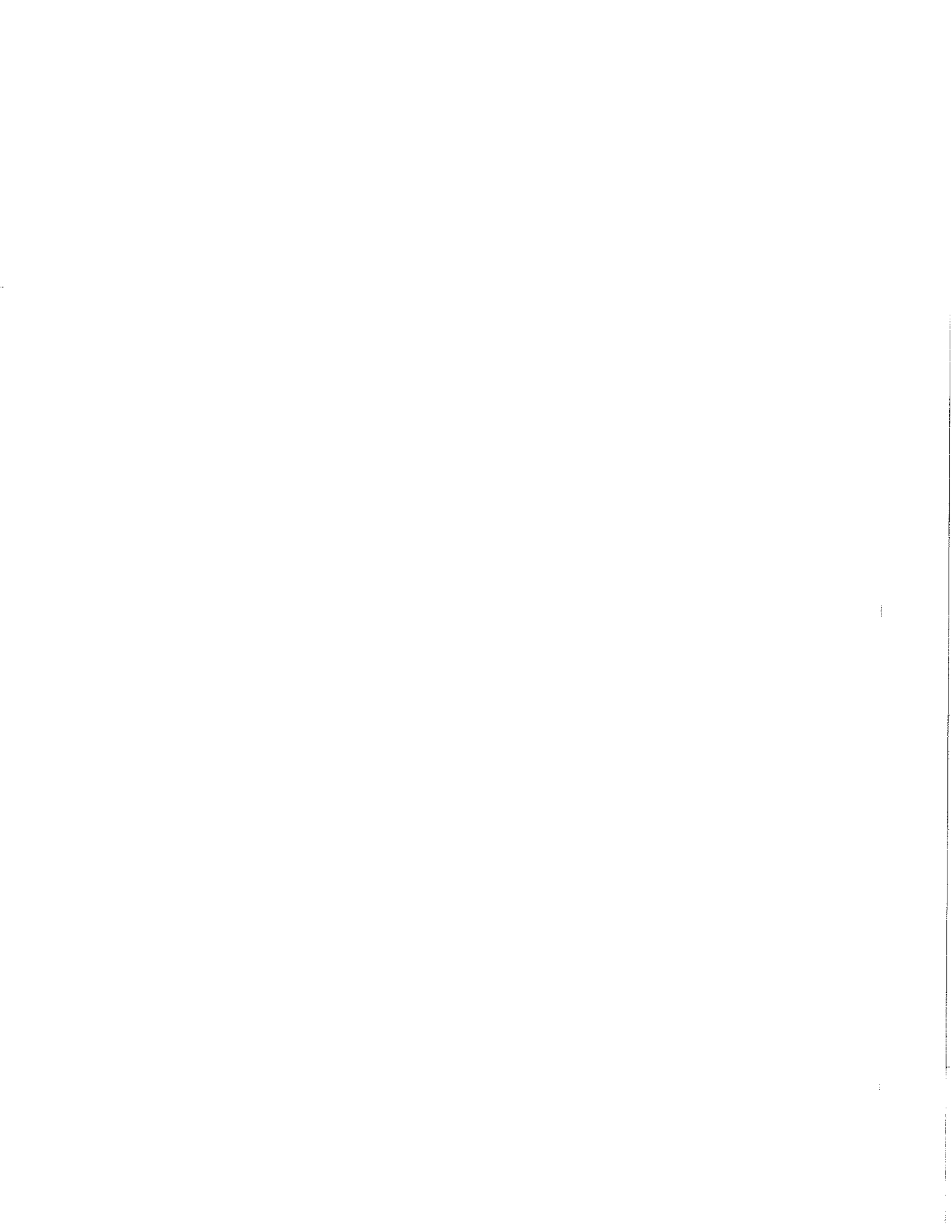
Dynamic and accessible, Dr. Payne speaks at more than 180 engagements per year. Business and community leaders, educators, and social service workers all benefit from her practical and creative solutions to the challenges posed by socioeconomic differences between individuals.

A prolific author, Dr. Payne has written or co-authored more than a dozen books, including her seminal *A Framework for Understanding Poverty*, which has sold more than 800,000 copies since its release in 1996. For a complete catalogue of titles, please visit www.ahaprocess.com.

As founder and CEO of Aha!Process, Inc., a highly successful publishing and training company, Dr. Payne oversees a cadre of more than 40 consultant presenters. She alone has certified more than 4,500 *Framework* trainers around the world. Her training programs include a dozen seminars on the subject of poverty and class differences, while her publishing credits include more than 25 books and video products.

Like no one else, Ruby K. Payne, Ph.D., is at the forefront of understanding and action in the field of class differences and poverty. Her decades-long study of the "Hidden Rules" of class has brought eye-opening insight and practical solutions to thousands of people who, like her, desire to raise the level of understanding, communication, and cooperation between people of all classes.

To find out more about Dr. Payne, her published works, and her training programs, please visit www.ahaprocess.com, or call 800-424-9484.

About the Author
Ruby K. Payne, Ph.D.
Founder, CEO of aha! Process, Inc.

Dr. Ruby Payne's career-long mission is to positively impact the lives of people in poverty throughout the world. Since 1972, when she first took up the role of professional educator, success has followed her efforts. Initially a teacher and central office administrator, later an educational consultant, she is now also a trainer, speaker, author, business owner, and publisher. In short, she has become the *go-to expert* on the affects of class differences on relationships, whether at home, at work, in organizations, or in educational settings.

Her own educational background includes a B.A. from Goshen College, an M.S. in English Literature from Western Michigan University, and a Ph.D. in Educational Leadership and Policy Studies from Loyola University.
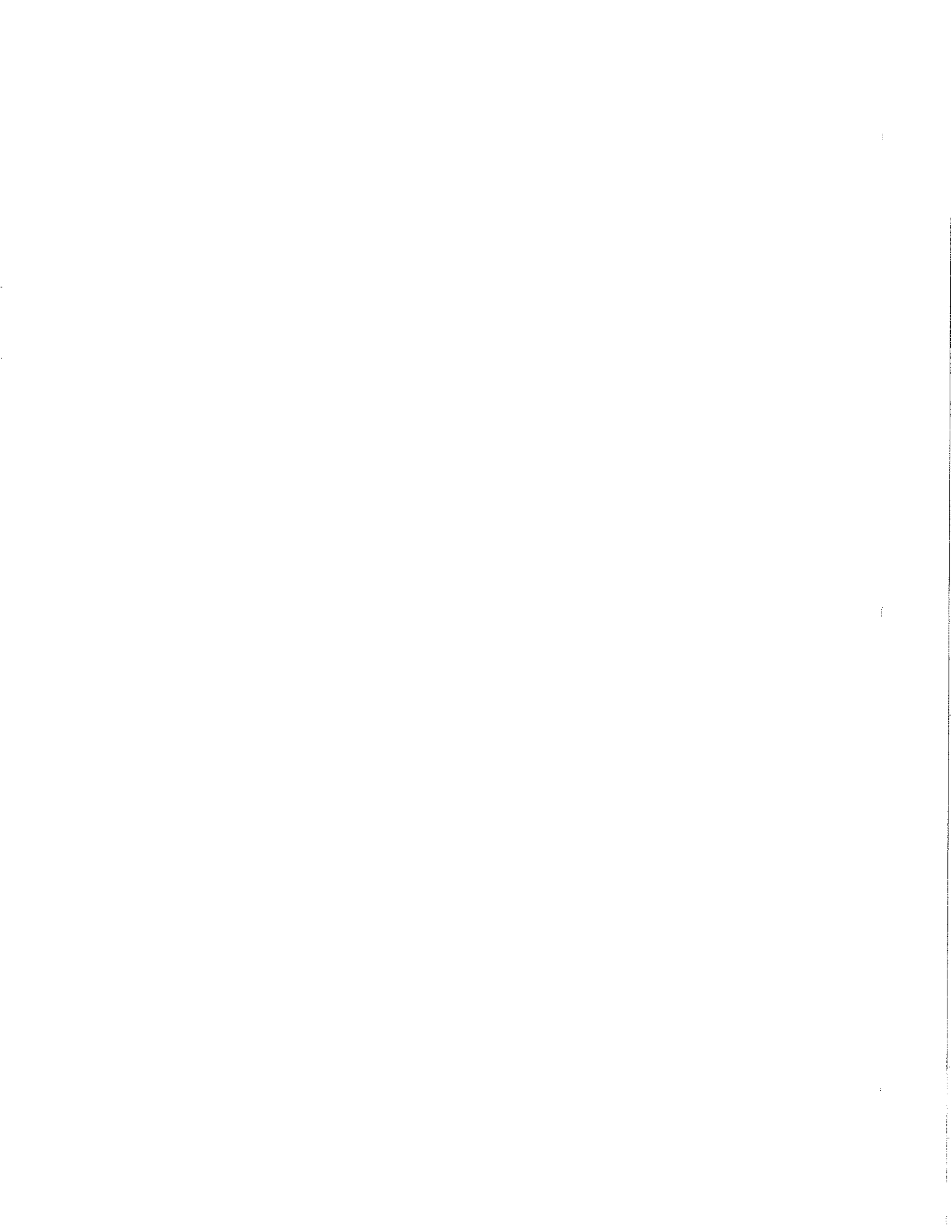
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To find out more about Dr. Payne, her published works, and her training programs, please visit www.ahaprocess.com, or call 800-424-9484.

Impact on Education

While Dr. Payne's message is being shared across the United States and Australia through workshops and presentations, consultants from aha! Process are currently working with schools in a systematic manner to effect long term change and reform in 9 states. These states include Arkansas, California, Kansas, Louisiana, New York, Tennessee, Texas, West Virginia, and Wisconsin. Elementary, middle, and high school sites comprise this list which currently includes 32 sites. New sites in Georgia, Indiana, Illinois, Maryland, Ohio, and Oregon are expected to begin working to implement Payne's model in the 2005-06 school year.

Because of Dr. Payne's interest in measuring the impact of her work on student performance, her company has contracted with an outside evaluator to measure this impact. Dr. William Swan, professor emeritus, is providing this service for aha! In a report he prepared in 2004 that analyzed the impact of a three-year initiative in which a school district of 10,000 students focused on using her model, he found that the initiative "using the Payne *Framework* (1995) had significant impact on increasing student achievement as measured by both the norm-referenced and the criterion-referenced portion" of the state's assessment measures (Swan, 2004). This report is attached.

Swan is currently conducting studies at selected sites in Arkansas, Kansas, New York, Tennessee, and Wisconsin.

A Framework for Understanding Poverty
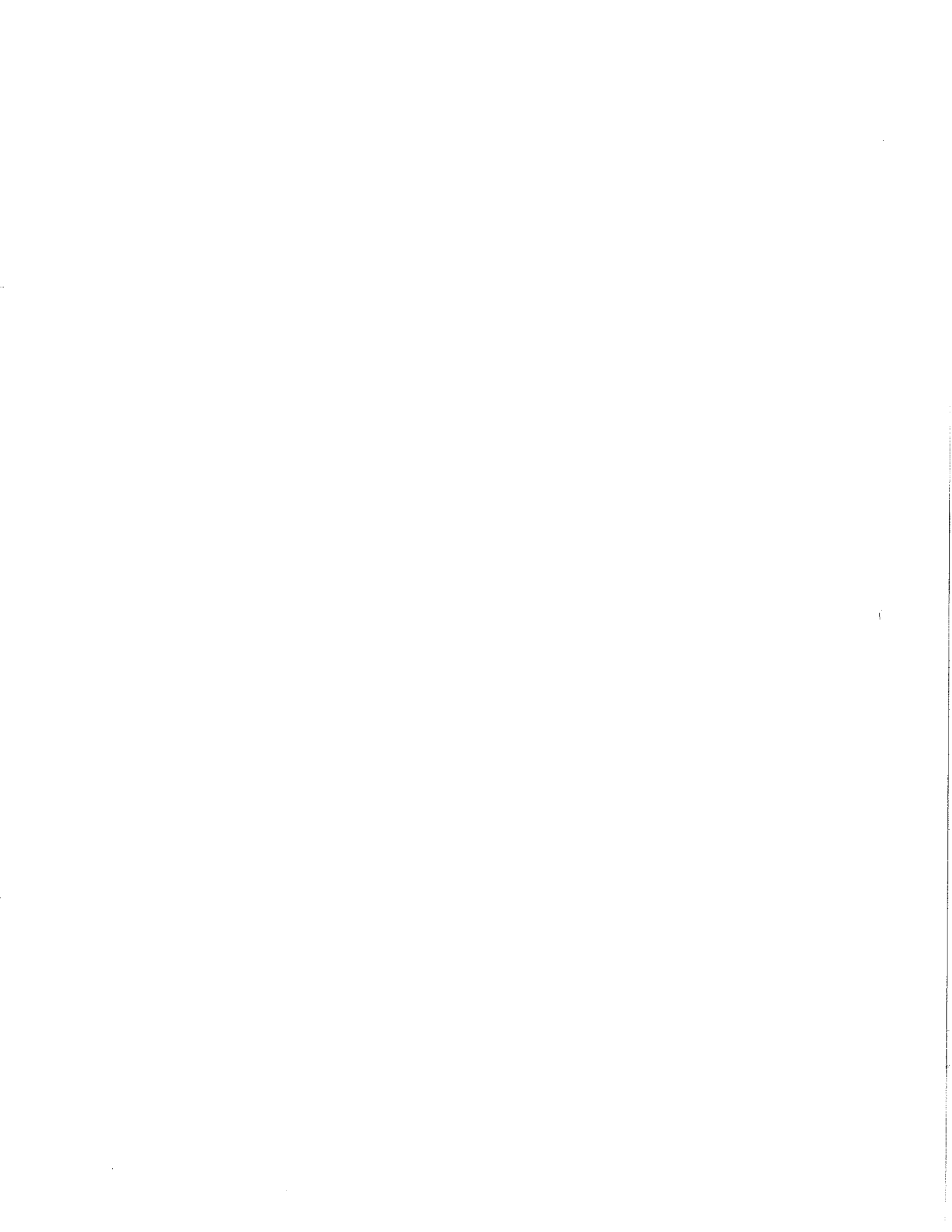by Dr. Ruby K. Payne

A Framework for Understanding Poverty was the first book written by Dr. Ruby K. Payne – and the first book published by her company, RFT Publishing, now renamed **aha!** Process, Inc. It is fitting that the book and the company's history are intertwined. The central goal of **aha!** Process is educating people about the differences that can arise from economic class and then teaching skills to bridge those gulfs. *Framework* is the book that has been delivering that message, and reportedly many "aha! moments" too, having sold more than a half-million copies since 1995.

Dr. Payne's thesis for *Framework* is simple. Whether we come from poverty, middle class or wealth, we think and act differently, as each environment produces different strengths to ensure survival, along with its own "hidden rules." Most schools and workplaces in the United States today operate by middle-class values, and students and workers from poverty often find it difficult to learn or be successful. Too often, teachers or employers don't understand why an individual from poverty does not learn or respond as *they* would, even after repeated explanations. At the same time, a student or worker doesn't understand what he/she is expected to produce and why. Dr. Payne discusses at length the unspoken cues or "hidden rules" that govern how we think and interact in society – and the significance of those rules in a classroom or workplace.

Framework makes clear that poverty isn't just about money but the extent to which an individual does without resources. Through the use of realistic teaching scenarios, Dr. Payne focuses attention on those conditions that create opportunities, or resources. Important resources are assets – like mental ability, emotional stability, physical health, support systems, and relationships/role models – and the more of these resources one has, the greater the likelihood of achieving one's goals. The book teaches how to make the most of the resources one *does* have. *Framework* also illuminates differences between generational poverty and situational poverty, a distinction seldom made in the literature on poverty.

Framework was written primarily for educators, the author drawing on her years of experience in multiple school systems and academic positions. Dr. Payne matter-of-factly presents the issues central to teaching students from poverty, then takes a pivotal next step by offering proven tools that teachers can use immediately to improve the quality of instruction in their classrooms.

Framework also has been embraced by a much wider audience – from community groups and hospitals to law enforcement – and has become the foundational work for numerous other publications. Dr. Payne has since written or co-authored more than a dozen books surrounding these related issues.

aha! Process, Inc. Educates About Class and Poverty

To escape poverty, individuals must understand the "hidden rules of economic class" – so Dr. Ruby K. Payne and her company, aha! Process, are showing teachers, social workers, employers, and others how to help them.

Dedicated to improving the education and lives of individuals in poverty, aha! Process, Inc. was founded as RFT Publishing in 1995, with one consultant and one book, *A Framework for Understanding Poverty*. Now in its third revised edition, *Framework* spreads the message that, despite the obstacles poverty can create in all types of situations, there are specific strategies for overcoming them. Beginning with an emphasis on education and the difficulty that children from poverty experience in most schools, the company has worked extensively with educators and other professionals to understand how the "hidden rules of class" operate – and to help raise the achievement levels of students from poverty. Example: A school district with a majority of low-income students trained each staff member, then raised its overall student achievement to greater than a 90% passing rate on state assessments the ensuing six years.

Another book, *Bridges Out of Poverty*, along with additional trainers, took aha!'s message of understanding economic diversity to social workers and communities. *Hidden Rules of Class at Work* expanded the focus into the business world. Example: A large business with a struggling welfare-to-career program applied Dr. Payne's concepts and, over a two-year period, raised its retention rate of 100-plus employees to more than 90%.

At last count aha! Process had published three dozen books and five video series, had trained more than 6,000 certified *Framework* trainers, and had grown to 20 employees and a cadre of more than 50 consultant presenters. The company recently added a training center in Highlands, near Houston, Texas.

While research data and up-to-date statistics are integral to aha! Process training, the main impact of Dr. Payne and other presenters comes from their ability to convey their message in tangible, real-life terms. The company's scope has grown to include work with law enforcement, government officials, healthcare providers, religious groups, and community and charitable associations. References to "aha" moments on evaluations became so frequent that in 2000 the organization renamed itself aha! Process. The company also added a slogan: "eye-opening learning."

Framework, the foundational book, has sold more than 850,000 copies. The high-energy organization conducts between 800 and 1,000 seminars each year in the United States and Canada, addressing tens of thousands of professionals, with its most far-flung client in Tasmania, Australia. aha! Process has become a leading force in helping individuals and organizations benefit from a deeper understanding of economic class and diversity.

Ruby K. Payne, Ph.D.
aha! Process, Inc.
P.O. Box 727, 421 Jones Road
Highlands, TX 77562
(800) 424-9484: office
(281) 421-5600: fax
www.ahaprocess.com

POSITIONS HELD

May 1996–present

CEO, Consultant, Publisher, Author
aha! Process, Inc.
Highlands, TX

1992-1996

Director of Professional Development
Goose Creek Consolidated Independent School District
Baytown, TX

1990-1992

Elementary Principal
Barrington Independent School District
Barrington, IL

1986-1990

Principal Academic Coordinator
Lake County Educational Service Center
Grayslake, IL

1984-1986

Educational Specialist
Educational Service Center, Region II
Corpus Christi, TX

1979-1984

Secondary Curriculum Specialist
High School English Department Chairperson
Calallen Independent School District
Corpus Christi, TX

1972-1978

High School English Teacher
Middlebury School District
Middlebury, IN

PROFESSIONAL COMPETENCIES

Runs successful training/publishing company with 50 consultants & 20 employees.

Trained tens of thousands of teachers and other professionals in seminars across the U.S, Canada, and Australia.

Certified more than 5,500 *Framework* trainers in past six years.

Published 40 books, videos, and related products (aha! Process, Inc.).

Supervised and evaluated 38 staff members as principal in site-based setting.

Wrote curriculum K-12 in all subject areas with 25 school districts.

Developed extensive staff development programs for 1,500 staff members each year for four years.

Assisted with strategic plans of several organizations; chaired action committees.

Presented more than 1,200 workshops in a six-year period while working with more than 100 school districts.

Served on district technology committee.

Supervised district English and reading programs for Grades 6 through 12.

(continued)

EDUCATION AND CERTIFICATION

Ph.D. Education Leadership & Policy Studies.
Loyola University of Chicago, IL. 1994.

M.A. English. Western Michigan University, Kalamazoo, MI. 1976.

B.A. English, Education. Goshen College, Goshen, IN. 1972.

Texas Superintendent's Certificate. 1994.
Illinois Superintendent's Certificate. 1993.
Texas Administrative Certificate. 1992.
Illinois Administrative Certificate. 1987.
Texas Teacher Appraisal Training. 1993.
Instructional Leadership Training. 1992.
Illinois and Texas Teaching Certificates.

PROFESSIONAL TRAINING

Certified TESA (Teacher Expectation and Student Achievement) Trainer.
Certified EXCET (Examination for Certification of Educators in Texas) Trainer.
Certified ILA Trainer.
Certified Stephen Covey *Seven Habits of Highly Effective People* Trainer. 1993.
Illinois Administrators Academy Mentor Training. 1989.
Cognitive Coaching. ASCD (Association for Supervision & Curriculum
    Development). 1988.
Minnesota Educational Effectiveness: School Improvement Process. 1987.
Trainer in Effective Communications for Administrators. 1987.
Trainer in Reading as provided by Illinois State Board. 1986.

PUBLICATIONS

A Framework for Understanding Poverty, aha! Process, (rev. 1998, 2003, 2005).
*Crossing the Tracks for Love: What To Do When You and Your Partner Grew Up In
    Different Worlds*, 2005.
A Framework forUnderstanding Poverty (12-part video series). aha! Process, 2005.
A Framework for Understanding Poverty (workbook), aha! Process, rev. 1998, 2005.
Learning Structures (workbook), aha! Process, rev. 1998, 2005.
No Child Left Behind Series, Parts I-IV, *Instructional Leader*. March, April, May,
    2003, November 2004.
Hidden Rules of Class at Work. Co-authored with Don Krabill. aha! Process, 2002.
Understanding Learning: the How, the Why, the What. aha! Process, Inc. 2001.
*Meeting Standards and Raising Test Scores When You Don't Have Much Time or
    Money*. Four-part video series and training manual. aha! Process, Inc. 2001.
Un Marco Para Entender La Probreza (translation of *Framework* into Spanish).
    aha! Process, Inc. 2001.
Living on a Tightrope: a Survival Handbook for Principals. Co-authored
    with Bill Sommers. aha! Process, Inc. 2000.
Bridges Out of Poverty: Strategies for Professionals and Communities (revised
    edition; first edition in 1999). Co-authored with Philip DeVol and Terie Dreussi
    Smith. aha! Process, Inc. (formerly RFT Publishing). 2000.
What Every Church Member Should Know About Poverty. Co-authored with Bill
    Ehlig. RFT Publishing. 1999.
Removing the Mask: Giftedness in Poverty. Co-authored with Dr. Paul Slocumb.
    RFT Publishing. 1999.

(continued)

Preventing School Violence by Creating Emotional Safety. Five-part video series and training manual. RFT Publishing. 1999.

A Framework forUnderstanding Poverty (12-part video series). RFT Publishing. 1999.

A Framework for Understanding Poverty (workbook), RFT Publishing. 1998.

Learning Structures (workbook), RFT Publishing. 1998.

Think Rather of Zebra: Dealing with Aspects of Poverty Through Story. Co-authored with Jay Stailey. RFT Publishing. 1998.

Poverty: A Framework for Understanding and Working with Students and Adults from Poverty. RFT Publishing. 1995.

Reading Rubrics and Training Video Series. 1993.

Learning Training Modules. 1992.

School Improvement Process Training Modules. 1988.

Illinois Reading Mock Tests. 1987.

TECAT (Texas Examination of Current Administrators and Teachers) Training Modules. 1985.

PRESENTATIONS
(about 180 per year – a partial listing)

Harvard University Summer Institute for Principals, Cambridge, MA., June 27, 2005

State Council for Education Research and Training, New Delhi, Delhi, New Delhi, India. February 4, 2005

Delta Kappa Gamma, International chapter, Sequin, TX; December 9, 2004

Creed Seminars, Winnipeg, Manitoba Canada; November 12, 2004

Indiana Association of School Principals, Indianapolis, IN; November 22, 2004

TASCD, Corpus Christi, TX; October 12, 2004

Texas Elementary Principals & Supervisors Assoc., Austin, TX; October 1-2, 2004

Early Childhood Leadership Conference, Memphis, TN; September 11, 2004

Arkansas Association of Administrators, Little Rock, AR; September 27, 2004

Walt Disney World Educator Symposium, Lake Buena Vista, FL; August 28, 2004

Harvard University Summer Institute for Principals, Cambridge, MA.,Aug 11, 2004

Greater Cleveland Educational Development Center, Cleveland, OH; July 29, 2004

National Conference of State Legislatures, Salt Lake City, UT; July 21, 2004

Tasmania Teacher Trainer, Launceston, Australia, July 12, 2004

Harvard University Summer Institute for Principals, Cambridge, MA. July 2, 2004,

Heartland Educational Consortium, Avon Park, FL; June 7, 2004

IU and Indiana Dept of Workforce Development, Indianapolis, IN; May 14, 2004

Idaho Prevention Conference, Sun Valley, ID; April 22, 2004

Leadership Pensacola Conference, Pensacola, FL; April 8, 2004

Vermont Consortium for School Leadership, S. Burlington, VT; March 30, 2004

California Teachers Association, San Francisco, CA; February 28, 2004

Texas Middle School Association, Austin, TX; February 22, 2004

Psychotherapy Association's 30th International Conference, Colorado Springs, CO, January 30, 2004

British Columbia Alternate Education Assoc., Vancouver, BC; January 22, 2004

Montana Food Bank, Helena, MT. October 8, 2003

Annual Conference of SW Foundations, Tucson, AZ, September 24, 2004

CN8 Money Matters Today, *Comcast Cable TV, syndicated business news show,* Philadelphia, PA, September 22, 2003.

Hosts Corporation Conference. Keynote. Dallas, TX. March 1, 2002.

New York Boces. Buffalo, NY. Workshop. January 7-8, 2002.

Palm Beach Literacy Council. Keynote. Palm Beach, FL. October 27, 2001.

Colorado Governors Meeting. Governor's Mansion. Keynote. Denver, CO. August 28, 2001.

State of New Mexico, Dept. of Education, Albuquerque, NM. Sept. 17, 2003

Walt Disney World Resort, Orlando, FL. September 19-20, 2003.

Satellite Radio Tour, *18 Interviews across the USA,,* July 25, 2003.

Volunteers of America, New York, NY. July 22, 2003.

PBS, Public Broadcasting System, *Ready to Learn.* Arlington, VA. July 17, 2003.

Principal's Center for Educational Leadership, Princeton, NJ. July 11, 2003.

Harvard University Summer Institute for Principals, Cambridge, MA. July 8, 2003.
Confederation of Oregon School Administrators. Salem, OR. April 29-30. 2003.
Chief Officers of State School Departments Conference. New Orleans,
    LA. November 9, 2002.
Illinois Principals Association. Keynote. Peoria, IL. October 21, 2002.
Texas Federation of Teachers. Keynote. Austin, TX. October 19, 2002.
Verizon Corporation. Keynote. Tampa, FL. October 18, 2002.
New York Superintendents Association. Keynote. Rochester, NY. October 8, 2002.
Los Angeles County Department of Education. Workshop. Los Angeles, CA.
    September 5-6, 2002.
Delta Kappa Gamma Annual Conference. Little Rock, AR. July 30, 2002.
Tasmania State Department of Education Conference. Hobart,
    Bernie, and St. Helens, Tasmania, Australia. July 3-5, 2002.
South Carolina Association of School Administrators Annual Conference.
    Keynote. Myrtle Beach, SC. June 24, 2002.
Goodwill Industries Annual Conference. Keynote. Austin, TX. April 26, 2002.
Texas Association of School Boards. Keynote. El Paso, TX. April 20, 2002.
Exceptional Educators of Manitoba Annual Conference. Winnipeg,
    Manitoba, Canada. April 18, 2002.
Express Personnel Community Forum. Rochester, MN. April 2, 2002.
New England Middle Schools Association. Providence, RI.
    March 27, 2002.
Center for Training. Launceton, Tasmania, Australia. May 14-16, 2001.
Colorado Governors Conference. Keynote. Denver, CO. March 17, 2001.
Association for Supervision & Curriculum Development. New Orleans, LA. 2000.
Regina Catholic Schools. Regina, Saskatchewan, Canada. November 6-7, 2000.
Texas Association of Elementary Principals. Workshop. Austin, TX. October 28, 2000.
Southern Methodist University. Dallas, TX. October 24, 2000.
Gallup School District on Navajo Reservation. Workshop on poverty. Gallup, NM.
    September 19-20, 2000.
Nevada Project Lead Project. Workshop. Las Vegas, NV. April 18-19, 2000.
Lightspan Corporation. Keynote. San Diego, CA. April 13, 2000.
National Association of Elementary School Principals. Distinguished Lecturer.
    San Francisco, CA. 1999.
Saskatoon Catholic Schools Institute. Saskatoon, Saskatchewan, Canada. 1999.
Adult Education Conference. Keynote. Columbus, Indiana. January 23, 1998.
IDEA Understanding Poverty. Summer Tour. 1998.
Numerous presentations on poverty including Texas Middle School Association,
    Texas Elementary Principals and Supervisors Association, Texas Association for
    Supervision and Curriculum Development American Association of School
    Administrators and districts. 1995, 1996, 1997, 1998.
Phi Delta Kappa Leadership Skills Institute. Nacogdoches, TX. November 6, 1997.
Boys Town National Education Conference. Keynote. Boys Town, NE.
    October 10, 1997.
National Assoc. of Secondary School Principals. Orlando, FL. March 9-10,,1997.
Clark County Independent School District. Las Vegas, NV. 1996.
Exxon. "Issues in Communication & Safety." 1996.
Texas Assoc. for Supervision and Curriculum Development, Houston, TX. 1995.
National Staff Development Council "Working with Staff Development in Site-
    Based, Multi-Cultural Settings."1993.
American Association of School Administrators. "School Improvement Planning
    Process." 1990.
Two videos for public television. "The Young Gifted Child" and "The Older Gifted
    Child." 1987.
College of Lake County, Grayslake, IL. 1987.

OTHER PROFESSIONAL ACTIVITIES

Phi Delta Kappa.
Delta Kappa Gamma
Texas Association for Supervision & Curriculum Development.
National Staff Development Council
American Association of School Administrators
National Staff Development Council Program Planning Committee for 1988 conference.
IDEA Fellow in 1990, 1992, 1993, 1995. Manuscript reviewer for National Staff Development Council quarterly
   publication, 1989-1993.
Member of North Central Association accreditation team for three high schools.
Associate member of Illinois State Administrators Academy.
Adjunct Professor for National-Louis University. Evanston, IL.
Co-chair of Texas State Board Committee to update Texas Teacher Appraisal
   System. 1994.

AWARDS

Delta Kappa Gamma Members in Print Award for Alpha State. 2003.
Monumental Small Business Award Nominee. Lee College, Baytown,Texas. 2003
"Unsung Hero," *Baytown Sun.* March 2002
Delta Kappa Gamma Members in Print Award for Alpha State. 2002.
Brock International Education Award Nominee. 2001
Delta Kappa Gamma Members in Print Award for Alpha State. 1999.
Delta Kappa Gamma Members in Print Award for Alpha State. 1996.
"Boss of the Year," Goose Creek (Texas) School District. 1994.

AREAS OF EXPERTISE

Curriculum development, K-12, in all subject areas.
Instructional design (both theory and practice).
Effective teaching practices.
Effective schools research and practices.
School improvement planning process.
Communication skills.
Group dynamics.
Adult development.
Assessment (state and local).
Program evaluation.
Current research in cognition, reading, writing, leadership, gifted/talented, teacher
   evaluation.
Current research in brain processing, learning, cooperative learning.
Discipline management and classroom management.
Staff development.
Training trainers.
Presentation design and development.
Work with students from poverty.

REFERENCES

Sandi Borden, Executive Director, Texas Elementary Principals and Supervisors Association, Austin, TX (512) 478-5268.

Dr. Cecil Floyd, Executive Director, Texas Middle School Association, Austin, TX. (512) 462-1105.

Penny Gaither. Consultant with Indiana State Department of Education, Bloomington, IN. (812) 332-8010.

Rebecca Kaatz, Assistant Area Superintendent, Clark County School District, Las Vegas, NV. (702) 799-2629.

Gwen Keith, CEO, Regina Catholic Schools, Saskatchewan, Canada. (306) 791-7200.

Sheila Magula, Assistant Superintendent, Virginia Beach School District, Virginia Beach, VA. (757) 427-4412.

Mary Oberg, West Metro Educational Project, Minneapolis, MN. (952) 888-7801.

Dawn Runger, Sr. Program Officer, Foellinger Foundation, Fort Wayne, IN. (260) 422-2900.

UNDERSTANDING PAYNE'S MODEL

A booklet for grant writers and others interested
in Dr. Ruby K. Payne's Model for Educational Reform

Prepared by Donna S. Magee, Ed.D.
Vice President, Research & Development
aha! Process, Inc.
Highlands, Texas

Spring 2005

Table of Contents

Appendix

Introduction

In an effort to assist grant writers and others who want to understand Dr. Ruby K. Payne's model for school improvement, this booklet is provided. A description of the model and the workshops that comprise the model is provided, along with a report written by the third-party evaluator for Payne's organization. Testimonials from principals who have implemented components of the model are also included. aha! Process, Inc. offers instruments to assess implementation of the model, which can be found on our website. Other pertinent information related to this reform model also is provided. For additional information, please contact the aha! Process office at (800) 424-9484 or visit our website at *www.ahaprocess.com*.

Description of Payne's Model

Ruby Payne's model for school improvement is best understood through knowledge of the three trainings that comprise the foundation for the model. The first training provides a framework for understanding the impact of economic class, particularly the impact of different economic classes on schools. The second focuses on cognition and providing what Feuerstein calls mediated learning experiences for students who lack the cognitive structures needed to learn (Sharron and Coulter, 1994). The third training provides a systemic approach to monitor learning that addresses accountability, standards and curriculum, and student growth. These three foundational trainings should be provided during the first year of an initiative. The only prerequisite for any of the trainings is that the training focusing on learning and cognition follow the training on understanding economic class. Technical assistance can be provided at any time after an initial training. An illustration of the model is provided in the Appendix.

In a workshop titled *A Framework for Understanding Poverty*, participants are introduced to the concepts of resources, registers of language, discourse patterns and story structure, hidden rules, discipline, and support systems (aha! Process, Inc., n.d.b). The concepts are explained through the lens of economic classes and how economic class affects mindsets and behavior.

When defining poverty, Payne (1996) identifies eight resources: financial, emotional, mental, spiritual, physical, support systems, relationships/role models, and knowledge of hidden rules. Research findings of Joos and Montano-Harmon are included in the work on registers of language, discourse patterns, and story structure. Hidden rules are defined as "the unspoken cues and habits of a group" (Payne, p. 52). Payne's work identifies the hidden rules that have the greatest impact on success in school and work. In Payne's training, teachers are encouraged to direct-teach the hidden rules of middle class that impact

school. Berne's work in transactional analysis that describes three alter ego states of parent, adult, and child—and the voices associated with each—is included in the discipline component of the training. In addition, the work of Comer and the importance of relationships of mutual respect between staff and students are emphasized in this workshop.

The second training in Payne's workshop series is *Learning Structures*. This workshop focuses on cognitive structures needed for learning (aha! Process, Inc., n.d.a). The research of Feuerstein and Shulman is central to this training. In Feuerstein's work, mediated learning experiences are provided to children when parents or other mediators select, order, emphasize, and explain stimuli on which they want the children to focus (Sharron and Coulter, 1994). This mediation develops cognitive skills in the children. In Payne's workshop, emphasis is placed upon teaching the *what*, the *why*, and the *how* of learning. In doing this, participants are taught strategies related to vocabulary development, mental models of the content, and strategies related to the *how*, which include strategies to label text, make questions, and sort information.

The research of Shulman influenced Payne's work on mental models. Shulman (1988) contends that exemplary teachers have knowledge and understanding that are unique to their content area. He termed this knowledge pedagogical content knowledge. According to Shulman, these teachers have "invented or borrowed or can spontaneously create powerful representation of the ideas to be learned in the form of examples, analogies, metaphors, or demonstrations" (p. 37). It is these representations that bridge students' current understanding to what they must yet learn. Payne calls these abstract representations mental models.

Payne (2002) describes mental models as the stories, metaphors, analogies, and two-dimensional drawings that help the mind hold abstract information. Each subject area has mental models—and when students are taught these mental models, the time needed to teach a concept is reduced.

The third training that is foundational to Payne's model is *Meeting Standards & Raising Test Scores When You Don't Have Much Time or Money*. In this workshop, participants are introduced to five systemic processes to monitor instruction and address accountability (Payne, 2001; Payne and Magee, 1996). These processes include:

1. Identifying students by quartile
2. Assigning time and aligning instruction
3. Measuring student growth
4. Selecting systemic interventions
5. Embedding monitoring strategies

In the first process of identifying students by quartile, workshop participants are taught how to complete data grids that identify patterns of student performance based on the required subgroups of the No Child Left Behind (2001) federal legislation. Students and their data are sorted by ethnicity, low socioeconomic status, limited English proficiency, and disability. Teachers complete grids for their individual classrooms, using criterion- or norm-referenced test data. Because this exercise is designed to help educators address equity issues among the subgroups, it relates to Lezotte and Bancroft's (1985) effective schools model that emphasizes equity and quality for all students. In addition, the exercise is used to predict assessment ratings and identify students to target for interventions in a timely manner (Payne, 2001; Payne and Magee, 1996).

The second process of assigning time and aligning instruction is a simple curriculum mapping process. This process is designed to ensure consistency in content instruction among teachers of the same subject and grade level. Teachers work collaboratively to map the main concepts and units they will teach each grading period. In Payne's model, these are called time and content grids. Critical to this process is ensuring that these concepts and units are tied to required state standards and that all standards are taught prior to testing. After each subject and grade level develops its time and content grid, representatives meet together as a vertical team to review the grids and ensure alignment of all standards (Payne, 2001; Payne and Magee, 1996).

The third process utilizes measures of student growth that emphasize progress toward the state standards. Performance standards, rather than grades, are the focus in this process. Teachers are encouraged to use benchmarks, rubrics, and 10-question tests in this process. When using 10-question tests, teachers by subject and grade level develop common questions and agree to include them on the tests they give at the end of the grading period. These questions assess the standards that were taught during the grading period and should be written in the format of the state assessment. After administering the tests, teachers tally students' responses and identify students who need additional interventions or standards that need additional instruction (Payne, 2001; Payne and Magee, 1996).

The emphasis of the fourth process is systemic interventions. Participants are encouraged to focus on interventions that are available within the system rather than just their individual classrooms. Interventions are analyzed according to content and programs, the use of time, relationships with students, and students' handling of abstract material (Payne, 2001; Payne and Magee, 1996).

The fifth process focuses on planning and embedding the previous four processes into the school program and calendar. Leadership teams are encouraged to work together to identify activities that must occur by

month to address instruction. This planning should take place prior to the beginning of the new school year and should be shared with all staff. The plan and calendar then become a record of the focus of staff's time and efforts (Payne, 2001; Payne and Magee, 1996).

While the described trainings are central to Payne's model, the follow-up provided through technical assistance is essential. In these sessions, teachers typically meet by grade level or department to collaborate to embed the processes and strategies taught in the trainings into their lessons and classroom practice. In the model, this technical assistance is facilitated by a consultant who works for Payne's organization. The consultant acts as a coach and works with teachers in the areas in which they need the most assistance. It is recommended that technical assistance be provided a minimum of one time each grading period (aha! Process, Inc., n.d.a). Training of new staff in the foundational trainings and continued technical assistance are required in Years 2 and 3.

Model Success

For information about the use of the model and its impact on education, please refer to the executive summary of the report titled *Impact of Ruby Payne's Instructional Framework on Student Achievement* found in the Appendix. A copy of the entire report can be found on the aha! Process website at *www.ahaprocess.com* under the R&D link. In addition to this study, several testimonials from school principals are included in the Appendix. The website has numerous other testimonials as well for your review.

Implementation Tools

Important to any innovation is model fidelity; this refers to the extent to which the model is being implemented as it was designed by the developer. To assist with this, aha! Process has designed two instruments: *Instructional Framework Scale—Observation* and *Instructional Framework Scale—Artifacts/Conference* (included in Appendix). These scales identify indicators that reflect the concepts of Payne's work; in other words, "What would I expect to see from someone implementing the concepts?" These instruments are used by campus/district administrators and aha! Process's consultants who provide technical assistance during the initiative. Feedback can be provided to staff based on observable classroom behaviors. The tools can be used for future planning for implementation of the concepts.

An Additive Model

aha! Process provides an *additive model* that recognizes that people in poverty, middle class, and wealth are all problem solvers. The focus is on

solutions, shared responsibilities, new insights, and interdependence. This work is about the resulting connectedness and about relationships; it is about "us."

This *additive model,* implicit throughout Payne's *A Framework for Understanding Poverty,* is analyzed in depth in the Appendix. It is a vital tool for better understanding and addressing poverty, as well as the underlying factors that perpetuate it. Please see the appendix for the full text.

Developing Capacity

Payne's model is not a prescriptive program but rather a model designed to impact the knowledge, skills, and beliefs of educators by providing strategies and processes that can then be applied in the educators' context. It is about developing capacity of individuals as it focuses on the *what,* the *why,* and the *how* of instruction. It is about developing cognitive capacity of children as it focuses on *how* to teach and *how* children learn. It also is about developing capacity of the organization to change as it implements the systemic processes. These processes change the practices in school buildings.

Parental Involvement

Ruby Payne's model offers an understanding, as well as practical strategies, for working with parents. Parental involvement through expectations and support for school is more important than parents' presence at school. Home contacts are encouraged. These short, 10-minute visits to the parental home to introduce oneself as the teacher have been found to make a significant difference in the support parents then show for the school. In addition, understanding family structure and resources in a family aid the educator in working with parents.

Professional Development

Payne's model provides a systemic, focused approach for professional development that "pays off" when it is tied to the goals and plans for the school. The model is collegial and collaborative as educators work together to embed the strategies consistently, systemically, and systematically into their classroom practice, regardless of grade level or content area. The model is not about "one shot" workshops but about a series of trainings with follow-up to the trainings.

This follow-up is designed to meet the specific needs of the educators and children. These technical assistance meetings, offered through follow-up sessions with a consultant from aha! Process, provide support for the teachers during this process of change. Payne's model is professional development that is sustained and should be designed for a three- to five-year time period. Important to the model is building

leadership as the principal works with staff to identify the tasks and time needed to improve the achievement of all students. Principals are encouraged to purchase *Living on a Tightrope*, a book available through aha! Process, Inc. In addition, principals are encouraged to attend the certification workshops, along with a group of lead teachers, for both *A Framework for Understanding Poverty* and *Meeting Standards & Raising Test Scores When You Don't Have Much Time or Money*.
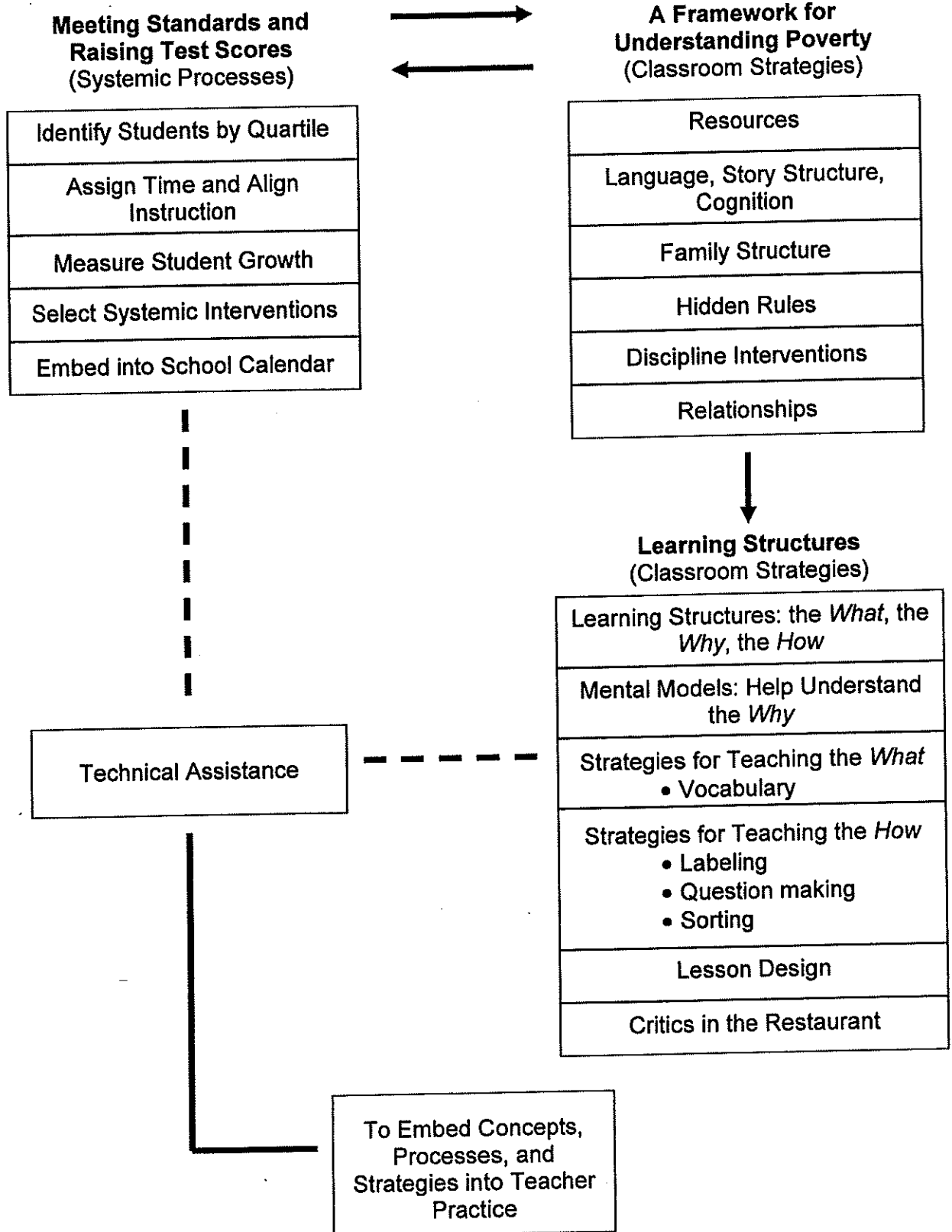
Poverty Statistics
Grant writers are encouraged to visit www.census.gov to find data related to their specific state and county.

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Appendix

Payne's Model

Meeting Standards and Raising Test Scores
(Systemic Processes)

⟶
⟵

A Framework for Understanding Poverty
(Classroom Strategies)

Identify Students by Quartile
Assign Time and Align Instruction
Measure Student Growth
Select Systemic Interventions
Embed into School Calendar

Resources
Language, Story Structure, Cognition
Family Structure
Hidden Rules
Discipline Interventions
Relationships

Learning Structures
(Classroom Strategies)

Technical Assistance

Learning Structures: the *What*, the *Why*, the *How*
Mental Models: Help Understand the *Why*
Strategies for Teaching the *What* • Vocabulary
Strategies for Teaching the *How* • Labeling • Question making • Sorting
Lesson Design
Critics in the Restaurant

To Embed Concepts, Processes, and Strategies into Teacher Practice

Impact of Ruby Payne's *Instructional Framework*
on
Student Achievement in East Allen County Schools, Indiana
2001-03

For

aha! Process, Inc.
Highlands, Texas

Under Independent Contract
to

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May 18, 2004

Impact of Ruby Payne's *Instructional Framework* on Student Achievement in
East Allen County Schools, Indiana
2001-03

Executive Summary

Purpose

The purpose of this study was to analyze the impact of Dr. Ruby K. Payne's *Instructional Framework* (1995, 2001)—as the basis for the Learning Perspectives Initiative in East Allen County Schools—on student achievement.

Background/Context

The Learning Perspectives Initiative (LPI) was "a multi-year initiative designed to help educators in East Allen County Schools better understand and teach students from varying economic means. The initiative's goal was to improve the academic achievement of students from all economic backgrounds" (Novotny, 2003, p. 1). The Foellinger Foundation provided funding for four years for materials, training, and implementation in all schools of the East Allen County Schools.

The LPI was based on components of Dr. Ruby K. Payne's book *Poverty: A Framework for Understanding and Working with Students and Adults from Poverty* (1995), which in 1998 was renamed *A Framework for Understanding Poverty* (1998, 2001, 2003, 3rd Revised Edition). Cognitive strategies (mental models, planning to control impulsivity, plan and label for academic tasks, question making, sorting strategies that use patterns); systemic interventions (student performance targets for equity and excellence, time and content grid, benchmarks and rubrics, identifying when a student is in trouble and providing interventions, accountability measures using 10 common test questions, and embedding systems in building plans and school calendars); professional development; data collection and analysis; and building relationships. This was the only innovative program implemented in EACS during the period 1999-2002 consistent with the investment and requirements of the Foellinger Foundation.

Student Achievement Data Analyses

Determining the impact of the LPI and Ruby Payne's *Framework* (1995) on student achievement required the analysis of standardized assessment instrument data in multiple academic domains. The Indiana Department of Education required the use of the ISTEP+ (Indiana Statewide Testing for Educational Progress), which had two standardized academic measures—one norm-referenced and one criterion-referenced. First, the norm-referenced portion was composed of four summary scores—Total, Reading Composite, Language Composite, and Math Composite—expressed as Normal

Curve Equivalents (NCEs). Second, the Indiana Academic Standards (criterion-referenced portion of ISTEP+) reflected the percentage of students who met or exceeded the standards in Mathematics, English/Language Arts, and Both. Both sets of dependent variables were used in this study.

Determining the consistency of the implementation of any model (model fidelity) is crucial to determining its impact on student achievement. Novotny (2003) described 25 characteristics present in EACS during the multi-year implementation of the LPI that were consistent with the actions and culture required in the implementation of Payne's *Framework*. The presence of these factors provided strong support for the high-fidelity implementation of the model in EACS.

A time-series design (Campbell and Stanley, 1963) was used with seven cohorts of students over the six-year period. Two sets of dependent variables from the ISTEP+ were used—one norm-referenced and one criterion-referenced. A chi-square analysis was completed for each of the two sets of data comparing the student achievement differences (increases/equals/decreases) over years within and cohorts with the expected differences within and across cohorts based on a normal distribution.

For ISTEP+ norm-referenced student achievement data differences within and across cohorts on NCE mean scores for Reading Composite, Language Composite, and Mathematics Composite, the resulting statistic was X^2 (Goodness of Fit) = 11.66 (p< .01). Thus, there was a statistically significant difference between the observed and expected values with the increases being significantly higher than expected, the equals being significantly lower than expected, and the decreases being approximately equal to the expected. Students participating in LPI using Ruby Payne's *Framework* (1995) scored statistically significantly higher than would have been expected based on chance. Inspection of these results indicated the following:

- The range of differences for increases was +3.8 to +9.7 NCEs; the range of differences for decreases was -2.1 to -4.9 NCEs.
- 78% (14/18) of the differences in Mean NCEs across all three academic areas were increases (8/18) or equals (6/18).
- The greatest absolute increases were for the 10th vs. 8th grade comparisons for all three academic areas.
- The greatest number of decreases were for 8th vs. 6th grade comparisons in Language Composite and Mathematics Composite.
- There appears to be a cumulative effect on academic achievement over time for participation in the LPI using Ruby Payne's *Framework* (comparison of Cohort 2 with two years and Cohort 3 with three years of participation).
- The increases are practically significant in terms of size across all three academic areas.

For ISTEP+ criterion-referenced student achievement data differences within and across cohorts on percentage of students meeting or exceeding state standards for Mathematics, English/Language Arts, and Both, the resulting statistic was X^2 (Goodness

of Fit) = 45.11 (p< .001). Thus, there was a statistically significant difference between the observed and expected values, with the increases being significantly higher than expected, the equals being significantly lower than expected, and the decreases being approximately equal to the expected. Students participating in LPI using Ruby Payne's *Framework* (1995) scored statistically significantly higher than would have been expected based on chance.

Inspection of these results indicates the following:

- The range of differences for increases was +6% to +17%; the range of differences for decreases was -5% to -9%.
- 61% (20/33) of the comparisons indicated that students exceeded the prior year's percentage of meeting/exceeding standards across all three content areas.
- 45% (5/11) of the comparisons indicated that students exceeded the prior year's percentage of meeting/exceeding standards in the Mathematics area.
- 73% (8/11) of the comparisons indicated that students exceeded the prior year's percentage of meeting/exceeding standards in the English/Language Arts area.
- 64% (7/11) of the comparisons indicated that students exceeded the prior year's percentage of meeting/exceeding standards in Both areas.
- The 10th vs. 6th grade comparisons and the 10th vs. 8th grade comparisons had the most increases in all three areas.

These results are both statistically and practically significant and indicate that the LPI using the Payne *Framework* (1995) had significant impact on increasing student achievement as measured by both the norm-referenced and the criterion-referenced portion of the ISTEP+. Student participation in the LPI using Payne's *Framework* (1995) resulted in more increased student achievement than would have been expected by chance based on two dependent measures of student achievement.

Recommendations for Continued Investigation of Impact

Recommendations for continuing investigation include the following:

- Refine the cohorts to include only students who participated in the LPI for three or more years.
- Analyze EACS data in comparison with those from the state level and compare the results to a system that is similar in demographics that is not using Payne's *Framework* (1995).
- Analyze SAT/ACT scores and post-secondary participation to follow up data for longer-term impact.
- Analyze the differences in student achievement across disaggregations—sex, race/ethnicity, LEP, SES, and disabilities.
- Analyze attendance rates, dropout rates, and graduation rates—particularly for the high school—to ensure that the distribution of all students has not been truncated.

Test Scores Have Moved Dimon ES to "Distinguished" Title I School

As a first-year principal in 2001, I was assigned to a Title I school, facing several challenges: six years in "Needs Improvement" status, a high discipline referral rate, and the fractured morale of a faculty and staff. I knew that I had to immediately implement a plan that would improve test scores, morale, and discipline while creating a more positive school climate among teachers, staff, students, and parents.

I first heard Dr. Payne present parts of her *Framework for Understanding Poverty* in a mini-session in Denver, Colorado, and I realized what she said and what her research supported would assist my school in moving forward. Dr. Payne clearly articulated aspects/symptoms of human behavior affected by poverty, how the behavior can hinder progress, and a means of neutralizing that behavior and reorienting it toward social and academic success. Later, I attended her Day 1/Day 2 Tour and brought one of her consultants, Dr. Rita Pierson, to present Day 1/Day 2 to my entire staff. The information presented stimulated our level of awareness about our students that may have at one time inhibited progress for them.

We have chosen to adopt and gradually implement many of Dr. Payne's suggested strategies into our instructional program. Current strategies implemented include sentence framing, promoting the use of formal register, understanding the resources that families may or may not have, the three voices (child, parent, adult), and the teaching of mutual respect.

The results from the use of these strategies and others have been favorable in an improved climate and lower discipline referral rate. Most importantly, in this day and age of accountability, test scores have improved significantly in three years. We have moved from the status of "Needs Improvement" to the status of "Distinguished" in Title I.

By continuing to use this information and gain an understanding of our students and their families, we now have a more focused learning environment where academics thrive.

Thank you, Dr. Payne, for your research and invaluable information.

Lura Reed
Principal
Dimon Elementary School
Columbus, Georgia

'Tremendous Impact on Students and Teachers'

As a 30-year veteran of education, I have seen many educational programs come and go. Many of these programs have promised sweeping changes and impressive student results. Therefore, as educators, we have to be selective and cautious when considering initiatives that will truly make a difference for students. Without a doubt, the work by Dr. Ruby Payne of aha! Process, Inc. has had a tremendous impact on the students and teachers at Woodrow Wilson Magnet School. I am a believer in the power of *all* kids to learn.

Woodrow Wilson opened as a magnet school in 1999. The student population is 95% minority—primarily African American. We are considered to be an urban, neighborhood school. Approximately 80% of our students come from single-parent homes, while 20% of our students have a parent or close family member who is incarcerated. A large percentage of our parents have not completed high school, but GED programs are offered through a neighborhood church. In addition, our poverty rate exceeds 90%.

With such a poverty rate, the Woodrow Wilson School team first needed to understand the needs of families and children who struggle to survive day by day. After developing an understanding of the impact of poverty, our faculty and staff learned numerous strategies that give students the tools for success.

Three years ago, we were a school in academic warning and placed under close scrutiny by the Virginia State Department of Education. We had to make drastic changes. Dr. Payne's work helped us bring about major changes. We are now a fully accredited school passing all state Standards of Learning (SOLs) tests in all tested grades (3, 4, and 5) for the past two years. We are serving the same children but in a very different way. By helping our children learn the cues of middle-class schools and the mental models for retaining information, we've given them tools for facing life.

We "talk green" (meaning the language of money), use the Tucker Signing Strategies for Reading, and develop mental models in all curriculum areas. Parents know that we care, because we expect the best. Each child at Woodrow Wilson is loved, nurtured, and treated with respect.

Thank you, Dr. Payne, for helping us make school fun for children in Danville!

Sincerely,

Judy Williams
Principal
Woodrow Wilson Magnet School
A Center for Classical & Contemporary Arts
1005 North Main Street
Danville, VA 24540

Two-Year Technical Assistance Provided In-depth Understanding

Our campus had the privilege of participating in ongoing training with your company for two years. The training validated our practices and gave us in-depth understanding of additional strategies to reach each student. It also gave us common vocabulary and goals to achieve great student success. One team in particular was highly successful, with 100% of students passing the state math test (TAKS) and 95% passing the state reading test. That grade-level team embraced and implemented the strategies and built a highly effective support system for students and for each other. The teachers used the same strategies within their professional relationships that they used with their students, and the student results became an outstanding story of achievement. Students accomplished great learning success in all classrooms where teachers implemented the strategies daily.

The training gave us knowledge, awareness, and tools—and the mentoring provided by Kim Ellis gave teachers the support to implement the strategies in a way that worked for them and their students. The mentoring sessions provided the opportunity for teachers to ask questions and meet their individual levels of readiness for implementation. Thank you for your support throughout this two-year process and for giving us new insights and positive energy.

B. Alcancia
Principal
Lawhon Elementary School (2000-04)
Pearland Independent School District
Pearland, Texas

Date: __/__/__ Site:_____ Teacher:_____ Rater: _____

INSTRUCTIONAL FRAMEWORK SCALE—OBSERVATION

(Dr. Ruby K. Payne/aha! Process, Inc.)

	Ratings of Fidelity of Model Implementation			
Critical Indicators by Area	Did Not Observe But Needed	Observed But Did Not Meet Standard	Did Not Observe But Apparent	Observed and Met Standard
Resources/Students				
1. Calls students by name.	O	O	O	O
2. Provides coping strategies for students.	O	O	O	O
Language, Story Structure, Cognition				
3. Uses formal language register to teach content.	O	O	O	O
4. Uses casual register to build relationships.	O	O	O	O
5. Uses casual register to clarify content.	O	O	O	O
6. Provides translation tools between two story structures (sensory and abstract realities/words).	O	O	O	O
Family Structure				
7. Uses body language to build relationships.	O	O	O	O
8. Uses non-verbals to build relationships and indicate respect.	O	O	O	O
9. Responds to challenges to authority in a respectful way.	O	O	O	O
Hidden Rules				
10. Teaches two sets of rules concept for behaviors (if applicable).	O	O	O	O
11. Teaches hidden rules as part of discipline intervention (if applicable).	O	O	O	O
12. Expects required behaviors of all students (if applicable).	O	O	O	O
13. Varies approaches to teach the behaviors based on using the hidden-rule information (if applicable).	O	O	O	O

Critical Indicators by Area	Ratings of Fidelity of Model Implementation			
	Did Not Observe But Needed	Observed But Did Not Meet Standard	Did Not Observe But Apparent	Observed and Met Standard

Discipline

Critical Indicators by Area				
14. Uses adult voice the majority of the time in discipline interactions.	O	O	O	O
15. Teaches reframing to help change student behaviors.	O	O	O	O
16. Uses positive parent voice to stop behavior.	O	O	O	O
17. Does not argue with students.	O	O	O	O
18. Uses discipline interventions to teach choices, not to punish.	O	O	O	O
19. Uses discipline interventions to teach consequences, not to punish.	O	O	O	O
20. Uses discipline interventions to teach parameters (non-negotiables), not to punish	O	O	O	O
21. Uses humor, not sarcasm, as a tool in discipline.	O	O	O	O
22. Uses relationships with rules to minimize rebellion.	O	O	O	O
23. Teaches processes and procedures for the classroom.	O	O	O	O
24. Teaches processes and procedures for the facility.	O	O	O	O

Creating Relationships

Critical Indicators by Area				
25. Teaches, insists upon, and reciprocates mutual respect from students to teacher and teacher to students.	O	O	O	O
26. Is courteous to students.	O	O	O	O
27. Gets within arm's reach.	O	O	O	O
28. Interacts with individual students equitably.	O	O	O	O
29. Interacts with groups of students equitably.	O	O	O	O

Learning Structures

Critical Indicators by Area				
30. Teaches the *what*.	O	O	O	O
31. Teaches the *why*.	O	O	O	O
32. Teaches the *how*.	O	O	O	O
33. Direct-teaches cognitive strategies as needed.	O	O	O	O
34. Varies teaching methods to reach students' abilities as needed.	O	O	O	O

Critical Indicators by Area	Ratings of Fidelity of Model Implementation			
	Did Not Observe But Needed	Observed But Did Not Meet Standard	Did Not Observe But Apparent	Observed and Met Standard
Mental Models				
35. Uses mental models to translate between sensory and abstract.	O	O	O	O
36. Teaches students to create mental models.	O	O	O	O
37. Ties mental models to the purpose, structure, or patterns of the discipline.	O	O	O	O
Planning to Control Impulsivity				
38. Direct-teaches planning behavior for academic tasks.	O	O	O	O
39. Direct-teaches planning behavior for behavioral tasks.	O	O	O	O
40. Requires written plan from each student for completion of task, including time, steps to the task, and deadlines.	O	O	O	O
Plan and Label				
41. Identifies, teaches, and requires student use of content vocabulary.	O	O	O	O
42. Teaches and requires student use of labeling.	O	O	O	O
Question Making				
43. Teaches and requires students to develop questions over content.	O	O	O	O
44. Teaches students how to evaluate and analyze questions.	O	O	O	O
Sorting				
45. Teaches identification of characteristics as the basis of sorting (e.g., like/unlike, important/unimportant).	O	O	O	O
46. Teaches students how to sort against the purpose, structure, or pattern of content.	O	O	O	O
47. Provides models for sorting text.	O	O	O	O

Date: __/__/__ Site:_____ Teacher:_____ Rater:_____

INSTRUCTIONAL FRAMEWORK SCALE—ARTIFACTS/CONFERENCE

(Dr. Ruby K. Payne/aha! Process, Inc.)

| | Ratings of Fidelity of Model Implementation | | |
| | Present | | MET |
Critical Indicators by Area	YES	NO	STANDARD
Resources/Students			
1. Provides projects that are class-based.	O	O	O
2. Assesses student resources as part of discipline referral.	O	O	O
3. Makes home contacts.	O	O	O
4. Provides support systems for getting homework done.	O	O	O
5. Articulates academic performance (strengths, needs, how resources respond to strengths and needs).	O	O	O
6. Differentiates homework assignments for students.	O	O	O
Language, Story Structure, Cognition			
7. Articulates relationships among planning, formal register, and control of impulsivity.	O	O	O
Family Structure			
8. Does not use pejorative comments regarding students and their families.	O	O	O
9. Does not blame child's performance on parents.	O	O	O
10. Responds to challenges to authority in a respectful way.	O	O	O
11. Gives facts about own life.	O	O	O
12. For four randomly selected students, identifies the level of support and insistence on academics and expectations of students outside the school environment by naming the significant relationships the student has.	O	O	O

Critical Indicators by Area	Ratings of Fidelity of Model Implementation		
	Present		MET
	YES	NO	STANDARD
Hidden Rules			
13. Direct-teaches hidden rules of behavior, including vocabulary, procedures, expectations, and courtesies of the classroom and the school (if applicable).	O	O	O
14. Teaches hidden rules as part of discipline intervention (if applicable).	O	O	O
15. Expects required behaviors of all students (if applicable).	O	O	O
16. Varies approaches to teach the behaviors based on using the hidden-rule information (if applicable).	O	O	O
Learning Structures			
17. Considers differing needs and payoffs for students.	O	O	O
18. Uses checklist to plan for, monitor, and teach students' use of input, elaboration, and output strategies.	O	O	O
19. Varies teaching methods to reach students' abilities as needed.	O	O	O .
20. Direct-teaches planning behavior for behavioral tasks	O	O	O
Plan and Label			
21. Gives 20% of grade based on students' use of plan or process with labels.	O	O	O
22. Teaches and requires the students' use of evaluative measures of student products (rubrics, assessments, etc.).	O	O	O
Question Making			
23. Teaches and requires students to develop questions over content.	O	O	O
24. Teaches students how to evaluate and analyze questions.	O	O	O
Sorting			
25. Provides models for sorting text.	O	O	O

	Ratings of Fidelity of Model Implementation		
	Present		MET
Critical Indicators by Area	**YES**	**NO**	**STANDARD**
SYSTEMS			
Process I: To Grid Students by Quartile by Subgroup			
26. Teacher grids students by student and by content area.	O	O	O
27. Teacher identifies and plans student movement into the next quartile.	O	O	O
28. Principal compiles building patterns by subgroup and content area.	O	O	O
29. Principal evaluates the Adequate Yearly Progress (AYP) of each subgroup for Language Arts and Mathematics.	O	O	O
Process II: Time and Content Maps			
30. Teachers grid time and content maps for each grade level for each subject area in each grade level—and for each course at secondary. Time and content maps are aligned horizontally and vertically with the standards and the assessments.	O	O	O
Process III: Measuring Student Growth			
31. Teacher uses measures (e.g., rubrics, benchmarks, 10 questions) quarterly to assess individual student progress against standards.	O	O	O
Process IV: Buildingwide Interventions			
32. When a student does not make progress as measured in Process III, teacher and principal implement interventions within the week with that student.	O	O	O
Process V: Embed into the Site Plan by Time and Date			
33. Principal and site-based team develop a plan and a calendar for all above processes and implement the plan.	O	O	O

Additive Model:
aha! Process's Approach
to Building High-Achieving Schools

by Philip E. DeVol

The mission of aha! Process, Inc. is to positively impact the education and lives of individuals in poverty around the world. This mission is informed by the reality of life in poverty, research on the causes of poverty, and Dr. Ruby K. Payne's research and insights into economic diversity. The issues that aha! Process addresses are economic stability; the development of resources for individuals, families, and communities; and community sustainability. aha! Process provides an additive model that recognizes people in poverty, middle class, and wealth as problem solvers. The focus is on solutions, shared responsibilities, new insights, and interdependence. This work is about connectedness and relationships; it is about "us."

Using the Knowledge of People in Poverty to Build
an Accurate Mental Model of Poverty

Going directly to people in generational poverty, the people working the low-wage jobs, and listening to them talk about their concrete experiences is to learn from the experts, the people with the knowledge. The circle of life for a family at the bottom of the economic ladder is intense and stressful. Cars and public transportation are unreliable and insufficient, low-wage jobs come and go, housing is crowded and very costly, time and energy go into caring for the sick and trying to get health care, and many of the interactions with the dominant culture are demeaning and frustrating. For people in poverty, the arithmetic of life doesn't work. Housing costs are so high and wages so low that people have to double up, usually with family members, but often with people they may not know very well. All the elements in this mental model of poverty are interlocking: When the car won't start it sets off a chain reaction of missed appointments, being late to work, losing jobs, and searching for the next place to live. Vulnerability for people in poverty is concrete. When the price of gas goes to $2.20 a gallon it can mean having to work half a day to fill the tank. When one's attention is focused on the unfolding crisis of the day, people in poverty fall into what Paulo Freire calls the tyranny of the moment. Adds Peter Swartz: "The need to act overwhelms any willingness people have to learn." In this way poverty robs people of their future stories and the commitment to education. It requires them to use reactive skills, not true choice making, to survive. And finally, it robs them of power; the power to solve problems in such a way as to change the environment—or to make future stories come true.

By continuing to listen, one learns that people survive these circumstances by developing relationships of mutual reliance and facing down problems with courage and humor. It is family, friends, and acquaintances who give you a place to stay, food to eat, a ride to work, and help with your children. It's not Triple A that you call when your car breaks

down; it's Uncle Ray. People in poverty are the masters at making relationships quickly. Above all, they are problem solvers; they solve immediate, concrete problems all day long.

Unfortunately, the current operating mental model of our society appears to be that people in poverty are needy, deficient, diseased, and not to be trusted. Again, this can be learned by simply listening: listening to policymakers, commentators, and taxpayers who don't want their tax dollars to go to someone who isn't trying, isn't motivated, is lazy, and so on. Another way to discover the underlying mental model is to observe its programs in action and work backwards. Three- to five-year lifetime limits for assistance, 90 days of services, work first ... These policies point to frustration felt by those whose mental model of the poor is that they are needy, deficient, and diseased.

This inaccurate mental model is fed by media reports that favor soap operas to conceptual stories and individual stories to trends and the broader influences. The public hears about a fictitious "welfare queen" but not comprehensive studies. What is needed is a thorough understanding of the research on poverty.

Studying Poverty Research to Further Inform the Work of aha! Process

David Shipler, author of *The Working Poor*, says that in the United States we are confused about the causes of poverty and, as a result, are confused about what to do about poverty (Shipler, 2004). In the interest of a quick analysis of the research on poverty, we have organized the studies into the following four clusters:

- *Behaviors of the individual*
- *Human and social capital in the community*
- *Exploitation*
- *Political/economic structures*

For the last four decades discourse on poverty has been dominated by proponents of two areas of research: those who hold that the *true* cause of poverty is the behaviors of individuals and those who hold that the *true* cause of poverty is political/economic structures. The first argues that if people in poverty would simply be punctual, sober, and motivated, poverty would be reduced if not eliminated. For them, the answer is individual initiative. Voter opinion tends to mirror the research. Forty percent of voters say that poverty is largely due to the lack of effort on the part of the individual (Bostrom, 2005). At the other end of the continuum, the argument is that globalization, as it is currently practiced, results in the loss of manufacturing jobs, forcing communities to attract business by offering the labor of their people at the lowest wages, thus creating a situation where a person can work full time and still be in poverty. In a virtual dead heat with the countering theory, 39 percent of voters think that poverty is largely due to circumstances beyond the individual's control. Unfortunately, both two sides tend to make either/or assertions as if to say, *It's either this or that—as if "this" is true and "that" is not.*

Either/or assertions have not served us well; it must be recognized that causes of poverty are a both/and reality. Poverty is caused by both the behaviors of the individual and political/economic structures—and everything in between. Definitions for the four clusters of research and sample topics are provided in the table below.

CAUSES OF POVERTY			
Behaviors of the Individual	**Human and Social Capital in the Community**	**Exploitation**	**Political/Economic Structures**
Definition: Research on the choices, behaviors, characteristics, and habits of people in poverty.	*Definition:* Research on the resources available to individuals, communities, and businesses.	*Definition:* Research on how people in poverty are exploited because they are in poverty.	*Definition:* Research on the economic, political, and social policies at the international, national, state, and local levels.
Sample topics: Dependence on welfare Morality Crime Single parenthood Breakup of families Intergenerational character traits Work ethic Commitment to achievement Spending habits Addiction, mental illness, domestic violence Planning skills Orientation to the future Language experience	*Sample topics:* Intellectual capital Social capital Availability of jobs Availability of well-paying jobs Availability and quality of education Adequate skill sets Childcare for working families Decline in neighborhoods Decline in social morality Urbanization Suburbanization of manufacturing Middle-class flight City and regional planning	*Sample topics:* Drug trade Cash-advance lenders Sub-prime lenders Lease-purchase outlets Gambling Temp work Sweatshops Sex trade Internet scams	*Sample topics:* Globalization Corporate influence on legislators Declining middle class De-industrialization Job loss Decline of unions Taxation patterns Salary ratio of CEO to line worker Immigration patterns Economic disparity

Typically, communities put a great deal of effort into the first area of research: the behaviors of the individuals. "Work first" was one of the key themes of the welfare reform act of 1996. TANF (Temporary Assistance to Needy Families) organizations focused on getting people to work. The idea was that getting a job, any job, and learning to work were more important than going to job-training classes or receiving treatment. Community agencies offered treatment for substance abuse and mental-health problems, money-management classes, and programs to address literacy, teen pregnancies, language experience, and more. The mission of these agencies is not to work directly on poverty issues but to deal with co-existing problems. All of these agencies encourage their clients

to change behaviors, recording and managing the changes through the use of plans and contracts, and often sanction clients who fail to adhere to treatment plans.

Community efforts to enhance human and social capital include the strategies found in Head Start, WIA programs, One-Stop centers, Earned Income Tax Credit, and other anti-poverty programs. In this area too, accountability and sanctions are used to measure and motivate community organizations. Schools that don't meet certain benchmarks are taken over by state departments; TANF organizations that don't meet certain benchmarks don't receive incentive funds. This isn't to make a blanket criticism of any of the programs that serve low-wage workers. In fact, many programs have great value to those who have used them. Rather, it's the almost exclusive focus on these two areas of research that is the problem.

Communities rarely develop strategies to restrict, replace, or sanction those who exploit people in poverty. Even those organizations charged with fighting poverty sometimes neglect this cause of poverty. In part, this comes from departmentalizing community services. People who work in organizations charged with serving those in poverty don't think of exploiters as their responsibility. That falls to law enforcement and policymakers.

Departmentalizing is even more pronounced when it comes to the causes of poverty that arise from political and economic structures. Community economic development is left to the market system, developers, businesses, corporations, the Chamber of Commerce, and elected officials. People who typically work with those in poverty don't see a role for themselves in the debate on economic development issues any more than those who are engaged in business ventures make a direct connection between their work and the well-being of people in poverty. And yet, in concrete terms, there is a direct connection between quality of life and the actions of government and business. For the person in poverty it comes down to this: A person can get vocational training in a particular skill, get a job, and still be in poverty.

This all-too-common reality is the reason why communities must develop strategies across all four areas of research, not just the first two. To continue to focus exclusively on the first two areas of research is to invite more of the same—in short, more poverty. There is good research in all four areas; communities must develop strategies in all four areas if they are going to build resources and sustainability.

Alice O'Connor, author of *Poverty Knowledge*, says our society has typically looked at poverty through the prism of race and gender. She suggests that another analytic category is needed, that of economic class (O'Connor, 2001). In her seminal 1996 work *A Framework for Understanding Poverty*, Ruby Payne offered that prism. Since then aha! Process has published many books and produced many videos and workbooks that are used to address poverty across all four areas of research.

The Need for Change: Naming Problems and Finding Solutions

Any community or organization that sets out to address poverty, education, health care, justice, or community sustainability must acknowledge that it seeks change: change in the individual's behavior, change in community approaches, and/or change in political/economic structures. Put another way, there is no agency that receives money—be it federal, state, or private—to keep behaviors and conditions exactly as they are. We seek change because we perceive something to be wrong.

Naming the problem is the first step toward a solution, and the most important step, for if the problem is not named accurately the course of action based on that faulty assumption will only lead further and further from a solution. So naming problems accurately—making the correct diagnosis—is crucial because it is on those definitions that the theories of change and program activities are based.

But naming the problem isn't as simple as it seems. If a problem exists, is it due to something that is lacking, a shortage, a disadvantage, a handicap? It is here that planners, providers, and problem solvers tend to slide into what often is referred to as the deficit model. This model seems to derive from what William Miller calls the righting reflex. He says, "Human beings seem to have a built-in desire to set things right" (Miller, 2002). We see something that is wrong; we want to fix it. This tendency is all well and good as long it's confined to one's own problems, but as soon as our fix-it intentions are focused on others, this approach quickly loses its charm and questions arise. Who is it that names the problem? Who is it a problem for? What evidence is provided? How broad or deep is the investigation? People from minority cultures and dominated groups are the first to ask these questions, for it is often their ways of raising children, their language uses, and their problem-solving strategies that are being labeled as having deficits by the mainstream culture. Nobody likes deficit labeling. So it is that the righting reflex leads to deficit models that few of us like—and even fewer defend, for good reasons.

There is no known father or mother of the deficit model. Nobody claims it, but the title or slur gets hung around the neck of those who use it, or appear to use it. Some people hold that James Coleman, who has been called the "father of busing," proposed a deficit model. A review of the body of his work would refute that label. His research on education, one of the largest research projects ever undertaken, discussed economic class and achievement in its complexities. It was legislators, businesspeople, school administrators, and others who were under pressure to "Fit it!" who simplified Coleman's work when they turned it into policy. There are two things to be learned from this. First, the deficit model is simplistic; it oversimplifies the research and applies the righting reflex. Second, there is research—and then there are those who use the research.

It's important to take a closer look at how problems get named and what the distinction is between naming problems and deficit labeling. The deficit model names the problem and blames the individual; the individual must change, whereas society can be left unaltered. It is, however, possible to name problems and not blame the individual. For example, Dr. James P. Comer, not by any stretch a proponent of the deficit model, does identify the

family environment as crucial to a child's academic success. He points to hard science—brain research—that confirms the interactive process between the mediation (interpretation of reality) that children receive from caregivers before they come to school with the continuous mediation when children enter school. Quoting Comer: "Without [mediation] children can lose the 'sense'—the intelligence potential—they were born with. Children who have had positive developmental experiences before starting school acquire a set of beliefs, attitudes, and values—as well as social, verbal, and problem-solving skills, connections, and power—that they can use to succeed in school. They are the ones best able to elicit a positive response from people at school and bond with them." Read another way, this could appear as labeling low-income families with deficits. Of course, it isn't that because Comer acknowledges the problems that exist across the system; it's never as simple as the fault of a single person or group. The body of Comer's work reveals the true nature of his model (Comer, 2001).

Despite the fact that the deficit model seems to have no father or mother and is the work of policymakers more than researchers (and gets confused with the naming of problems), the deficit model is still for real. Its features are that it fixes the problems on the individual and therefore focuses on fixing the individual. Environmental conditions are translated into the characteristics of the individual and gradually turn into negative stereotypes. The talents, gifts, and skills of an individual get lost. In the deficit model the "glass is seen as half empty." The message becomes "you can't," and the impulse to care for and protect arises. Thus we have "special needs," "special programs," "special rooms," and "special personnel," all of which can lead to and foster dependency.

The lack of staff training can result in the deficit model appearing in the attitudes of the professionals, in individual bias, and inaccurate assumptions. Notes Comer: "Many successful people are inclined to attribute their situations to their own ability and effort—making them, in their minds, more deserving than less successful people. They ignore the support they received from families, networks of friends and kin, schools, and powerful others. They see no need for improved support of youth development" (Comer, 2001). Without training, staff members are likely to see deficits where there are none. A child who comes to school after getting up early to pump water from an outside well and whose mother hand-washes clothes once a week may be seen as dirty, less presentable, more lacking in physical resources than children who can shower in their own bathroom before coming to school and whose mother uses a washer and dryer. The first child has the resources and skills but isn't readily able to demonstrate those capabilities.

The lack of understanding on the part of the staff can lead to labeling that is hard to shake. If the school or agency doesn't provide some way for individuals to demonstrate their skills and resources, the glass will always appear to be half empty.

Problems are identified with student performance, drug use, teen pregnancy, inadequate skill sets, job retention, criminal behavior, poverty, and so on, all of which gives rise to fix-it programs. One Teacher Leaders Network online discussion participant offered this analogy about deficit-model programs: "We call it the 'chicken inspector' mindset. You see, the chicken inspector has been trained to look for something that isn't right, so that's

his focus and that's what he finds—the things that are wrong. The more things he finds wrong, the better he feels he is doing his job."

The deficit model finds its way into the design of programs. Legislators and professionals set policy and create departments and programs. Each department is expected to fix the piece of the pie that falls under its purview. These reactions to the latest problem set up a random approach to problem solving and result in remedial programs focused on the behaviors of the individual while losing sight of the whole system made up of families, neighborhoods, communities, and sociopolitical/economic structures.

This isn't to suggest that policymakers and program designers set out to apply the deficit model. It's more likely that they select some other approach but for any number of reasons fail to adhere to their espoused theory (what is said) and slide into a "theory of use" (what is done) that resembles the deficit model (Senge, 1994). Perhaps the most common reason for this slip is that it's easier to describe, plan for, monitor, and sanction the behaviors of individuals than it is to hold organizations, communities, and systems accountable in the same way (Washburne, 1958). The fact is that the deficit model is resilient, and we slide back into it easily.

Opposite the deficit model are many models that offer what the deficit model does not. They go by many names: positive model, developmental assets, competency, value-based, and strength-based ... to name a few. Other models have been assigned names by their developers: Health Realization, Resiliency in Action, Comer Model, and Motivational Interviewing to name but four. Each of these models has its distinct theory and practices, but the one thing they have in common is that they see "the glass as half full."

Positive models too are not without their critics. For example, child-protection workers point out that reframing the behaviors and characteristics of victims of abuse into strengths is naïve. No matter how resilient the child, the fact remains that the child has very little control over his/her environment and the behaviors of adults. Educators note that children in poverty have been exposed to more in their few years than many adults. In some ways they seem to have adult capabilities; they take care of themselves and feel confident they can handle big decisions. But the educators caution against accepting this claim. According to a recent piece by Craig Sautter, "We as adults need to remember that they are not adults. They still have a lot of growing and developing to do and still need the guidance of adults who can be there to help them through their growing-up period" (Sautter, 2005).
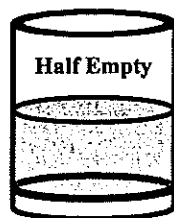
Deficit Models   **Positive Models**

The additive model, a term used by Ruby Payne to describe the work of her company, aha! Process, combines the value of accurate problem identification with a positive, strength-based, communitywide approach to change. Applying the glass half empty/half full model to the three economic classes and the work of aha! Process would look like this:

For the Person in Poverty

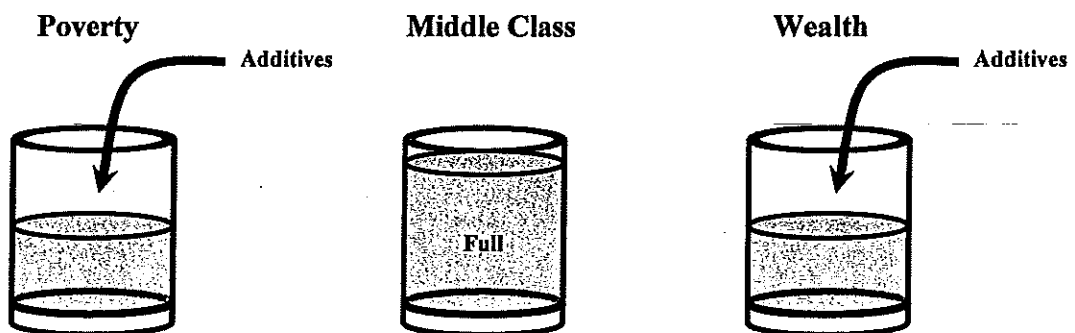| **Poverty**	**Middle Class**	**Wealth**
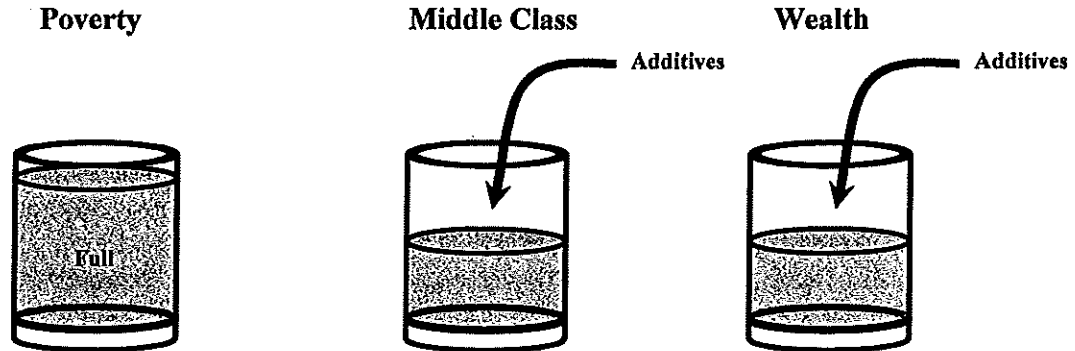
To survive in poverty, individuals must have reactive, sensory, and non-verbal skills. This means they have the ability to read situations, establish relationships, and solve immediate and concrete problems quickly. In that environment, individuals have a full glass; they have the assets and strengths to survive.

When individuals in poverty encounter the middle-class world of work, school, and other institutions, they do not have all the assets necessary to survive in that environment because what is needed there are proactive, abstract, and verbal skills. The additive model offers insight into how hidden rules of economic class work, along with a framework for building resources, a way to fill up the glass.

When the person in middle class encounters wealth, the same is true—but to a greater extent.

For the Person in Middle Class

Poverty	**Middle Class**	**Wealth**

Individuals raised in a middle-class environment learn the hidden rules, mindsets, and means of survival the same way persons in poverty or wealth do: through osmosis. To learn the survival rules of one's environment, virtually all one has to do is breathe. So the glass is full so long as individuals remain in their environment. But should those persons suddenly find themselves in poverty—or even in a poverty neighborhood—would they have the assets needed to survive there? The glass would be half empty. But there is a more common scenario that brings people in middle class and people in poverty together; that is in the institutions run by middle-class people. In this scenario both groups come with a glass half full because they may not understand the rules or value the assets of the other person or the other class. Here is where the additive model can help. It names the problem and offers insight and awareness; it opens the way to build relationships and eventually to better outcomes for both.

As middle-class individuals interact with people in wealth they may not know any more about the rules of survival in wealth than the person in poverty knows about the rules of middle class (and how the values of the additive model apply).

For the Person in Wealth

Poverty	**Middle Class**	**Wealth**
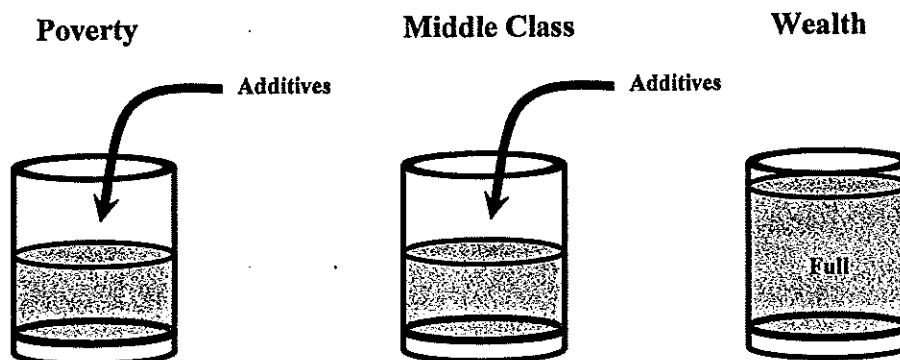
The additive model has something to offer people in wealth as well. Where the worlds of wealth, middle class, and poverty intersect, the additive model can assist. Due to their connections, influence, and power, people in wealth often are in the position to design the policies and directions of the institutions that the middle class run and that the people in poverty use. If wealthy individuals' poverty and middle-class glass is only half full and all they know is their own rules of survival, then it can result in policies that are ineffective and counterproductive.

To better understand the additive model, we must consider aha! Process definitions and core concepts.

Resources

Resources: The following resources are quality-of-life indicators that are described in almost all aha! Process publications.

Financial	Physical
Emotional	Support systems
Mental	Relationships/role models
Spiritual	Knowledge of hidden rules

Poverty: the extent to which an individual or community does without these resources.

Prosperity/sustainability: the extent to which an individual or community has these resources.

By these definitions it is easy to see that an individual may have low financial resources and at the same time have other resources that are very high. Of course, the opposite is true too: One can have high financial resources and be impoverished in other ways.

This approach emphasizes that every individual's story is different and takes into account the culture in which one lives. And yet, as a general rule, the additive model holds that to have high resources is better than to not have high resources. It's preferable to have financial stability than to be unable to pay for basic needs. It's preferable to have many positive relationships than to live in isolation. It's preferable to be able to identify feelings, choose behaviors, and get along with others than to be emotionally destructive.

The additive model holds that:
- Resources are to be developed by communities, families, and individuals. In fact, it is the appropriate role, or "job" if you will, of individuals, families, and communities to grow resources for oneself, one's family, and the community.
- The optimal way to build resources is to build on one's strengths. Focusing on low resources, weaknesses, and what is absent not only is no fun, it simply isn't effective.
- We must develop resource-building strategies across all four areas of poverty research. The deficit model is at work when a community focuses its anti-poverty strategies on the behaviors of the individual.

Ruby Payne's research on the hidden rules of economic class is another key component of the aha! Process approach. It is this analytic category that provides a new lens through which to examine poverty and prosperity issues. Again, some definitions will help clarify the additive model.

Hidden Rules of Economic Class

Hidden rules: the unspoken cues and habits of a group. All groups have hidden rules; you know you belong when you don't have to explain anything you say or do. These rules are held by racial, ethnic, religious, regional, and cultural groups ... to name a few. An individual's cultural fabric is made up of many threads, one of which is economic class. Where the threads are woven together the different cultures act on behaviors of the individual and group. Of these rules, economic class is a surprisingly strong thread, one that is often overlooked—or at least minimized.

The additive model holds that:
- The hidden rules arise from the environment in which a person lives, that they help persons survive in the class in which they were raised. This means that the rules of class are not to be criticized, but that we simply add options, new rules, a wider range of responses, an ability to negotiate more environments. While these are framed as choices and not identity, any individuals who begin to work on achievements—such as economic stability, education, or getting sober—are changing their identity. How they make the transition is a choice: Will they stay connected with people from their past, or will they move into new circles? This is an individual and often painful choice/process. Being aware of the choice can smooth the process, whatever the decision.
- It is beneficial for middle class people to learn the hidden rules of poverty—and not just so they're able to help people in poverty make changes, but because the hidden rules of poverty have value in their own right. Perhaps first among these is the value of relationships and the time given to them. The ability people in poverty have to establish quick but intimate relationships is an asset. In the additive model, change takes place, not just in the individual but in the theories of change and program designs of organizations. Middle-class organizations often have based their work on middle-class mindsets without an adequate mental model of poverty or knowledge of the hidden rules of the people they serve.

It is by adding to the hidden rules that one is raised with that people develop a range of responses that will give them control over their situations and open doors to new opportunities.

Language Issues

The aha! Process approach calls for an extensive discussion of language issues, including definitions of the registers of language, discourse patterns, story structures, language experience in the first three years of life, cognitive issues, and strategies to deal with all of these. As a body of work, aha! Process's many books, workbooks, videos, classroom strategies, program design strategies together make up a remarkable representation of the additive model. It is here that the model calls for an accurate naming of problems where the word deficit is used.

The additive model holds that:

- People build relationships by using the registers of language and discourse patterns skillfully.
- The strengths and uses of each register are encouraged where they can be most skillfully applied.
- Classroom interventions and agency strategies must be based on a clear understanding of the issues and a clear definition of the problems.
- The interventions themselves are built on the assets of the individual and the necessary changes fall as much on the professionals as on the individuals in poverty.
- Learning structures in the brain can be enhanced, but only by knowing the exact nature of the thinking that is occurring. In school settings the intervention cannot be random or general. The strategies offered by aha! Process are grade- and subject-specific.
- A rich language experience benefits children and prepares them for the world of work and school.
- Teachers value the language experience that children bring with them to school and prepare students to be able to skillfully navigate a wide range of language situations.
- In social service settings with adults, the additive model calls for the staff to become bilingual (able to translate from formal register to casual register).
- Change messages—be they about cardiovascular disease, breast feeding, birth weight, or the prevention of drug use—often taught in the formal register are now taught through a self-discovery process and by using mental models. Communication is meaningful and not just what Robert Sapolsky calls middle-class noise (Sapolsky, 1998).

Family Structure

Matriarchal structure: All families have capabilities and strengths, and all families are faced with demands. In the course of life all families must face suffering and hard times, but some families seem to have more than their share of suffering to contend with. Under ordinary demands and stressors, families will become stronger as a result of their struggles. But there are some things that can overrun and overwhelm a family's capabilities; those include chronic addiction, mental illness, physical illness, and poverty (Henderson, 1996). People in poverty sometimes contend with more than poverty alone, and poverty itself is so stressful that there is a direct correlation between poverty and stress-related illnesses (Sapolsky, 1998). In high-demand conditions, families take on a structure that fits the survival needs of the family. In that context, the matriarchal structure and associated patterns of behavior are assets, but if viewed in light of a deficit model are often seen as negative or even as lacking in morals. A matriarchal family is not synonymous with a dysfunctional family. As in all economic classes, dysfunctional things may happen, but living in poverty does not equate with dysfunctional behaviors. The additive model provides an understanding and appreciation of matriarchal families and offers new information and ways of increasing resources.

The additive model holds that:
- Family structures evolve to meet the survival needs of the family and that they are strengths.
- As with aha! Process knowledge, awareness gives people optional ways to stabilize the chaotic circle of life, to envision new patterns and stories, to practice choice, and to build new resources.

Sharing aha! Process Knowledge with Adults in Poverty

Co-investigation: Sharing aha! Process knowledge with people in poverty is done through a group investigation of the causes of poverty, examining the impact of poverty on the individual, and exploring new information. Individuals in the group assess their own resources and make plans to build their own future story. Here's one way of articulating the challenges faced by people in poverty:

Poverty traps people in the tyranny of the moment, making it very difficult to attend to abstract information or plan for the future (Freire, 1999; Sharron, 1996; Galeano, 1998)—*the very things needed to build resources and financial assets. There are many causes of poverty, some having to do with the choices of the poor, but at least as many stemming from community conditions and political/economic structures* (O'Connor, 2001; Brouwer, 1998; Gans, 1995).

The additive model holds that:
- People in poverty need an accurate perception of how poverty impacts them and an understanding of economic realities as a starting point both for reasoning and for developing plans for transition (Freire, 1999; Galeano, 1998).
- Using mental models for learning and reasoning, people can move from the concrete to the abstract (Freedman, 1996; Harrison, 2000; Sharron, 1996; Mattaini 1993; Jaworski, 1996; Senge, 1994).
- People can be trusted to make good use of accurate information, presented in a meaningful way by facilitators who provide a relationship of mutual respect and act as co-investigators (Freire, 1999; Sapolsky, 1998; McKnight, 1995; Pransky, 1998; Farson, 1997).
- Using Ruby Payne's definition of the resources necessary for a full life, as well as her insights into the hidden rules of economic class, people can evaluate themselves and their situation, choose behaviors, and make plans to build resources (Miller, 2002).
- The community must provide services, support, and meaningful opportunities during transition and over the long term (Putnam, 2002; Kretzmann, 1993).
- In partnership with people from middle class and wealth, individuals in poverty can solve community and systemic problems that contribute to poverty (Phillips, 2002; Kretzmann, 1993).

aha! Process Knowledge and Community Sustainability

Community sustainability: This is an issue that all communities, states, and nations must now face. The world has seen several revolutionary changes: the change from hunter/gatherer societies to agriculture, the industrial revolution, the information age, and now the era in which we must determine how to use our resources and live in our environment—and yet retain vital resources for our children and grandchildren.

The mission of aha! Process—to directly impact the education and lives of individuals in poverty around the world—leads to a role in this revolution. Communities are awakening to the reality that they do not offer a sustainable way of life to their children and are looking for direction. Equity and critical mass impact the changes that are taking place. If a community allows any group to be disenfranchised for any reason (religion, race, class), the entire community becomes economically poorer (Sowell, 1998). When poverty reaches the point of critical mass in a community and efforts to reverse the problem don't succeed, the people with the most resources tend to move out of the community, leaving behind enclaves of poverty. At this point the community is no longer sustainable.

Responding to the impending crisis with the mindset that created it and with the strategies that have been used to address poverty to date is to invite more of the same results: more poverty and more communities at risk.

aha! Process defines community as any group that has something in common and the potential for acting together (Taylor-Ide 2002). The rich social capital that peaked in the post-World War II era—and that has been on the decline since—must be restored (Putnam, 2000). The barn-raising metaphor for communities where citizens contribute to the building of the barn with their particular skills, gifts, and talents must replace the · vending-machine metaphor, which is currently in use. The vending-machine metaphor reduces community members to consumers or shoppers who put 75 cents into the machine expecting 75 cents of goods and services in return. With that mindset, it's no surprise that we find people kicking, shaking, and cursing the vending machine.

The additive model holds that:
- It's better to be a barn raiser than a consumer
- All three classes must be at the table.
- Communities must have a shared understanding and a common vocabulary to build critical mass that is willing and motivated to made the necessary changes.
- Strategies must cover all the causes of poverty—from the behaviors of individuals to political/economic structures.
- Communities must build intellectual capital. ·
- Long-term plans of 20 to 25 years are needed.
- Quality-of-life indicators must be monitored and reported regularly in the same way that economic indicators are monitored and reported.

Conclusion

aha! Process offers a unique understanding of economic diversity that can give individual, families, and communities new ways of solving problems. It is the hope of aha! Process that 100 years from now poverty will no longer be viewed as economically inevitable. Two hundred years ago slavery was thought to be an economic necessity. It was not. One hundred fifty years ago it was believed that women were not capable of voting. That also was not true. We fervently hope that by 2100 individuals and society at large will no longer believe that poverty is inevitable. It is only by applying an additive model that we will understand and address both poverty and the underlying factors that have perpetuated it.

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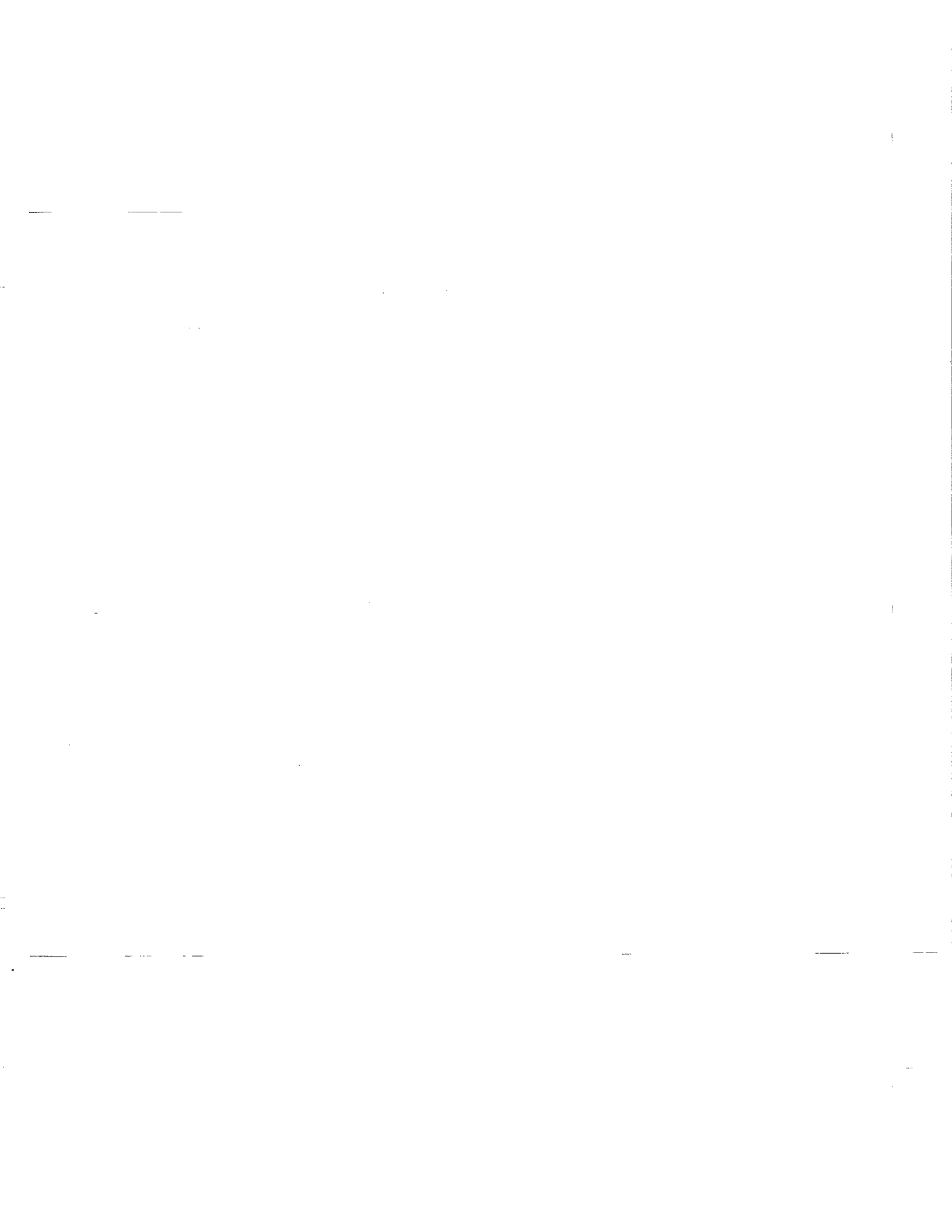
September 20, 2004

As a thirty year veteran of education, I have seen many educational programs come and go. Many of these programs have promised sweeping changes and impressive student results. Therefore, as educators, we have to be selective and cautious when considering initiatives that will truly make a difference for students.

Without a doubt, the work by Dr. Ruby Payne, aha! Process, Inc. has had a tremendous impact on the students and teachers at Woodrow Wilson Magnet School. I am a believer in the power of ALL kids to learn.

With a student poverty rate over 90%, the Woodrow Wilson School team first needed to understand the needs of families and children who struggle to survive day by day. After developing an understanding of the impact of poverty, our faculty and staff learned numerous strategies that give students the tools for success.

Three years ago, we were a school in academic warning and placed under close scrutiny by the VA State Department of Education. We had to make drastic changes. Dr. Payne's work helped us bring about major changes. We are now a fully accredited school passing all state Standards of Learning (SOLs) tests in all tested grades (3, 4, and 5) for the past two years. We are serving the same children but in a very different way. By helping our children learn the social cues of middle class schools and the mental models for retaining information, we've given them tools for facing life.

We "talk green," use the Tucker Signing strategies, and develop mental models in all curriculum areas. Parents know that we care, because we expect the best. Each child at Woodrow is loved, nurtured and treated with respect.

Thank you, Dr. Payne, for helping us make school fun for children in Danville!

Judy Williams
Principal, Woodrow Wilson Magnet School
Danville, VA
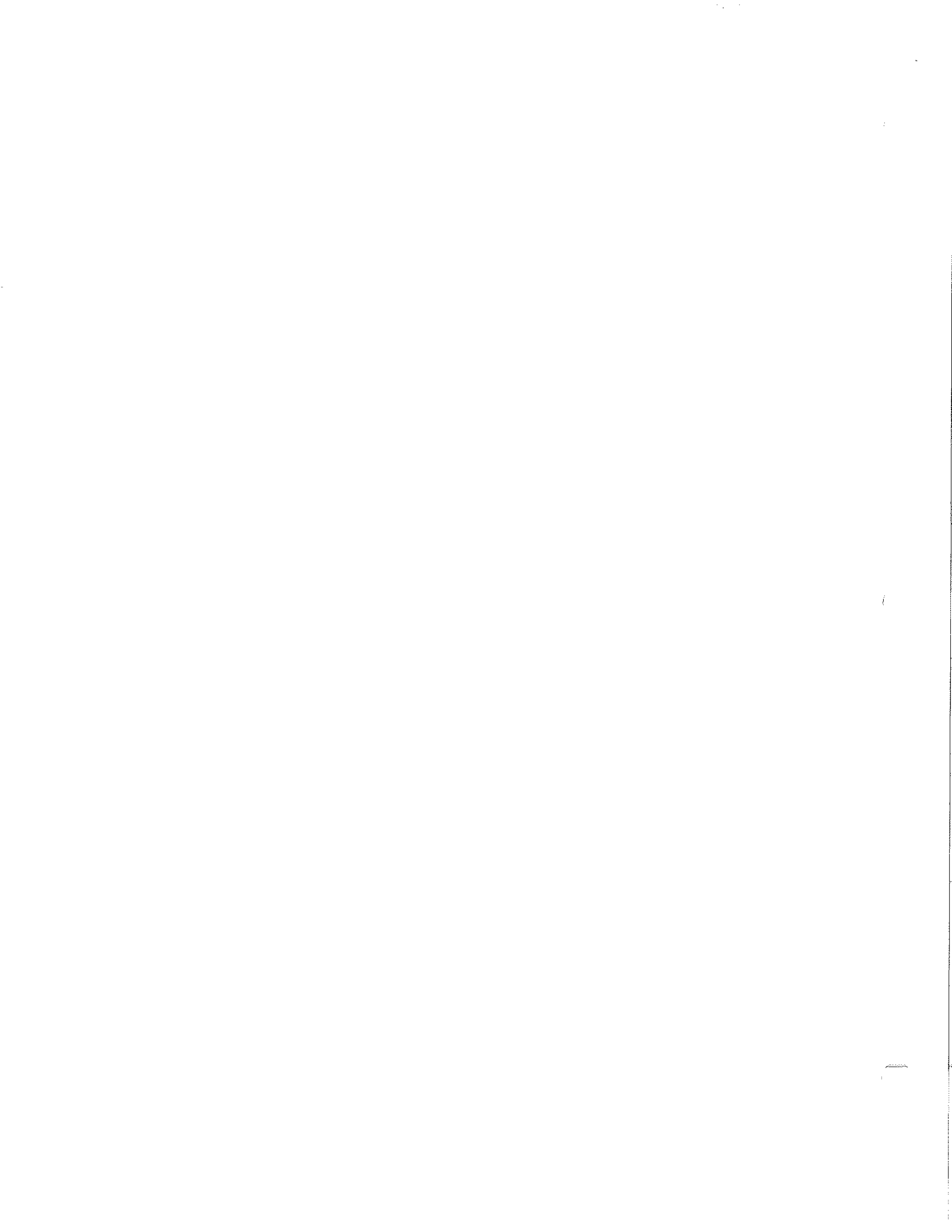
Orange County Public Schools in Orlando, Florida, has taken Ruby Payne's *A Framework for Understanding Poverty* to heart! There's a saying that before you touch a child's mind, you must first touch his heart. We have concluded in our district that Ruby's work touches the heart and lays the foundation on which we can build student achievement, parental involvement, and community support for ALL CHILDREN, including children of poverty.

Our district became aware of Ruby Payne after two district-level colleagues in our Professional Development Services department attended her overview workshop approximately two years ago. Then a year ago, another colleague served on the review panel for the national DOE Blue Ribbon Schools of Excellence in Washington, D.C. and noted that applicants from low-performing schools that had turned their schools around cited Ruby Payne's work as a turning point for their academic success with students. This was very timely for our district because our superintendent, Ron Blocker, set forth an Urban Cohort Initiative to address and assist our low-performing schools (elementary, middle, and high). Ruby Payne's *A Framework for Understanding Poverty* became an integral part of our Urban Cohort Initiative.

Orange County Public Schools has taken a systematic approach to incorporating and implementing Ruby Payne's work in our schools. As the 14th largest district in the United States and the 4th largest in the state of Florida with 165,000 students and 22,000 employees, it became imperative for us to address change and implementation systemically in order to accommodate our numbers and impact our district. We started this process by sending five district trainers to the train-the-trainer four-day workshop with Ruby Payne in Galveston, Texas, in the spring of 2002. These five trainers from our district's Professional Development Services department represented all three divisions of employees: leadership, instructional and support personnel. Our district truly believes that *A Framework for Understanding Poverty* must be understood and internalized by all employees who come in contact with students, parents, and the community.

The Urban Cohort Initiative began with forty Title I schools, including 33 elementary schools, 4 middle schools and 3 high schools. During the summer of 2002, our Professional Development Services department, led by the five district Ruby Payne trainers, organized and facilitated a summer leadership academy, BUILDING A FRAMEWORK FOR FUTURE SUCCESS, for these urban schools. Each school sent a team comprised of the principal, teacher leader, and classified/support leader to this three-day academy. Part of the academy included a brief overview of Ruby Payne's work and the implications for these schools. This introduction into Ruby Payne's *A Framework for Understanding Poverty* intrigued our participants and prepared them for the next phase of our implementation.

We also invited ACEE (our district's Area Centers for Educational Enhancement) who works with teachers and schools in several counties in central Florida to attend the summer academy. That invitation led to a collaborative and strong partnership with ACEE and the University of Central Florida. Together, we pooled our resources and were able to offer a four-day train-the-trainer workshop with Ruby Payne in Orlando,

Florida (two days in September 2002 and the other two days in November 2002). Each of the forty Title I schools sent 3-4 people from their school to become a Ruby Payne trainer. In addition to the Urban Cohort schools, we invited participants from alternative schools, Workforce, district SAFE team, Curriculum Services at the district office, and representatives from each of the five learning communities in our district. The principal of each school was required to attend, because we felt it was critical for principals to understand in-depth Ruby Payne's work even though they may not be the one who delivers staff development at their schools.

Prior to the train-the-trainer workshop, the five district trainers conducted Overview sessions for the participants. During that Overview, we outlined Ruby Payne's *A Framework for Understanding Poverty* and tied it to the other initiatives in our district. We emphasized that Ruby Payne's work is the foundation for all other district initiatives (Literacy, Curriculum Instruction Alignment and Assessment, etc). We spent time preparing participants for what they would experience at the training and highlighted key points to look for and note during the training. Homework was given to each school team to complete and submit to our office prior to the training. Part of that homework included a list of questions for Ruby, which in turn, we compiled and sent to Ruby's office several weeks before training.

A couple of weeks after the first two days of the train-the-trainer workshop in September, we hosted a half-day follow-up session with the participants. During that time, we processed what we had learned and re-examined the modules covered in the training. Teams had the time to process and reflect on how these modules would look when they take them back to train at their school. We brainstormed potential pitfalls that may arise during the training and possible solutions, proactively and reactively. We then prepared participants for the next two days of training with Ruby which would shift from the culture of the school to cognitive strategies used with students.

District trainers began to work on a Ruby Payne tub for each of the schools attending the training. The purpose of the tub was to provide a security net for the school-based trainer. We focused on Modules One (Overview and Key Points), Module 2 (Resource), Module 4 (Family), Module 5 (Hidden Rules), and Module 6 (Discipline). Each tub has a JUMPSTART section with helpful hints and tips for getting started, a word wall with key concepts; pre-and post-tests for participants, and suggested pathways for training modules after Module One. Each of the modules has a detailed script correlated with handouts and materials, PowerPoint slides and transparencies, and Bridge Articles and suggestions to use as prework or homework for participants. We included work from other researchers and consultants who complement and support Ruby's work along with an appropriate literature section for students with books that correlate with each module. Each tub also has a CD with PowerPoints for all modules, pictures of word walls, and a presentation on the use of word walls.

In addition, we are preparing a DVD for each school that will serve as a personal coach for the trainer. On the DVD the district trainers highlight important facts and reminders for the trainers as they prepare to train each module. To continue that

coaching and supporting role, school-based trainers have been divided among the district trainers. The five district trainers stay in contact with their assigned school trainers via email, phone calls, and personal visits. We have offered to assist in planning modules with the entire school team or in training modules with the school trainer. We are continuing to have follow-up sessions with the school trainers throughout the school year and plan to complete the remaining modules for the tub by this summer.

The next phase of our Ruby Payne implementation is underway. We plan to offer a brief overview for other schools in our district this April because poverty can be found in every school. Beginning in the fall of 2003, we will offer train-the-trainer workshops for schools other than Title I schools. Our goal is to develop and cultivate a cadre of Ruby Payne trainers throughout the district over the course of the next few years. We are also looking at offering training to our In-School Suspension teachers, School Resource Officers, bus drivers, and other support personnel in our district. We are re-examining our new teacher induction program (Great Beginnings), New Employee Orientation (NEO), and Preparing New Principals Program (PNPP) so that we can infuse and imbed essential elements of Ruby Payne's work.

Orange County Public Schools is just beginning the process, and we are excited with the prospects of Ruby Payne's *A Framework for Understanding Poverty*. What has become apparent to us in a very short period of time is the buy-in of the principals, teachers and classified personnel. Ruby's work has impacted our district in a very fundamental way. We feel that we now have a glimpse of understanding, a glimmer of hope, and a better plan to help all children be successful.
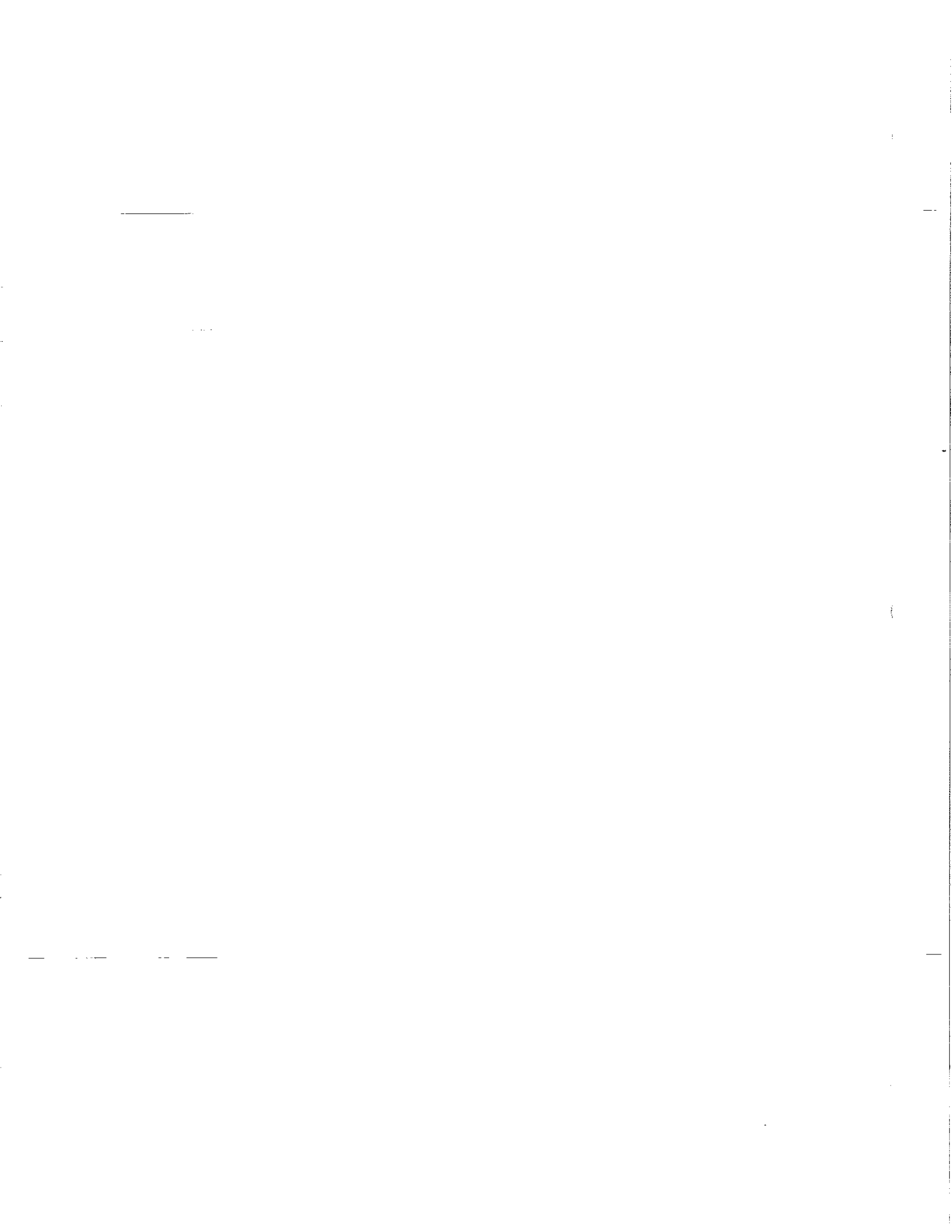
For the past two years, I was privileged to be invited to serve as a review panelist for the prestigious national **DOE Blue Ribbon Schools of Excellence** program. As a former middle school principal for sixteen years, one of my schools had been recognized as a Blue Ribbon School in 1990 and another had achieved state recognition in 1998, so I was always avidly interested in what other schools in this great nation were doing in this with best practices and exemplary performance. I was also very excited to be able to review applications from turn-around schools to read about the main factors in a school making significant reform changes to go from low-performing status to high-performing status.

Thousands of schools had initially submitted applications to their respective state Department of Educations, and these had been initially screened and reviewed and final selections were then sent to the national DOE. About 800-1000 applications were submitted to review panelists for a recommendation for a DOE site visit and then the second stage of the review process determined which applications should go forward for the final selection. Usually, 200-250 schools were finally selected to be honored as a Blue Ribbon School of Excellence at a White House ceremony.

As I read application after application, I always looked for common threads among these schools which led to higher performance. I also carefully scrutinized professional development opportunities that were existent in these centers of learning, collaboration, and achievement. I jotted notes about what I had gleaned from these exemplary K-12 schools and noticed a particular trend in applications from Texas, California, Kansas, Ohio, Georgia, Florida, and other states: Ruby Payne's Training in A Framework for Understanding Poverty was pervasive in turn-around schools and many other schools! Ruby's training was cited in numerous applications as the core of what a faculty used to better understand poverty, the importance of significant relations for children, the key resources that educators must understand about children from poverty, and effective cognitive strategies to enhance academic achievement for all children. So many applications credited Ruby Payne's training as a powerful impetus to increased academic achievement, increased parental and community involvement, a decrease in discipline cases, and a much more collaborative and stronger faculty as a result of better understanding poverty in our schools.

When I returned home, I researched Ruby Payne through the Internet and read more information about her research and her work on poverty. I also discovered two of my colleagues had recently attended one of her two day trainings and were also highly intrigued with her work. As a result, we were able to send a cadre of professional developers to her Train the Trainer Model last spring, and we are now currently providing Ruby Payne's training for teachers and administrators from our Urban Cohort Schools!

Beth A. Provancha
Sr. Director [deceased 2004]
Professional Development Services
Orange County, Florida

Dr. Payne:

I have been a trainer for Framework for Understanding Poverty in the Hesperia Unified School District for over a year now and I wanted to give you some feedback on my experience with the material. Last year I presented this material at 15 of our 18 school sites. Sites all had a two hour overview first, with a selection of the remaining modules based on their interests and needs. I have given a total of over 50 Framework presentations throughout the year.

From the first presentation to the most recent, August 7th, these sessions have been universally received as the most important and interesting materials ever offered in our staff development program. It is right on target for our student population and teachers are seeing the need to consider these issues when dealing with students and parents alike.

A comment from yesterday sums up the response of our teachers "I left the session with a sense of possibility not futility." Yes, we have some challenges ahead of us, but gaining insights into the world of our students has had a huge impact in our district. This change in attitude is reflected in our most recent state assessments. We do have many good things going on in our district but I am confident that the Framework information has been a driving force is assisting teachers in their overall change in thinking.

Thank you and I look forward to continuing to work with your materials for years to come. I hope our paths cross again so I can tell you this in person.

Sincerely,

Carol Lachey, Program Specialist
Staff Development
Hesperia Unified School District

On recent assessments, Hesperia saw growth in the percent of students performing at the proficient or advanced level on the language arts assessment in grades 4 and 9.

From 2001 to 2003, in tracking the results of the Economically Disadvantaged Students, Hesperia Unified School District scores show:
- an 11% increase in the number of 4th graders performing at proficient or advanced and
- an increase of 22% of 9th graders performing at that same level.
- At both grade levels, students are outperforming the county and state averages.

I've provided a comparison with the County, as well as the State. The criterion tracked is what NCLB uses to determine if districts have met their Annual Yearly Progress (AYP) for any/all sub-groups within a school or district.

HUSD - Hesperia Unified School District

2001 SES   % Prof/Advan   Language Arts

Grades	**4th**			**7th**			**9th**		
	HUSD	County	State	HUSD	County	State	HUSD	County	State
	15	14	16	16	13	14	12	11	12

2002 SES   % Prof/Advan   Language Arts

Grades	**4th**			**7th**			**9th**		
	HUSD	County	State	HUSD	County	State	HUSD	County	State
	23	17	19	17	15	16	16	14	15

2003 SES   % Prof/Advan   Language Arts

Grades	**4th**			**7th**			**9th**		
	HUSD	County	State	HUSD	County	State	HUSD	County	State
	26	22	24	15	18	19	32	20	20

"Few people have the ability to innovate, animate and elevate in the context of storytelling, yet Ruby Payne does just that. After a speech to my foundation colleagues, I could tell that the audience was intellectually provoked and abuzz in chatter about the subject. Mind you, grant makers can be a tough crowd - they have heard virtually every pitch for every condition known to man. Ruby Payne broke through the clutter of conventional "fixes" and wryly uses humor to get to their cerebellum. We are in debt for her wit and wisdom."

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Maggie McCarthy, Executive Director
Rapoport Foundation

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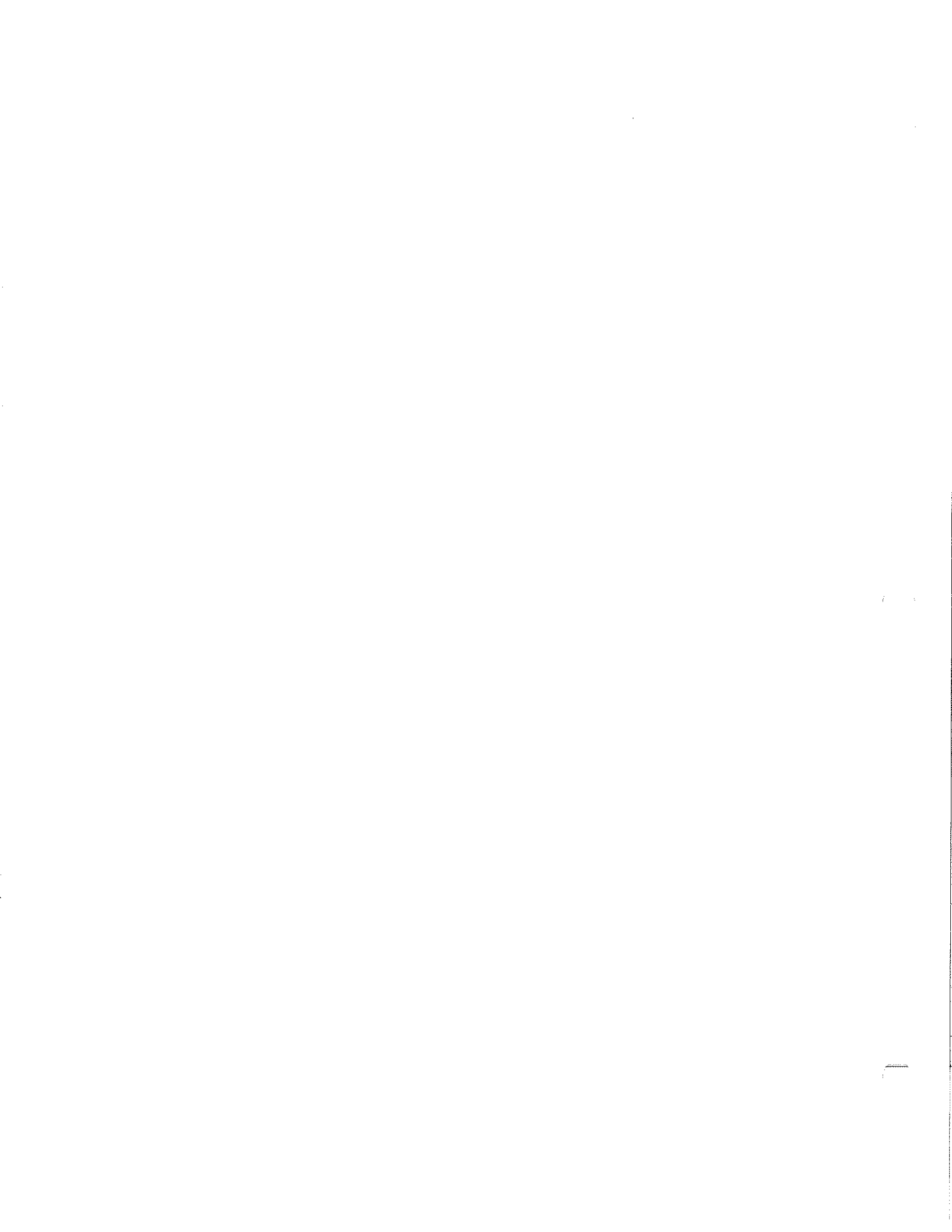
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Who is Ruby Payne?

Research and Work

Ruby K. Payne, Ph.D.

Applying Payne Model

Endorsements

July 1, 2005

Publications