An Integrated Program For Effective Organizational Change Within A School District Involving Staff, Student, And Citizen Participation (Group Culture, Management Skills, Team Building, Integrated Planning, Incentive)

Patricia Schofield Schank

University of Nevada, Las Vegas

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AN INTEGRATED PROGRAM FOR EFFECTIVE ORGANIZATIONAL CHANGE WITHIN A SCHOOL DISTRICT INVOLVING STAFF, STUDENT, AND CITIZEN PARTICIPATION

University of Nevada, Las Vegas

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AN INTEGRATED PROGRAM FOR EFFECTIVE ORGANIZATIONAL CHANGE
WITHIN A SCHOOL DISTRICT
INVOLVING STAFF, STUDENT, AND CITIZEN PARTICIPATION

By
Pat Schank

A dissertation submitted in partial fulfillment of the requirements for the degree of

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in

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Department of Educational Administration and Higher Education
University of Nevada, Las Vegas
May, 1985
The dissertation of Pat Schank for the degree of Doctor of Education in Educational Administration and Higher Education is approved.

Chairperson, Dr. Anthony Saville

Exchanging Committee Member, Dr. George Kavina

Exchanging Committee Member, Dr. George Samson

Graduate Faculty Representative, Dr. Ralph Roske

Graduate Dean, Dr. James Adams

University of Nevada
Las Vegas, Nevada
May, 1985
Abstract

AN INTEGRATED PROGRAM FOR EFFECTIVE ORGANIZATIONAL CHANGE
WITHIN A SCHOOL DISTRICT INVOLVING
STAFF, STUDENT, AND CITIZEN PARTICIPATION

Pat Schank

The purpose of this study was to develop an integrated program for effective organizational change within a school system involving staff, student, and citizen participation. Concepts and practices pertinent to strategic planning and in harmony with systems theory were examined and applied to educational planning. The complex human elements of an organization that can act as barriers against or channels for facilitating planned change were reviewed as interdependent with strategic planning and participative decision-making.

Five steps to organizational success were presented as forming an integrated approach to planned change within a school system. Built upon each other in sequential order to form a solid strategic structure, these key concept areas include group culture, management skills, team building, integrated planning, and incentive programs. Through a three-dimensional view of the school system, the unconscious and nonrational aspects of human life merge with strategies, structures, and incentives to form a dynamic, integrated whole greater than the sum of its parts.
An ongoing cycle for planned change was identified as focusing on the implementation of strategic planning and organizational growth. The six phases for planned change include diagnosing needs, obtaining support, identifying strategy, prescribing action, implementing plans, and evaluating results.

Nationwide data pertaining to educational planning and organizational change were reviewed and analyzed. A handbook was developed and included as an aid to managers in conceptualizing and applying an integrated approach to organizational success in the school system. Participative management, system analysis, formative evaluation, forecasting, group culture, motivation, and productivity were each considered within the construct of organizational change. Interacting human elements and active involvement of stakeholders were identified as key issues to effecting change within a school system.
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CHAPTER 1
The Problem

Introduction

For more than 200 years of this nation's history, education was perceived as a valuable commodity. The apparent need for refining that commodity significantly increased over the past two years. As observed by Harold Howe, an overwhelming number of national reports and studies released within a brief span of time depicted "a newfound enthusiasm for improving education in America" (1983:67).

Education was consistently viewed in recent months as a highly newsworthy topic which was subject to front-page headlines on a day-to-day basis. In fact, no subject was highlighted more by local and national news commentators. Education was riding the crest of the national agenda, reported Paul Salmon in The School Administrator (1983:10).

This flurry of attention became the wave of the future as political leaders took hold of an issue which was fast becoming an expedient theme to endorse. As described by Phi Delta Kappan editor Robert Cole (1983:2), the nation's Chief Executive, presidential candidates, corporate executives, university presidents, governors, congressional leaders, and state legislators mounted a crusade to improve the schools and effect massive restructuring of American education.

More and more people were seeking to participate in decision making for education. School improvement was no longer a spectator
subject, noted Glenys Unruh in an article entitled "Curriculum Politics" (1983:100):

This is a time in which many individuals are supercritical, even cynical about the schools. This has come about as greater and greater hopes and expectations have been pinned on education and as more people are affected by the educational process.

Although the quality and status of education were studied with keen interest over the years, never at any time in American history were there so many educational analysts clamoring simultaneously to share their observations and advice. According to Harvard professor Patricia Cross (1984:67), at last count there were about 30 national reports on educational reform, most of which concluded that "excellence must be found and returned to the schools." In addition, the 50 states appointed nearly 300 task forces and "sent them forth in search of excellence."

Chester Finn, a professor at Vanderbilt University (1983:15), noted an "important commonality" in the increasing number of popular magazine articles, newspaper editorials, books, citizen task force reports, and declarations from business leaders, school boards, and state capitals:

We glimpse fresh ideas, renewed commitment to educational standards . . . and a hot, bright faith in the importance of high quality education for the individual and the nation alike. We are in the midst of an educational reform movement of epochal proportions. Its impetus comes not from the federal government or the profession but from the people.

The fact that education was a vital concern to Americans was substantiated by recent polls. In the 1982 14th Annual Gallup Poll of
the Public's Attitudes Toward the Public Schools, 84 percent of those responding ranked "developing the best educational system in the world" as "very important," far above industrial production (66 percent) or military strength (47 percent). This same survey of attitudes showed eight Americans in ten regarded schools as "extremely important to one's future success" (Gallup, 1982:37).

In 1983, (Gallup, 1983:33) 70 percent of those responding whose children attended public schools indicated they would pay more taxes if necessary to raise the United States' standard of education. The importance of a college education was expressed by 89 percent of the respondents.

Although public education was important to Americans in 1983, most citizens were poorly informed about their local schools. Only 22 percent maintained they knew "quite a lot" about schools; the rest admitted they knew "some," "very little," or "nothing" (Ibid., p. 39).

Only 31 percent of those who responded in 1983 gave public schools a rating of "A" or "B" in general. This percentage was down from 37 percent in 1982 and 48 percent in 1974 (Gallup, 1983:33; Gallup, 1982:39; Finn, 1983:15).

In summary, we became a society that esteemed education, that was poorly informed about local schools, and that was not pleased with the quality of its educational systems. Utilizing the democratic process, educational reform was a logical consequence.
Significantly, the downward trend in the public's rating of the public schools as recorded in Gallup polls ended in 1984. Forty-two percent of those interviewed gave an "A" or "B" rating to the public schools in their communities, up sharply from 31 percent in 1983. The last time the ratings were this high was in 1976. It was also noteworthy that parents gave their schools a rating of 52 percent "A" or "B" in 1984 as opposed to 42 percent in 1983. Some reasons for these changes were:

The higher rating given the schools this year may have resulted from two developments. First, the reports of the national commissions that have examined schooling in America have caused widespread debate concerning the quality of public education. Citizens have taken a closer look at their own schools and presumably found them better than they had previously believed. Also, many schools have heeded the criticisms made in the reports and have instituted reforms in their educational programs (Gallup 1984:25).

The most recent forces for change differed significantly from earlier educational reforms (Finn, 1983:15):

1. This movement was decentralized and dispersed, not articulated, channeled, and financed by the federal government;

2. It focused on standards and quality, not on educational access and equity;

3. It was led primarily by interested parents, employers, and elected officials, not catalyzed by professional educators.

Marx (1983:17) attested to the increased broad based concern in the American society for high quality education shared by parents, educators, senior citizens, business people, and government leaders.
Salmon (1983:11) also recognized this trend: "It is clear now that the American public is willing to pay more for education if better education will be provided for their children," he observed.

The May 31, 1983 Washington Post headline story declared:

The President's new emphasis on education came about in part because of polls done for the White House by Robert Teeter and Richard Wirthlin. They show that as economic worries have begun to ease, schools and education have surfaced as strong public concerns. . . . The notion of a good education for your children is as strong a value as there is in this country (Ibid.).

Lipham (1982:18) acknowledged that parents and citizens were demanding a stronger voice in the administration and operation of their schools. Yet parent participation in the U.S. public schools was not unique or even novel, maintained Johnston (1985:430):

Parents have been serving on school committees and running Parent/Teacher Associations for years. Within the past decade, however, parental pressure for more significant involvement in the schools has increased across the nation. Aware of the difficulty that such participation can entail, school administrators and teachers have often responded to this pressure with hesitancy, skepticism, and--sometimes--hostility.

This observation of potential conflict agreed with the findings of a three-year, six-state study conducted by the Southwest Educational Development Laboratory ("Parents Want Stronger Role," 1983:253). According to the results of this study, parents wanted to be more involved in school decisions that directly affected their child, but teachers and principals were reluctant to give them a stronger role.

An American School Board Journal editorial ("Use This Advice to Strengthen Community Links," 1984:38) noted:
Too often, schools and their community are like shy suitors: They want to get to know one another, but each is hesitant to take the first step. And when they're thrown together, the partnership is likely to fizzle unless it has clear direction.

In the past, educational leaders were able to meet increased community expectations through growth of programs and additional facilities. Yet there were fewer opportunities for expansion available recently. Thomas Shannon, Executive Director of the National School Boards Association, noted that an increasing number of school board members were reaching out, recognizing they could not handle the job of public education alone (Liebertz, 1983:26). School officials were more conscious of the need to cultivate citizen endorsement of the schools over a long term, not just to support the next budget or to pass the next bond election.

However, the climate was right for requesting financial assistance, as stressed by Shannon (Ibid.):

For education to compete successfully for its "fair share" of public sector money, its leadership must act upon the public's increased willingness to participate in the educational process.

William M. Kendrick, Superintendent of Schools in Salem, Oregon, described taxpayers as the "stockholders" in the community business of which he was the "Chief Executive Officer." "We have to give the stockholders some concrete reasons for sticking with us or they'll just write us off," he cautioned (Liebertz, 1983:27).

When asked what he wanted out of community involvement, Billy Reagan, Superintendent of the Houston Independent School District, emphatically replied:
Understanding of the issues involved today in public education. Did you ever stop to think about the genius that is America? This genius is manifested when America's people sit down and let their intellect work to come up with the best solutions. If we're going to solve our problems, we need to understand what they are and communicate ways to solve them ("Panel Discussion Pinpoints Problems," 1982:21).

The educational trend moved away from community involvement in the early 1900's, attested Carolyn Kump, President of the Salt Lake City Board of Education (Ibid.):

At that time a situation developed in which professional educators told parents, "Don't get involved. We know how to train your kids." Fortunately, we are now returning to strong citizen involvement in the schools, which is how the public school system should operate.

In recent years, the parent's role increasingly became that of participant, active consumer, decision maker, and advocate ("Community Outreach," 1983:4).

Many educators recognized the need to encourage a deeper commitment from parents. Walter Talbot, former Utah superintendent, urged educational leaders to "shift gears and approach citizens with the attitude that 'this school is yours, and I'm going to provide an outreach program to involve you or at least to facilitate your involvement!'" (Liebertz, 1983:27).

David Else, Superintendent of the Galva-Holstein public schools in Holstein, Iowa, defined the philosophy of his school board in this affirmative statement:

Parents ought to be involved in all aspects of public schooling. The reason: We believe that when students see their parents involved, the kids place greater importance on their own schooling. What's more, parental involvement accomplishes these four things: It strengthens our bond
to the community; it conveys information from schools to parents; it helps develop public confidence in school curriculums; and it encourages community residents to evaluate schools in terms of students' needs (Else, 1983:34).

A partnership between schools and the community increased the quality of the product. David Seeley (1984), a former assistant U.S. Commissioner of Education, clarified the partnership concept:

The students, of course, do the primary work, but teachers, parents, peers and citizens help and support their work. Productivity is high because there are clear goals, and many people are working in partnership to achieve them.

This also may seem like common sense, but is all too rarely found in our schools. A major reorientation of schools and communities will in fact be needed to get education working on this kind of productive, partnership basis.

The time for such a partnership was long overdue. "The community is ready," proclaimed William Liebertz, President of the National Community Education Association (1983:27). "Parents, non-parents, the private sector, and community agencies want to be our partners in education. The crisis of confidence is real."

Recent reports warned that America was threatened by a dangerously declining investment in education. Our national security, our economy, and our nation's competitive position in the world were declared at stake, as noted by Salmon (1983:10). This further enhanced the potential for school and community partnership. "People have a tendency to rally around a common threat or a common opportunity," noted Gary Marx, Associate Executive Director of the American Association of School Administrators (1983:17).
Chester E. Finn, Jr., professor at Vanderbilt University in Nashville, Tennessee (1983:22), maintained that an increased level of citizen participation in education was inescapable:

... in the past several years, the American people have moved from wanting better education for their children to demanding it, and the great political, economic, and cultural institutions of this society are beginning to respond to their demand. That the federal government has practically nothing to do with that response is immaterial. Though its leadership and resources would be welcome, they are not necessary. The reform tide is running strong. What remains to be seen is whether the education profession has the vision and skill to harness its energies and channel its flow, or will be swept along, gasping, flailing, and occasionally sinking beneath the waves.

The time was ripe for improving schools through a partnership effort. Gale Bartow, President of the American Association of School Administrators (1983:2), urged educators to capitalize upon this time in history with the following exhortation:

What a golden opportunity to build unity among staff and community for making schools even more effective! Our communities are looking to us for leadership, not defensiveness. The ball is in our court.

There was no universal, clear-cut method identified for achieving change. White (1982:5) suggested that community needs must be addressed individually:

Since schooling takes place locally, ultimately each school and community will have to set its own priorities based upon its own unique needs. Usually this is done without much community input, but this time around perhaps out of necessity that process must change. (Perhaps it is time to publicly talk about the implications of tracking, standards, balance between courses, length of school days, allocation of resources, and the compensation system.) For instance, one survey shows business as perceiving many high school graduates lacking the skills required for success in the workplace, while many of the educators believe their graduates possess the skills business needs.
With education high on the nation's agenda, educational leaders were given the clear direction not only to improve their product, but to build citizen support in the process. As educators bridged the gap between schools and the community they serve, they jointly planned ahead. Together they began to anticipate what might happen as well as to affect what does happen. Diane Ravitch, author and associate professor at Columbia University (1983:317), crystallized this concept in the following manner:

Despite the well-known dangers of prediction, the field of education is dependent on future-thinking. By its very nature, education is a forecast, for in deciding what children (or adults) should learn, we are making a statement about what they will need to know in the future.

A Learning Trends editorial analysis ("Community Outreach," 1984:1) further defined the process of forecasting:

Restructuring schools for our evolving information society requires us to pay attention to changes in the world, nation, and state and to understand their implications for education. We also must scan and reevaluate another environment, the local community, to identify new student needs to determine what will work in schools of the future. A careful look at our school communities will show us how communities are changing; we will see that schools cannot serve their communities unless they are an integral part of them. . . . The task facing educators is to strengthen the sound core of education programs and provide new programs tailored to community differences and involving the total range of the community's resources.

The challenge was given to develop a process for involving parents, citizens, and the entire community in educational planning. Such a process helped both citizens and professional educators define their roles in the school partnership as they shared in the responsibility for actualizing educational goals.
Statement of the Problem

The purpose of this study was to develop an integrated program for effective organizational change within a school district involving staff, student, and citizen participation.

The study addressed the following questions:

1. What organizational factors acted as barriers against or channels for facilitating planned change?

2. What effective methods were integrated for accomplishing organizational change?

3. How were staff, students, and citizens involved and interrelated in the planning and changing processes?

4. What were the sequential steps and related time lines for initiating and achieving planned change?

5. What human resources were required for the implementation of effective organizational change?

6. How were the integrated methods for planned change evaluated?

Significance of the Study

The National Commission on Excellence in Education (1983:32) stressed the "crucial leadership role" school administrators played in setting educational goals and developing community consensus behind them. "Of all the tools at hand," its report declared, "the public's support for education is the most powerful." The report further urged the development of educational leadership skills involving persuasion and goal setting, then developing community consensus behind them.
The Connecticut State Department of Education (1980b:4) articulated the need for a planning model which included the involvement of students, parents, and the community:

In the past, a few key individuals within a district could single-handedly make rational plans. Today, however, there is an overabundance of relevant data, the level of educational technology is constantly changing, and new, effective programs are being developed almost daily. Schools are being asked to solve broad, complex social problems and to serve an increasingly diverse clientele--students, parents, and community. For these reasons educators must employ a more rational, systematic means of decision-making.

Planning is no panacea, but it does provide a framework for viewing change and coping with it. It provides a measure of control over the type of day-to-day changes that will occur and a method of responding to them. Planning also provides the means to determine present and future needs and the tools and time for developing programs to meet those needs.

In order to make timely decisions, it is necessary to know a district's strengths and weaknesses and how others perceive them. The school serves various interests and publics such as parents, students, teachers, and other citizens. It is necessary to know how the various publics view their system in order to serve them. In some cases the data and citizen perceptions will agree, but in others new weaknesses may be revealed. In still other cases, the district may discover that performance levels in a given area are higher than the public perception of that performance, revealing a need to keep the public better informed.

Banach (1983:9) urged Nevada school boards to follow a clearly-defined cycle for planned change:

Develop plans to find out how well you and your people are addressing the educational needs of your community. If your mission is spelled out ahead of time and everyone understands the expectations, evaluation becomes easy . . . and relevant. And that will produce next year's goals and an even better school district . . . . Begin by asking the people in your community what they expect from their schools. Then do some planning, and give the people what they want . . . or thoroughly explain why you can't.
Public sentiment for staff and community participation in educational planning and change in Clark County, Nevada, was measured by editorials heralding the beginning of a comprehensive master plan development. The October 3, 1983 Las Vegas Review-Journal ("An Education Plan That Promises A Lot," 1983:6B) praised staff and citizen involvement in planning for change:

The beauty of Wentz's master plan rests in its advisers. Not only will school administrators, teachers, parents, and the general public provide insight, each and every district employee has been invited to participate from the beginning. . . . This is the sort of far-sighted action Clark County needs to ensure its young citizens receive the best and most efficient education possible, from kindergarten through high school.

Without it, we would be whistling in the wind. With it, constructive suggestions can prompt remedial measures.

The editorial in the November 23, 1983, Valley Times ("We Applaud School Chief for Master Plan Idea," 1983) endorsed an integrated planning process:

. . . we are pleased to note that Superintendent of Schools Dr. Robert Wentz has launched a new, comprehensive program to evaluate just how we're doing, what we're accomplishing and where we're going in education here. . . . We applaud Bob Wentz and his staff. We are in awe of the undertaking he has launched. Its very beginning suggests to us a serious-minded dedication to the cause of excellence in education--one for which this community should be thankful.

The editorial in the Las Vegas Sun dated October 16, 1983 ("School Master Plan Enlists Good Help," 1983:18) cited in some detail the structure of the local educational planning model in its early stages. It ended on this note of support for community involvement:
We applaud the efforts of Wentz and the school board to include the public in the planning process. Schools, like other public entities, will face a tough battle for funds at the 1985 Legislature.

The master plan itself will show legislators that schools have specific goals for improvement. More important, by having so many authors, the master plan will prove Southern Nevadans have a strong interest in their children's education.

Assumptions

For this study, the following assumptions were made:

1. Planning for change within an organization was a deliberate attempt to change the natural course of events.

2. There was a demonstrated need to plan for the future within a school district to improve performance and increase productivity.

3. Staff, student, and citizen participation in planning for change increased community ownership in the final product.

4. Planning by itself was not enough to produce change unless accompanied by a feasible method for implementation.

Limitations

The following limitations applied to this study:

1. Systems theory was specifically identified as the theoretical base.

2. The study was developmental in design.

3. Research for developing an integrated program for planned change was extrapolated from business management methods, organizational models, and planning designs used within educational systems.
4. The developmental process, from initial research through completion of a handbook for effective organizational change within a school district, was limited to a period of two years.

**Research Design**

In the study of administrative theories, systems theory consistently surfaced as a framework for understanding the functioning of organizations. As a consequence, systems theory was selected as the theory base for this study.

A review of related literature included definitions of systems theory, the rationale for systems theory development, and the nature and functions of open systems. Contributions by the following theorists and systems analysts were reviewed: Kast and Rosenzweig (1979), Blendinger (1969), Granger (1971), Kimbrough (1983), Mitchell (1978), Barnard (1938), Simon (1945), Argyris (1962), Miller (1978), Perrow (1979), Pfeffer and Salancik (1978), Bertalanffy (1968), Katz and Kahn (1978), Miles (1975), and Immegart and Pilecki (1973).

Systems theory was applied to educational planning with a step-by-step comparison of the concepts previously reviewed.

Several concepts and techniques pertinent to long-range planning and in harmony with systems theory were examined in the works of Hamilton (1975) and Naisbitt (1982). Nationwide data pertaining to educational planning and change was surveyed from a variety of historical and current sources.
Definition of Terms

**Systems Theory Terms**

**Culture:** The context within which the social system functions (Kimbrough, 1983:307).

**Holism:** The theory that interacting wholes are greater than the sum of their parts (Mitchell, 1978:25).

**Integration:** The act of uniting with another organization or another subsystem within the same system to blend into a whole. It is made possible when boundaries are relatively permeable (Kast and Rosenweig, 1979:114).

**Suprasystem:** The overarching, hierarchical structure encompassing several related systems which are delineated by identifiable boundaries (Kast and Rosenweig, 1979:98).

**Planning Terms**

**Force field analysis:** A technique for systematically looking at the human forces for and the human forces against a plan (Hamilton, 1975:106).

**Formative evaluation:** The process of measuring or appraising the worth of a project throughout its developmental stages. Its purpose is to ensure accurate and immediate information for decision making while the project is in progress (Hamilton, 1975:25).
Megatrends: The major directions of social change in the United States determined by content analysis of forced choice in a closed system (the "news hole" in newspapers) (Naisbitt, 1982:2).

Strategic Planning: The process of establishing the major direction or mission of an organization (McConkey, 1983:59).

Organization of the Study

This study was divided into five chapters:

1. Chapter one included an introduction to the study, the purpose of the study, and a statement of the problem. These were followed by assumptions, limitations, research design, definition of terms, and organization of the study.

2. Chapter two presented a review of literature pertaining to systems theory as a theory base for this study, systems theory applied to educational planning and change with a step-by-step comparison of the concepts previously reviewed, several concepts and techniques pertinent to integrated planning and organizational change in harmony with systems theory, and nationwide data pertaining to educational planning and change.

3. Chapter three described the rationale for developing an integrated program for organizational change within a school district involving staff, student, and citizen participation.
4. Chapter four included an introduction to and a brief outline of a handbook (see Appendix C) entitled *School System Strategy and Structure: 5 Steps to Success*.

5. Chapter five provided a summary of the developmental study, conclusions, and recommendations for further study.
CHAPTER 2
Review of Literature

Systems Theory as a Theory Base

Rationale for Conceptual Thinking

"In many cases administrators seemingly approach events and problems in a concrete, isolated, and specific manner," observed Kimbrough (1983:316). In dealing with the immediate realities of a situation, thought was given to little else besides addressing the crisis at hand. While recognizing the need for resolving immediate conflicts, the systems-oriented administrator approached situations with the understanding that there were "general principles that can usually be applied to the specific" (Ibid.). Conceptual thinking was thus focused on broad concepts which were applied to a particular instance.

Definition of Systems Theory

Kast and Rosenzweig (1979:98) portrayed a system as "an organized unitary whole composed of two or more interdependent parts, components, or subsystems and delineated by identifiable boundaries from its environmental suprasystem."

Systems theory (Kimbrough, 1983:269) was viewed as "a frame of reference for analysis." Blendinger (1969:56) further defined systems theory:

Systems analysis is the process of breaking down or taking apart an existing whole into its constituent parts
or elements for the purpose of depicting the relationships of the parts to the whole and to each other.

Granger (1971:94) gave yet another description of systems theory:

The generic term system analysis is employed to describe a general planning or macroanalytic process which involves looking at a problem or system organismically as well as analytically.

The systems approach (Mitchell, 1978:25) emphasized that "it is the whole, the combination, and interrelationships of parts that will provide the greatest insights." Kimbrough also viewed the organization as a system (1983:292):

To understand a phenomenon we must recognize that the whole is greater than the sum of its parts. Any analysis of the parts without consideration of how they interact is inadequate.

**Need for Systems Theory Development**

Prior to its articulation, Barnard (1938:289) protested the lack of a systematic concept founded in the social sciences. He envisioned such a scheme as vital for communication as well as for understanding organizations. Simon (1945:240) further emphasized Barnard's argument by claiming an approach was needed in administrative theory which identified conditions under which administrative principles should be applied.

**Nature and Functions of Open Systems**

Argyris (1962:61) viewed an organization as an open system that acted on and reacted to its environment. He identified three fundamental activities of an organization: (1) achievement of
objectives, (2) internal maintenance, and (3) adaptation to the external environment. He projected that organizational growth was a function of the extent to which these activities were carried out.

**Permeable Boundaries.** "Open systems have relatively permeable boundaries," proposed Miller (1978:18). Energy and matter exchange occurred between the system and its environment as it received inputs and provided outputs. Units within the organization were not able to interact with units in the environment if organizational boundaries were not crossed over.

"Because the boundaries can be transcended, events in the environment can affect the internal structure and activities of the system," advised Kimbrough (1983:299). Several theorists contended that there was inadequate attention given to this "most powerful influence" on organizations (Perrow, 1979; Pfeffer and Salancik, 1978).

The boundaries of an organization were also in contact with the boundaries of numerous other organizations. Because these boundaries were relatively permeable, many authors suggested a major function of organizational management was to "serve as an agent to ensure integration and cooperation" (Kast and Rosenzweig, 1979:114).

**Hierarchy and Integration.** System theorists maintained that all concrete systems with any degree of complexity were hierarchical: all systems, except the very smallest, were composed of subsystems; and all systems, except the very largest, were part of a suprasystem (Miller, 1978:4).
Kast and Rosenzweig (1979:108) stressed integration and holism when they conceptualized that all related subsystems interacted, each making contributions to the system of which it was a part. Of the five interacting subsystems they defined as components of an organization, two were particularly pertinent to this study.

The goal and values subsystem of an organization derived many organizational values from the environment. The organization itself as a societal subsystem existed to accomplish specified goals "assigned" by the society. By continuing to receive needed inputs to sustain itself, the organization gave required attention to the values and goals of the society (Kast and Rosenzweig, 1979:109).

The managerial subsystem spanned the total organization as it focused on environmental linkages, goal setting, planning, structure design, development of control processes, and formative evaluation (Ibid., p. 110).

**Combating Entropy.** All systems over time tended to pass from ordered arrangement to disorder and disorganization as energy was converted into an equivalent amount of work. This chaos or lack of patterning which evolved in a system was known as entropy (Miller, 1978:13).

This tendency toward a decrease in order and an increase in disorder was minimized in open systems to the extent that they exchanged matter, energy, and information with their environment. These inputs virtually "arrested" the tendency toward entropy. In
fact, on occasion they even established greater order (Bertalanffy, 1968:18).

When an open system (1) continually used the inputs of matter, energy, and information, (2) transformed these, (3) provided outputs to the environment, and (4) thus achieved a state of balance internally and with its environment, it entered into a "steady state" or "dynamic equilibrium." The open system adapted in response to changes in the environment.

Changes in the environment threw the system into a state of imbalance. An open system accommodated these changes and returned to a steady state. In responding to changes in society, an organization survived indefinitely by the continued and appropriate use of inputs (Kimbrough, 1983:301).

In the effort to survive and maintain balance, social systems used both adaptive and maintenance devices. Without maintenance devices, changes occurred so rapidly that the several subsystems were out of balance. The adaptive devices ensured response to changes both internally and externally; thus dynamic equilibrium was maintained (Katz and Kahn, 1978:51).

**Feedback.** A response to output which helped a system modify its future functioning, feedback was either positive or negative. Positive feedback reinforced the system's action and caused the system not to adapt to change. Negative feedback opposed a system's action and encouraged "corrective activity" to maintain a steady state. Some
feedback was probably internal; however, much of the feedback expressed in organizations came from "sources external to the system" (Granger, 1971:30).

Feedback damaged an organization if it was (1) only one-sided, (2) inaccurate, (3) insufficient in amount, or (4) inadequately processed. Any of these conditions made it impossible to correctly determine if a system's outputs were in need of alteration (Kimbrough, 1983:303).

The following concepts were applied to system feedback:

1. Too much negative feedback was depressing to the members of a system.

2. Too much feedback resulted in "system overload" and increased entropy.

3. Organizations demonstrated the need for a balance between positive (reinforcing) and negative (critical) feedback, in amounts that were processed, to maintain a steady state.

4. The feedback was both internal and external; internal feedback kept the subsystems in balance and external feedback indicated how the organization's outputs were received by the environment (Ibid.).

**Equifinality.** Open systems exhibited equifinality, which was the "property of a system which permits different results from similar inputs and similar results from alternative inputs" (Granger, 1987:30). This concept was applied to systems in the following ways:
1. Organizations had varied input levels of human and fiscal resources, yet still achieved similar goals.

2. Organizational outputs varied widely even though the inputs were "equal."

3. There was no "one best way" to achieve any particular organizational goal; instead, there were a number of acceptable alternatives.

This concept led to "contingency theory," which maintained that what may be appropriate in one situation may not be in another. It was noted, however, that it was deceptively easy to justify current practices by accepting every situation as different (Miles, 1975:247).

Immegart and Pilecki (1973:42) proposed the concept of equifinality in concise summary:

1. It opened the horizons regarding alternatives.

2. It underscored the need for goals.

3. It emphasized the rational progression from an initial state to the desired goal, using appropriate procedures.

4. Goal realization was not determined by initial states and procedures in and of themselves.

5. Goal realization was the result of "appropriate, planned system activity directed toward real and feasible goals."
From Conceptual to Concrete

As an educational organization was viewed conceptually, examining the parts in relation to the whole and in relation to each other, the impact of a given action was viewed in terms of both its short-term and long-term effects. When there was a concern for linkages in time and space, there was also a concern for the future. The logical outgrowth was integrated educational planning.

Long-term goals were recognized and short-term goals which were consistent with them were identified. As an issue was analyzed and alternatives proposed, those alternatives were evaluated in terms of the desired goals to be achieved.

Systems theory was applied to educational planning as a way of explaining what was observed, making predictions about what would occur, and guiding actions (Kimbrough, 1983:307).

Definition of Systems Theory

The "general principles" of systems theory were applied to the "specifics" of educational planning:

1. The "system" (Kimbrough, 1983:309) was defined as the school district, with interdependent subsystems defined as the major areas of operation and function. Identifiable boundaries were determined by separation of tasks.

2. The environment "suprasystem" (Kast and Rosenzweig, 1979:98) included parents, community members, business and industry members, and
elected officials, as well as the organizations they represented.

3. "Systems analysis" (Blendinger, 1969:56; Granger, 1971:94; Kimbrough, 1983:296) included identifying the major areas of school district operation and function, analyzing how they were related and the role each filled in relation to the overall district.

4. "Holism" (Mitchell, 1978:25; Kimbrough, 1983:292) suggested that school districts created a larger impact than simply the sum of their major areas of operation. A study of the interrelationships of these areas provided insights in planning.

5. The "fundamental activities of an organization" (Argyris, 1962:61) provided the rationale for planning. Among these were: to achieve educational objectives; to maintain a high quality internal organization; and to respond to the values of the community served.

Permeable Boundaries.

1. In educational planning, major areas of operation benefitted from interaction with units in the environment; these "inputs" and "outputs" had a "powerful influence" on the system (Perrow, 1979; Pfeffer and Salancik, 1978).

2. As events in the environment were dealt with in planning, they affected "the internal structure and activities of the system and subsystems" (Kimbrough, 1983:299).

3. A major function of management in educational planning was to "serve as an agent to ensure integration and cooperation with the community" (Kast and Rosenzweig, 1979:114).
Hierarchy and Integration. (Miller, 1978:4; Kast and Rosenweig 1979:108)

1. All school districts were composed of subsystems and were part of a suprasystem.

2. Major areas of operation and function (subsystems) within a school district (system) were related and interacted in planning, each impacting the other subsystems as well as the system.

3. The school district existed to accomplish specified goals assigned by its society (suprasystem). If the district sustained itself, it continued to receive those needed inputs which reflected the values and goals of the society.

4. It was the role of the school district's managerial subsystem to focus on environmental linkages, goal setting, structure design, development of control processes, and formative evaluation when addressing long-range educational planning.


1. Inputs and outputs exchanged between a school district and its environment tended to arrest the movement toward disorder (entropy) which evolved over time in a system.

2. School districts anticipated and accommodated future changes in the environment through the process of integrated planning.

3. Adopted policies, defined procedures, established structures, managerial hierarchy, negotiated agreements, and state
laws all acted as ongoing maintenance devices to prevent changes from occurring too rapidly for a school system to accommodate them.

4. In certain school districts, integrated educational planning (which included a wide range of inputs and feedback as a result of staff, student, and citizen participation) acted as an adaptive device to ensure response to both internal and external changes.

Feedback. (Granger, 1971:30; Kimbrough, 1983:303)
1. School districts received feedback in educational planning through staff, student, citizen, and media participation and reaction.
2. Feedback in planning helped districts anticipate and accommodate future changes in the environment, as long as that feedback was balanced, accurate, sufficient, and adequately processed.
3. Staff and student participation and reaction (internal feedback) helped to keep school district subsystems in balance.
4. Citizen and media participation and reaction (external feedback) indicated how school district outputs were being received by the environment.

Equifinality. (Granger, 1972:30; Miles, 1975:237; Immegart and Pilecki, 1973:42)
1. There was no "one best model" for staff, student, and citizen participation in educational long-range planning. What was best for a particular school district depended upon internal and external factors unique to that system.
2. When undertaking educational planning, it was important not to attempt to rationalize current practices in a district solely on the premise that every situation was different.

3. Feasible goals as a foundation for educational planning were essential.

4. In school district planning, there was no guarantee that specific procedures in and of themselves guaranteed goal realization. Similar subsystems began at the same starting points and employed the same methods, yet still obtained different results.

5. Equifinality presented an increased need to emphasize rational progression and appropriate procedures in an effort to reach desired goals in educational planning.

Summary

Systems theory was of great value to the educational administrator as a frame of reference for long-range planning. An administrator utilizing this approach in planning:

1. emphasized goal orientation;
2. sought both internal and external inputs;
3. considered the totality of the situation;
4. was aware of the dynamic interrelations among groups, events, and ideas;
5. sought feedback;
6. examined various alternatives;
7. applied a formative evaluation process; and
Management Techniques for Long-range Educational Planning

Needs Assessment

The four basic steps to a formalized needs assessment process included:

1. identifying areas of concern;
2. determining what the conditions were (what was);
3. clarifying values or criteria (what should have been); and
4. listing the needs (discrepancy between what was and what should have been) (Hamilton, 1975:42).

Identifying areas of concern was a process for gathering a broad spectrum of issues. It consisted of asking parents, teachers, and students what important things the schools should accomplish. These issues were then analyzed and refined into a set of concerns which all involved agreed upon.

Determining present conditions required research, with data sources listed, gathered, summarized, and thoroughly studied.

Clarifying of values or criteria required agreement upon those things which were determined to be most important. In addition to a statement of purpose, philosophy, goals, or objectives, it was helpful to look at how the original issues were prioritized to determine those things most highly valued. Listing the needs then became a natural outgrowth (Hamilton, 1975:31).
Formative Evaluation

Evaluation was a process which provided for the systematic measurement of the merit of a project or program. When this process was applied throughout the development of a project, it was called formative evaluation. Formative evaluation was applied to assure immediate and systematically organized data which assisted in accurate decision making. The more pertinent the formative evaluation, the better the end result (Hamilton, 1975:25).

The purpose of formative evaluation was to assure that the following steps were accomplished:

1. Goals, objectives, and standards were defined.
2. Instruments and other procedures for obtaining information were designed.
3. Necessary information was gathered.
4. Discrepancies, if any, between the desired implementation and the actual implementation were identified.
5. Corrective action, if needed, was indicated.

Formative evaluation was a step-by-step understanding of the dimensions of decision making. It was also a "technology which permits the decision maker to systematically analyze his process and to make explicit to himself and others the values, data and other considerations that went into the decisions" (Hamilton, 1975:30).

Forecasting

Planning for the future focused on setting goals for a society which was not yet fully evolved. According to Naisbitt, American
society was caught between eras, moving from the old to the new. For twelve years, Naisbitt and his associates closely monitored 6,000 local newspapers, assessing public behavior through a method called content analysis (1982:4):

Why are we so confident that content analysis is an effective way to monitor social change? Simply stated, because the "news hole" in a newspaper is a closed system. For economic reasons, the amount of space devoted to news in a newspaper does not change significantly over time. So, when something new is introduced, something else or a combination of things must be omitted. You cannot add unless you subtract. It is the principle of forced choice in a closed system. In this forced-choice situation, societies add new preoccupations and forget old ones. In keeping track of the ones that are added and the ones that are given up, we are in a sense measuring the changing 'share of the market' that competing societal concerns command.

This process of forced choice in a closed system is a very trustworthy process for the purpose of our studies; none of the people engaged by it (the reporters and editors) know it is occurring. ... The methodology we have developed is also free from the effects of biased reporting because it is only the event or behavior itself that we are interested in.

Naisbitt (Ibid.) identified ten "megatrends," or "new directions transforming our lives":

1. From an industrial society to an information society.
2. From forced technology to high tech/high touch.
3. From a national economy to a world economy.
4. From short term to long term.
5. From centralization to decentralization.
6. From institutional to self-help.
7. From representative democracy to participatory democracy.
8. From hierarchies to networking.
9. From north to south.
10. From either/or to multiple option.

Naisbitt offered readers a new context within which to sort out and assess current events. In doing so, however, he predicted his work would cause some controversy (Ibid., p. 9):

I risk displeasing the experts and subject specialists who can argue that to take a leap of describing the world in terms of ten shifting categories is too simplistic. In their way, they are probably right. Yet I think it is worth the risk. . . . With a simple framework we can begin to make sense of the world. And we can change that framework as the world itself changes. . . . Trends tell you the direction the country is moving in. The decision is up to you. But trends, like horses, are easier to ride in the direction they are already going. When you make a decision that is compatible with the overarching trend, the trend helps you along. You may decide to buck the trend, but it is still helpful to know it is there.

**Force Field Analysis**

A powerful technique for systematically looking at forces which impact change was the force field analysis technique. The following essential features of forces were considered (Hamilton, 1975:105):

1. Any set of conditions existed because of counterbalancing forces for and against.
2. An equilibrium was maintained as long as the forces remained equal on both sides.
3. When a condition was at rest, the counterbalancing forces were assumed to be constant.
4. When a single force was changed, movement of the condition was the result.
5. Velocity of the movement from the center was determined by the power and number of new forces for or against the present conditions.

If educational conditions were changed in an effort to improve a situation, existing forces which maintained the present conditions were changed first, Hamilton (Ibid., p. 118) cautioned concerning this process:

Such interferences should be undertaken only after a careful analysis of the force field to anticipate where interventions must be made to shore up the structure. To do less is like removing the props from under a bridge without knowing whether it can continue to stand.

The following guidelines were used when applying the force field analysis technique:

1. The force field was analyzed by setting down, in opposite columns, those forces for or against any change being successful.
2. The forces were specific—never general.
3. The forces represented the feelings of as many groups or individuals as considered themselves concerned with the issue.
4. The first set of forces was based on perceptions of what then existed or would exist.
5. These perceptions were tested by discussion with those concerned.
6. The testing was with all parties personally concerned or by credible representatives of the groups.
7. Forces were analyzed according to priority (those most important and those least important).
8. Planned intervention increased those forces for the desired program and lessened those forces against the program's success (Ibid.).

Staff, Student, and Citizen Participation in Educational Planning

Historical Perspective

The need for cooperation between schools and the community was no new phenomenon, as demonstrated by the following excerpt from a November 1910 essay entitled "Cooperation with Outside Forces," reprinted in the October 1983 American School Board Journal, ("Reprise," 1983):

The public schools, while they are rightly considered to be the greatest educational force in the country, cannot stand alone in their efforts to raise the intellectual and civic standing of the nation. They are one of many social agencies which make up the life of the nation, and they are in no sense sufficient to themselves. . . . The modern school administrator well understands this fact, and avails himself of many outside forces to strengthen his own work, and to give the children under his charge the best possible preparation for life and living. . . . School authorities should not merely accept proffered help, but should be aggressive in seeking it.

Reller (1954) historically outlined the role that parents and lay people played in the educational system from the town meetings of the 18th century, the unwieldy school boards of the 19th century, the origins and development of voluntary public education associations and citizens' commissions, to the National Congress of Mothers and the PTA. He emphasized continuing cooperation and citizen involvement to ensure progress and innovation in public education.
Goldhammer (1957) traced the historical development of America's schools from simple, locally controlled institutions to complex, state-controlled and highly professionalized systems. After examining psychological sources of potential conflict between the professional educator and community members, he proposed three general techniques to avoid conflict: (1) increased citizen participation, (2) an expanded flow of information about the schools to the community, and (3) an avoidance of "paternalistic" attitudes among administrators.

A professor at Yale University's Child Study Center, Stern (1957) emphasized that the quality of the school reflected the level of parent-school interaction in the community. He drew attention to the specific need for the school to understand the community setting as a part of the development of the "whole child." Only when the school accepted and worked with the community would the community accept and work with the school, Stern maintained, thus developing a valid educational environment:

There is a need for real parent input and decision making, not just placation of the public and formation of an organization to "yea-say" present school policy and programs.

Reviewing the role that legitimately belonged to professionals, Bortner (1966) pointed out the implications of a democratic sharing of power with the people:

1. The level of educational programs was always tied roughly to the level of public sentiment.

2. Relations between school and community were two-way.
3. The public had a right to a role in curriculum determination.

4. Parent and lay advisory groups, as well as independent citizens' committees, played an important role in policymaking.

Hoke (1968) noted that comprehensive programs of parent involvement in educational change cut across social, racial, and economic lines in the community. He cited precautions for those engaged in school-community endeavors:

1. "Reality" for the individual was determined by what his or her reference group accepted as reality.

2. Correct knowledge was not automatically created by first-hand experience; it was also colored by informal ties between an individual and his or her peers.

3. If a program was designed to bring about a change in behavior, those individuals involved actively participated in the planning and execution of that program.

4. This "crucial element of personal involvement" was reflected in voluntary attendance, informality of meetings, and freedom of expression in voicing grievances.

McPherson (1969), the former associate superintendent of the School District of Philadelphia, claimed that the development of community power created more power for all participants in the governance of local school districts. He argued for greater receptivity and leadership on the part of school administrators to include the community in policy and educational affairs. The lack of community involvement to date, McPherson noted, was not only caused by
the reluctance and lack of initiative of administrators; it was also
caused by difficulty in developing effective community leadership. He
urged established community organizations and local universities to
reduce their influence and to encourage real community participation on
a wider scale.

Jordan (1974), president of the Board of Education of Emporia,
Kansas, argued on the basis of a survey of school superintendents that
most school boards suffered from lack of information and isolation from
their community. He stressed that the fundamental obligation of the
school board was to systematically and equitably gather the total
perspective of the community and apply it to education. To be
effective, Jordan specified, the school board systematically and
scientifically: (1) determined what the community wanted, (2)
evaluated thoroughly and objectively the functioning of the school
system, and (3) gathered facts through polls of parents, students, and
teachers.

State Educational Planning Models

Connecticut State Department of Education. The Planning, Evalua-
tion, and Resource Management (PERM) model was designed to "improve
school operations through a series of well-defined steps," as
described in Volumes 1 and 2 of the PERM Handbook Series (Connecticut
State Department of Education, 1980). This model proposed a joint
venture between state department staff and local school districts.
The state department provided technical assistance, publications,
guidelines, training workshops, and consultation. Local school districts developed their own procedures, conducted evaluations, and continued to "analyze results for internal program adjustment and management."

The PERM Model operated in four phases which: defined goals (phase I), identified needs (phase II), evaluated programs (phase III), and allocated resources (phase IV). The phases were designed so local school districts proceeded from goal setting through research allocation over a six-year period.

A technical assistance network provided local districts with support services for developing related strategies, methods, and procedures. Field service officers provided help for districts experiencing difficulty.

The PERM Model emphasized several key facets of comprehensive planning:

1. It was a process involving many people and groups.
2. It was future-oriented and concerned with direction, commitment, and action.
3. It systematically obtained, organized, and used information for decision-making.
4. It involved several sequential steps and procedures.
5. It was continuous and cyclical in nature.
6. It was concerned with the totality and breadth of the entire educational system.
7. It was a means for improving management and accountability.
8. It was systematic, employing procedures and time lines in prescribed, interrelated, and scheduled steps.

9. It set the stage for effective changes.

**New Jersey State Department of Education.** The Local District Planning Model (New Jersey State Department of Education, 1983) was designed to assist each individual district in the development of objectives and a plan of action. No specific format was required, and there were no mandated forms to complete. Local districts were permitted to use whatever style they have found to be most appropriate, provided the structure incorporated the basic elements of "a good planning process."

A basic model was presented with suggestions that it be used as a basis for the development of objectives and a plan of action. It involved four general steps: (1) identification of priorities, (2) definition of priority needs, (3) development of a plan of action, and (4) evaluation of accomplishments.

The suggested components of the plan of action included: (1) tasks and activities, (2) personnel, (3) resources, (4) time line, (5) evaluation, (6) constraints, and (7) consequences.

**Oregon Department of Education.** The state of Oregon refined its educational planning process over the last twelve years, but its planning process retained the same ten steps (Oregon Department of Education, 1975):
1. set (or revised) goals;
2. conducted assessment;
3. identified needs;
4. prioritized needs;
5. developed (or modified) objectives;
6. identified alternate plans;
7. selected (or modified) plan;
8. allocated (or shifted) resources;
9. implemented and operationalized plan; and
10. evaluated plan and outcomes.

Verne Duncan, Oregon's State Superintendent of Public Instruction, established eight task forces in 1984 to study Oregon's Action Plan for Excellence (Oregon Department of Education, 1983:4), which accomplished these stated goals:

1. developed a state required curriculum in all basic academic programs, kindergarten through grade 12;
2. administered a state test to every Oregon student in the 3rd, 6th, and 10th grades in basic skills;
3. instituted a state 8th grade examination for all students as they completed the grade school program;
4. increased the state graduation requirements in math and science; reviewed all of the current graduation requirements;
5. developed a profile on the performance of each school in Oregon as a means of measuring how well they were meeting expectations;
6. instituted a state honor diploma for students reaching a high level of achievement;

7. asked the legislature to give the state board of education authority over the teacher and administrator evaluation process;

8. extended the school year to 190 days; and

9. began a study of how the school day was currently used (the goal being to increase the amount of productive instructional time during the day).

Goal areas were combined to create the following projects:

1. curriculum;

2. academic achievement;

3. statewide assessment;

4. recruiting, developing, and retaining quality staff;

5. school improvement;

6. technology;

7. time; and

8. balancing competing values (which also monitored the other task forces).

Each project had a task force of ten professional educators and a review panel of 55 community members. The time allocation from beginning meeting to final report to the state board of education was 105 days (Oregon Department of Education, 1983).

When the projects were completed, the eight task forces recommended that the state take more control in imposing higher standards upon school districts, including a common core curriculum and statewide
testing. Further recommendations included that a fourth year of English be added to graduation requirements and that tenure not be granted for life. In summary, the report stated that local schools should adopt better management practices and reduce classroom interruptions ("Oregon Panels Recommend More State School Control," 1984).

School District Planning Models

**Broward County, Florida.** In January 1980, Dr. William McFatter, Superintendent of Schools in Fort Lauderdale, Broward County, Florida, requested that a small group of community leaders serve as a nucleus for a comprehensive planning effort to provide direction to the school system over the next five years. A steering committee of fourteen members representative of the community accepted the charge and was designated the Superintendent's Commission on Public Education (SCOPE). The planning effort began in February 1980 (Superintendent's Commission on Public Education, 1981).

A recruiting effort over the next five months created an enlarged committee of 150 members, 100 of whom were business leaders. Professional educators and politicians were not included on this committee. The group was divided into seven task forces, which studied issues between August 1980 and May 1981. Official consideration of the SCOPE plan by the school board resulted in the adoption of 100 recommendations in August 1981 (Superintendent's Commission on Public Education, 1981b). Two years later, 70 of the 100 recommendations were fully implemented (Murray, 1983).
A philosophy of education was drafted and adopted near the beginning of the process, which helped in analyzing the system and developing recommendations. Key to the success of the project were forecasting techniques and a "highly structured, well organized process" (Ibid.).

Austin, Texas. "Forming the Future," a program which enhanced communication between the Austin Independent School District and the community it served, was endorsed in September 1981 by the school board upon the recommendation of Superintendent John Ellis. The educational planning model charted its course with five major components:

1. a long-range educational plan supported by the community;  
2. a bond election campaign enlisting citizen endorsement;  
3. a curriculum renewal program;  
4. a financial plan to ensure high quality education; and  
5. increased citizen participation in school district programs.

During the following year, six major committees and 35 subcommittees examined every district school and gathered input from more than 14,000 citizens. In October 1982 "Forming the Future" presented 277 recommendations for educational improvement to the school board. One year later, fifty-one of the recommendations were implemented. The completed recommendations:

1. initiated a systemwide computer literacy program;  
2. established honors courses with weighted grades;  
3. identified specific learning objectives in each basic curriculum area for every grade level;
4. established magnet schools and optional learning environments;
5. improved the recruitment and hiring process for teachers;
6. reduced the pupil/teacher ratio with a close monitoring of student achievement in selected schools;
7. adopted a bilingual education policy;
8. incorporated operational and energy efficiency measures in the design of new schools;
9. established an AISD/City of Austin task force to evaluate common concerns; and
10. worked with chronically absent students and their families to improve attendance.

A bond election was required to implement many of the recommendations. A $210 million proposal included funding for 13 new schools as well as improvements and additions to existing facilities. In 1983 the $220 million bond issue passed by an overwhelming majority of three-to-one. Architects were hired to design eight new schools, and renovations and repair began at many of the existing schools (Austin Independent School District, 1983).

Virginia Beach, Virginia. The Virginia Beach City Public Schools were involved in the process of "charting educational direction for the twenty-first century." Superintendent of Schools E.E. Brickell proposed the Curriculum Assessment and Development Project, which was approved by the school board in February 1981. Two questions were at the foundation of the study: (1) What kind of person should be
produced? and (2) What knowledge was of most worth? (Virginia Beach City Public Schools, 1983). The project consisted of five stages:

Stage 1 (August 1981 - January 1982): focused on gathering data inside the school system. Meetings were held with all school faculties, selected building representatives, administrators, supervisors, students, and a variety of other selected groups. A student advisory group representing all secondary schools was formed, and recent local graduates were consulted.

Stage 2 (February - June 1982): centered on public involvement and visitations to exemplary school districts, colleges, and universities. Input was received from the community through three public hearings, the citizen advisory group, parent-teacher associations, and other community groups.

Stage 3 (July - November 1982): involved all concerned groups in an intensive review of the data presented.

Stage 4 (December 1982 - March 1983): focused on the refinement and modification of all data analyses, conclusions, and recommendations, which led to a formal report.

Stage 5 (April - June 1983): provided time for the development of plans for implementation and dissemination.

The thirty-six member task force represented a cross section of the community and included parents, students, and professional educators. The task force received, analyzed, and synthesized all data, which included:
1. meetings with teachers, students, parents, community representatives, supervisors, and administrators:
2. suggestion forms;
3. public hearings;
4. visitations to school systems, colleges, and universities;
5. conference attendance;
6. consultant suggestions; and
7. review of literature and existing documents.

Subcommittees were formed to investigate four broad areas: (1) philosophy and goals, (2) futures and technology, (3) curriculum design, and (4) graduation requirements and evaluation.

Each subcommittee:
1. discussed beliefs about education;
2. reviewed models from other systems;
3. analyzed research, existing policies and procedures, and state and federal mandates and standards;
4. reviewed suggestions from all sources; and
5. prepared, reviewed, and revised reports.

The results of these studies were submitted by each subcommittee to the task force. Following a review, discussion, and critique of all subcommittee reports, a progress report was prepared. This report was examined by teachers, principals, assistant principals, and administrators in workshops. Citizens and student advisory groups
also reviewed selected parts of the progress report. A student survey and a community opinion survey were also reflected in the progress report.

The "curriculum renewal process" involved a comprehensive examination of the curriculum from kindergarten through grade twelve. It engaged the community, staff, and students in a dialogue to clarify the central purpose of schooling in order to redefine the philosophic base for schooling. Curricular recommendations were developed from that philosophic base.

A concentrated effort was made to integrate a national perspective with the local decision making process. The final report defined general guidelines to improve and strengthen the nature and quality of the current program. Implementation and cost factors were not defined (Virginia Beach Public Schools, 1983).

Las Vegas, Nevada. The Clark County School District in Las Vegas, Nevada adopted the major goal in August 1984 to develop a comprehensive master plan for increasing excellence within the school district (Clark County School District, 1983:1) (Appendix A). Component goals were to develop a plan for achieving more effective partnerships with employees and the community and to develop a plan for attaining school district goals at the next session of the state legislature. These goals were a composite of other goals identified by school board members and associate superintendents as vital to address during the coming year.
The purpose of planning was to develop a long-range delivery system that provided appropriate curriculum and support services for achieving the maximum educational advancement of each student. An ad hoc task force of selected staff served as the strategy and organizational committee in the beginning stages.

Requests for participants in the planning process went to parents, school staff, educational associations, local governments, and business leaders. Within a two-week period, more than 2000 requests for planning committee membership were turned in to the central office.

The names of volunteers were divided into twelve categories:

1. business/professional/community organizations;
2. educational associations;
3. certificated employees;
4. classified employees;
5. general public;
6. legislators;
7. local elected officials;
8. parents;
9. religious leaders;
10. senior citizens;
11. students; and
12. district administrators.

Each category of volunteer names was evenly distributed among the following nine subcommittees which covered the gamut of district operations and activities:
1. Instruction;
2. Space Utilization-Facilities;
3. Special Education;
4. Special Emphasis Programs/Schools;
5. Staff Development and Employee Relations;
6. Student Activities;
7. Student Attendance and Discipline;
8. Support Staff and Services; and
9. Vocational-Technical Education.

The superintendent's administrative cabinet, the ad hoc task force of facilitators, and representatives from each employee association met together, divided into nine groups, analyzed the names assigned each subcommittee, and divided the names within each subcommittee into two groups which included:

1. a group of approximately 35 to meet on a regular basis as a subcommittee; and
2. a group of approximately 200 to serve as a reaction committee by correspondence to the subcommittee of 35.

The Comprehensive Master Plan Advisory Committee was chaired by the superintendent; each of the nine subcommittees was cochaired by a community member and a staff member. A top line administrator and a board member both served as nonvoting liaison members to each of the subcommittees.

The Comprehensive Master Plan Advisory Committee met initially as a total group in November 1983. Each of the subcommittees met a
minimum of nine times, while various study groups within each subcommittee met separately on many more occasions. The leadership of the subcommittees and the subcommittees themselves were inserviced in a method for reaching consensus.

A Subcommittee Checklist served as a suggested vehicle to guide each subcommittee through the planning process. Step one provided a checklist which identified the component parts of the five sequential subcommittee assignments. Subcommittees accomplished the following goals:

1. identified purpose;
2. defined issues;
3. created study groups;
4. gathered information; and
5. developed recommendations.

Study groups within each subcommittee were provided with a study group work sheet (step four of the Subcommittee Checklist) which summarized the following data for each issue studied:

1. past history;
2. current conditions;
3. national activities;
4. future needs; and
5. bibliography.

The use of Naisbitt's megatrends (Appendix A) as a method of forecasting, review of national reform reports on education, examples of how other districts were addressing similar issues, and a basic
method of utilizing force field analysis were each addressed as sequential steps within the ten-step packet for studying individual issues. Each of the recommendations approved by the subcommittees were presented in the following one-sheet format:

1. Recommendation (brief statement);
2. Description (further explanation);
3. Action Steps/Time Line;
4. Required Resources; and
5. Evaluation.

The composite work of the nine subcommittees produced 212 recommendations by mid-May of 1984. Copies of the total recommendations were distributed to committee members, staff, and interested citizens throughout the county. A twelve-page tabloid highlighting subcommittee areas and key recommendations was distributed to every household countywide, complimentary of a local newspaper.

A two-and-one-half hour televised town hall meeting was held in June 1984 featuring: (1) prerecorded perspectives on education from 79 members of the master plan subcommittees, (2) live interviews with the cochairs of each of the nine subcommittees, and (3) a 30-minute question and answer segment, with call-in questions as well as live questions from the studio.

The school board held a series of public hearings during the summer months to encourage questions and input related to the master plan recommendations. During this same time period, the superintendent's executive cabinet:
1. reviewed the subcommittees' proposed action steps, time line, and required resources for each recommendation;

2. assessed the feasibility of accomplishing all 212 recommendations over a nine-year period; and

3. placed the recommendations into five phases for accomplishment within nine years.

In early September 1984 the Board of School Trustees approved 202 of the 212 recommendations submitted, and implementation of phase one began. A legislative request of $11,298,000 for the next biennium was prepared for presentation to the state legislature. The funding was requested with an individual cost breakdown to help implement 49 of the recommendations. This legislative request was developed with widespread public and staff input, subjected to extensive public hearings, and approved by the school board.

As a direct result of strategic thinking during this long-range planning process, a district mission statement was developed and distributed in September 1984 (Appendix A).

School Advisory Committee Models

**Beaverton, Oregon.** The activities of a citizen advisory committee in Beaverton, Oregon achieved better school-community relations and initiated planned change according to Jerry Varner, coordinator of public information for the Beaverton school district (Jones, 1978:162). Varner provided the following evaluation:
The one overriding plus of local school committees relates to their value in improving communication between citizens and their schools. They make schools more accessible to citizens, and when functioning properly, they make the public more accessible to the schools. They provide the district with a broad base of knowledgeable lay leaders who almost always support school programs. A word of caution: support cannot be taken for granted. It comes as a result of developing and conducting sound school programs plus involving local school committee members and keeping them informed. For a school board and superintendent who accept and practice the principle that the schools belong to the public and, consequently, that a better school program results from citizen participation and open communication, there are no minuses. Hard work, yes, but the rewards are worth it.

The following procedures were implemented among Beaverton school advisory committees (Ibid., p. 168):

1. Minutes of local committee meetings were reviewed each month by the school board.

2. The administration and/or board reviewed each recommendation and responded in writing to the appropriate committee.

3. Principals met with local committees and gave members visibility by introducing them at school functions, covering their activities in newsletters, briefing them on curriculum developments, and working with them to assure fulfillment of their functions.

4. The superintendent furnished committee members advance copies of board agendas, board minutes, newsletters, and other documents and publications which gave committee members a broader understanding of the total district operation.

5. Some members of local school committees were invited to serve on each district-level citizen advisory committee.
6. Board members met from time to time with local committees in the zones they represented.

7. The board gave audience to any local committee as requested.

8. The administration and board conducted an informational workshop for newly-elected committee members annually.

9. The superintendent held briefing sessions for local school committees on special topics from time to time.

10. Local school committee members were asked to express their views on district operations through a variety of channels.

*St. Clair, Pennsylvania.* The Upper St. Clair, Pennsylvania Township School District developed a well-organized procedure for selecting advisory committee members that was both inclusive and representative of the community (Ibid., p. 95). A brochure was sent to residents explaining the purposes and limitations of district advisory committees. Residents were encouraged to mail in a perforated form to become part of the "membership bank."

Any community resident age 16 or older was eligible. Returned cards were filed according to four age categories: 16-21, 22-44, 45-64, and 65 and older. Prospective advisors were asked to list their occupation, special interest, or area of expertise. When the school board created a new committee or filled a vacancy, a drawing was held with the names of those within the appropriate age groups. The guidelines called for a general committee to be composed of a cross-section of residents. About one-half of the membership chosen for any committee had expertise in the topic to be studied.
Houston, Texas. Spring Branch School District in Houston, Texas (Ellison, 1980:16) operated a staff advisory committee system for improving education. The "network" submitted recommendations, implemented ideas, and resolved curriculum problems. The council existed to improve curriculum, enhance communication between teachers at different schools and at all grade levels, and to promote communication between teachers and administrators.

The network included individual school building councils where representatives of all types of school employees met to discuss their school's instructional program and to submit recommendations for further action by curriculum subcouncils.

The curriculum subcouncils were created by selecting representatives from many schools and were categorized by the disciplines taught. These subcouncils reviewed individual building council requests and used them to determine curriculum change proposals recommended for review by the program development council.

All curriculum subcouncils were represented on the program development council, which: (1) recommended an item to the school administration and school board for implementation; (2) studied the suggestion in greater detail; or (3) returned the suggestion to the subcouncil without action or with disapproval (in either case, with an explanation of the program development council's position).

Pasadena, Texas. An employee advisory committee program in Pasadena, Texas, schools (Ibid., p. 17) was less formal in nature.
Internal advisory committees opened up the district to two-way communication as noted by director Richard Smith:

Employees welcome opportunities to 'productively' sound off and be heard by administrators. Administrators suffer less isolation when the staff perceives someone (and more important: someone who can do something) cares.

The formal advisory committee format provided avenues for identifying legitimate problems. Smith shared this advice from Pasadena's experience:

Meetings should be informal enough to encourage expression of annoying irritations so they can be contained. It is part of the human condition that little things are more annoying than big ones.

By welcoming suggestions and avoiding criticism, creativity was tapped and the possibility for solutions to educational problems was pursued.

Pasadena administrators used advisory committee meetings to send up "trial balloons" to secure feedback early in the decision-making process. Committee membership included students and teachers who (1) listened to their peers so they fairly represented them, (2) communicated concerns, and (3) relayed information exchanged during meetings back to their own group.

Montgomery County, Maryland. Tom Shannon, former deputy superintendent of the San Diego Schools and executive director of the National School Boards Association (Jones 1978:112) advised:

The format of a school district budget must be readily understood by any reasonably intelligent person with a secondary school education.
Montgomery County Schools took this logic one step further and added community involvement to the budget building process.

In the fall of 1968 the Montgomery County, Maryland School District developed a budget building process entitled "Choices for Our Children." The board of education and the superintendent agreed that the best way to earn public support was to give the public more of a voice in the preparation of the school system's operating budget.

School district communication staff member Donald Hymes said:

The idea was to stimulate the public's interest and involvement in the budget process before the staff began compiling their requests and before the board constructed the ballpark within which their negotiators would work. . . . As taxpayers began to scrutinize the school budget with unprecedented zeal, it became obvious that the figures, which previously only accountants could understand, had to be reworked to make sense to the average citizen. It was no easy chore to go through the hundreds of papers of line items and tally up the costs of specific categories of services. But there was motivation. The essence of the "Choices" process was to maintain a dialogue with the community, providing the public with all the information they need to make sound decisions and paying attention to their suggestions (Ibid., p. 113).

Dallas, Texas. Like Montgomery County, the Dallas Independent School District had an elaborate, structured budget development process called "Sharing Decisions" (Ibid., p. 115). This district sought budget input from teachers, principals, students, parents, and community groups. The Dallas school system began this process in the late 1960s as it set out to develop a program of goals for the 1970s. Maintaining that quality education depended on effective, long-range planning that included needs assessment, priority setting, and resource
allocation, the Dallas school board asked the staff and the community at large to offer their ideas concerning objectives for the '70s.

A "professional model for shared decision-making" evolved. Priority goals were set, managers were appointed to develop specific objectives and program budgets, and goals and objectives were adjusted from year to year to meet the changing needs of the schools. Thousands of Dallas citizens participated in this process over the past two decades.

Dallas Superintendent Nolan Estes (Ibid.) articulated his reasoning:

No group has a monopoly on wisdom when it comes to making educational decisions. That's why we've involved everyone with a direct interest in education--students, parents, teachers, support staff, and administrators--in assessing needs and assigning priorities.

A district communications committee with representation from every employee group in the school system held regular monthly meetings to make recommendations to the superintendent for action on school district matters, including the budget.

An elected principals' advisory committee to the superintendent functioned as a field advisory team of administrators who offered rapid input on critical issues. A full-time person housed in the central office served on the superintendent's cabinet as an ombudsman for all district administrators and as a special assistant to the superintendent.
Each principal in the district's more than 200 schools organized a teacher advisory committee composed of teachers selected by their peers to represent the views of the faculty.

SUPER-SAC, the superintendent's student advisory committee, met regularly with the superintendent to present the students' point of view. This was part of an extensive leadership program for middle and high school students which focused young minds on school improvement and information efforts.

The Dallas superintendent met regularly with clusters of local PTA officers and with the Dallas PTA City Council. Action topics for parent involvement committees ranged from bilingual and career education to textbooks and food services. All of these committees became a part of Operation Involvement, which was a systematic effort that assisted the board of education in assessing needs, assigning priorities, and allocating resources as part of the annual budgeting process.

Operation Involvement was designed to include a representative of each school's teacher advisory committee, 45 students, 20 parents, members of the district communications committee, principal representatives, and central office staff. The members were divided into 25 small groups to focus on various areas of the school program. Monthly sessions ranged from discussion of the latest school problem to field trips for first-hand education. Employees were given released time to attend these sessions.
Representatives from each small group met with the board of education several times a year to assist in setting program priorities. Each representative came prepared with input received through school-wide discussions at the individual building level.

This program evolved with the full support and leadership of Estes (Jones, 1978:116), who further assessed the program's effectiveness:

> There is little doubt that the effort has lead to better decisions. During these times of crisis management, it is only through such involvement that decision-making can be improved. As a matter of fact, the people in Dallas believe that the decision-making process is often as important as the decision itself.

Whitmore Lake, Michigan. Gail M. Stephens (1984:16), Superintendent of the Whitmore Lake Public Schools in Michigan, observed:

> We have frequently neglected to ensure that educators, students, and the public agree on the outcomes to be attained and that each and every element of our educational system aids in the attainment of the outcomes we desire.

Whitmore Lake started an outcome-based instruction project in July 1982. A planning guide was developed and an auditor was brought in to inspect instructional programs. In order to establish guidelines for planning, a results-oriented systems planning model was developed with eight steps which:

1. prepared human and structural resources;
2. established desired outcomes;
3. conducted needs assessment;
4. adopted a five-year improvement plan;
5. developed specifics for the program improvement plan;
6. conducted a trial implementation;
7. evaluated results; and
8. implemented or recycled the program.

ECIA Chapter II federal allocations were used for a two-year period. A nationally-recognized consultant was hired to develop and conduct a research-based inservice program on the elements of effective instruction. Every professional staff member was provided with three to five days of released time to attend training sessions.

Teachers and administrators jointly analyzed the four elements of effective instruction identified by research:

1. The objective was at the correct level of difficulty.
2. Teaching was directed to the objective.
3. Learning was monitored and appropriate adjustments were made in teaching methods.
4. Principles were used that affected motivation, retention, and rate and degree of learning.

In addition, many of the weekly staff meetings throughout the year focused on lesson design, the topic chosen to be highlighted in clinical supervision observations and conferences.

A student expectations committee was established as the next step toward achieving desired outcomes. Composed of parents, students, teachers, support staff, and administrators, this committee developed a list of skills, knowledge, and attitudes that enabled the high school
graduate to become a self-sufficient adult in the future. A facilitator was hired to help the committee perform its task. Within four months, the committee recommended ten major outcomes which obtained widespread support. The report was adopted as the mission and goals of the Whitmore Lake Public Schools.

Areas studied in the instructional audit included:
1. board of education policies;
2. job descriptions;
3. budget expenditures related to instruction;
4. negotiated contracts;
5. internal and external communications;
6. instructional monitoring and delivery systems;
7. election referendum results;
8. administrative authority; and
9. staff development.

Suggestions for future planning were listed under each of these major categories.

As in a financial audit, the instructional audit outlined existing conditions and suggested areas to be addressed in future planning. However, financial audits were measured by widely accepted standards. Since there were no similar, universally accepted standards in education, current research was used as the standard for the instructional audit. Theory and exemplary practices on learning, teaching, and effective schools were used as guidelines. The instructional audit provided a comprehensive statement of needs.
A number of fundamental policies were developed, debated, and finally adopted by the board of education in a careful effort to define philosophies and procedures prior to implementing the planning process. Areas of clarification included:

1. expectations;
2. school climate;
3. mastery learning;
4. effective instructional practices;
5. testing and monitoring;
6. homework policy;
7. supervision;
8. attendance;
9. communication concerning student academic progress; and
10. staff development.

Next, a curriculum coordinating committee and a task-related curriculum study committee were established. The coordinating committee worked with the administration to plan, coordinate, monitor, and evaluate curriculum development projects, curriculum implementation, and related staff development.

Performance monitoring ensured that all components operated efficiently in the following categories:

1. Students were routinely monitored to ensure the attainment of established objectives.
2. Teachers were formally assessed on a yearly basis to evaluate their mastery of the four elements of effective instruction.
Prophetstown-Lyndon, Illinois. Citizen advisory committees were successfully used in the Prophetstown-Lyndon School District of rural Illinois as a way to help the community understand and be a part of the budget process (Fouts, 1984:34). Administrators went to the committees, which in turn:

1. showed community members all the problems and frustrations involved in the budget process;
2. identified what schools could and could not do within the constraints of a budget;
3. demonstrated that board members and administrators were willing to consider all points of view before deciding on final budget allocations;
4. sought help in defining the school system's priorities; and
5. accepted advice for making the wisest possible spending decisions.

Members were solicited through a two-step recruiting process, which included announcements in the local newspaper and personal invitation. A cross section of the community was obtained, and great care was taken to balance differing interests.

Before the two budget committees met, the superintendent and principals:

1. created a structure for the meetings;
2. identified possible budget reductions;
3. outlined the ramifications of each potential cutback; and
4. assigned a dollar amount to each suggested reduction.
During the next six months, the citizen advisory committees met separately and as a whole. In their activities, they:

1. went through an orientation;
2. learned about the current programs and financial conditions of the school system;
3. identified the programs and services which were recommended to be cut back; and
4. created a priority listing of the order in which they believed specific programs should be reduced or eliminated.

The committees were given the assignment to develop recommendations to be presented to the school board, not to make final budget decisions. Because this was clearly explained before the committees were formed and repeatedly emphasized afterward, the advisory groups did not misunderstand their purpose and power.

The process worked in the following manner:

1. The first three meetings focused on general background information, basic financial problems, school board constraints, state-mandated programs, and minimum graduation requirements.
2. The committees placed every facet of the school program, in priority order, into one of five categories.
3. The final task, which took three sessions to complete, was to rank the order in which programs and services should be reduced or eliminated when the inevitable time arrived.
4. Only after priority rankings were completed were price tags attached.
5. Committee members completed an evaluation form at the conclusion of the project.

6. The two committees sent their suggestions for cutbacks to a screening committee, which summarized the priorities and presented the recommendations to the school board.

7. The board decided to make the budget cuts in the order the committees suggested.

Futures Planning Models

St. Louis Park, Minnesota. Faced with dramatic declines in its student population, the St. Louis Park School District in Minnesota began "one of the first comprehensive futures planning efforts by a local district" in 1979 ("Strategic Planning," 1984:6). Under Superintendent Michael Hickey, the district set out to "transform our kindergarten through twelfth grade system into a 21st Century learning system."

Project '85 began with an extensive brainstorming session that involved over 700 staff, students, and citizens. Staff, students, community, organization, facilities, and curriculum were viewed in terms of a "visions mission." Task forces in each of these areas (1) involved 180 citizens, staff, and students over a 15-month period, (2) shaped a broad framework of what education trends looked like, and (3) decided how to respond to those trends.

As a result of strategic planning, the St. Louis Park district essentially "redefined its system and therefore the community as a
lifelong learning system." The task forces developed 145 objectives with a time line for implementation. Hickey estimated that two-thirds were either completed or well underway.

The "mentality of decline" previously apparent in the community was reversed by Project '85. Public commitment to quality education was an outstanding feature of the community. There were two tax overrides recently, and the community maintained a tax level higher than the state required.

Millard, Nebraska. Millard School District expanded from 300 students 25 years ago to its current enrollment of over 13,000 (Ibid.). Concerned with "how to make a good school district even better," Superintendent Don Stroh and his school board realized the need for strategic planning.

Although the board asked Stroh for a long-range educational plan, it was Stroh who suggested a plan which included information on "what it looks like may happen in the future." Based on his experience at Northwest Bell, Board President Floyd Olson concurred with the superintendent's assessment.

Board members, administrators, teachers, community groups, and students in Millard School District spent a large part of 1983 reviewing future trends and "developing a strategic vision." This vision emphasized the need to invest in and support Millard's people, who were viewed as the most important community resource. Efforts were made to improve program and staff, and new services were added. One
aspect of the Millard plan included the use of their staff to provide inservice training for other school districts.

Placentia, California. There was a tradition in the Placentia, California schools for long-range planning. However, changes in the "larger society" were not considered in their five-to-ten year master plan (Ibid.). To remedy this gap, Superintendent Keith Larick initiated a strategic planning effort with a community conference directed at environmental scanning.

More than 250 parents, teachers, administrators, community group representatives, and students considered "future visions" and identified the implications for schools. The 17 goal statements which resulted from a modified use of the DELPHI process with this group guided futures planning activities.

A "futures agenda" was incorporated into Placentia's master plan as some 30 committees continued to guide reforms. Larick praised the value of the process:

It's given us a sense of where we're going, created excitement and a sense of hope, and released us to take the risks necessary to anticipate and prepare for our future information society.

Kirkland, Washington. Project 2001 in the Lake Washington School District was initiated in the fall of 1983 (Ibid.). The decision was made to project further into the future than was attempted by the five-year plans of the past. Project director Sally Maryatt explained their rationale:
Educators have too long been in a reactive mode. We wanted to take a proactive stance to leadership, to create our own agenda, and to involve people outside in our community ("Strategic Planning," 1984:6).

A committee of 13 educators and top-level business leaders with "clout and specific futures expertise" gathered the best projection available concerning what the world would look like in the year 2001. Areas of study included communication technology (the district had already developed a computer lab in every school), economics, international relations, and corporate planning.

Subcommittees applied recommended designs in the Lake Washington education program to "meet the needs created by changes in our world." In the spring of 1984, more than 40 teachers joined with the original committee to carry out recommendations developed in a two-day retreat. The committee made plans to stay intact for the next six years to ensure that "its vision remains appropriate" and that the tasks associated with it stayed on schedule ("Strategic Planning," 1984:6).

According to Maryatt (Ibid.), the cooperation between educators and business people was one of the keys to the project's success. "Educators," she said, "just can't do it alone anymore."

Thornton, Colorado. The key stimulus for strategic planning activities in Colorado's Mapleton School District was a summer conference at Vail, Colorado, conducted by the Mid-Continent Regional Education Laboratory (McREL). "It was clear to me that we needed to integrate future ideas and concepts into our program," related Superintendent Mike Severino (Ibid., p. 7).
Weekend training and study sessions for selected staff started the integration which led to an all-staff seminar for identifying future directions within the Mapleton School District. Additional input for the district's strategic mission was obtained through sessions with the board, school administrators, and community groups.

The first outcomes of the district's strategic planning included:
1. computer-assisted instruction and management;
2. a computer management information system to guide the district and school decision making; and
3. staff development focused on building effective schools and teaching higher-order skills, as well as increasing principal effectiveness.

Severino stated satisfaction with the initial results:

Strategic planning has given us a sense of direction and the necessary information for continuing to build excellence in Mapleton schools (Ibid.).

Suggestions for Productivity

Glendale, Arizona. "The time for listing 'for' and 'against' arguments on citizen participation has long since passed for the vast majority of schools," observed John C. Lopez, a school board member of the Glendale, Arizona Elementary School District #49 (Jones, 1978:93). Instead, he suggested asking questions in the following categories:
1. How was a committee set up?
2. How were its members named?
3. How was the most value received from its work?
4. What kinds of tasks was a committee asked to undertake?

5. What characteristics of a committee made the best contributions to a public school system?

Citizen participation increased productivity in schools, Lopez noted (Ibid.):

School authorities have discovered they have at their disposal an abundant supply of public talent, time, and willingness to work. Further, most school people believe this reservoir of public energy and wisdom can be useful to the school system, the community, and the children. Citizens committees are now called into action for attacks not only on fiscal problems but on problems representing the entire range of school administration, instruction, and community relations; and not on an ad hoc basis, but for continuing service.

Holstein, Iowa. David Else, superintendent of the Galva-Holstein Community School District in Holstein, Iowa, found the community was a valuable resource in helping reach educational decisions (Else, 1983:34). He gave indicators for success for other school districts seeking to make the most effective use of advisory committees:

1. Only essential committees which had a specific task to be accomplished were created.

2. The advisory function of the committee was defined.

3. Good communications with the committee were established and its judgements were respected.

4. The committee's structure was carefully designed, taking into account the representative makeup, the length of members' terms, and the committee's lifetime.

5. The project was given formal board support.
6. All committee members understood why they were meeting, what was expected, and how they could identify when objectives were accomplished.

7. Specific goals and clear objectives were developed which provided direction, suggested target completion dates, and provided ways to measure impact.

8. Frequent meetings with the committee chairman and the superintendent were set, where progress was discussed and flexibility of format and agenda was maintained.

**Educational Forecasting in Perspective**

Diane Ravitch (1983:317), professor of history and education at Columbia University, warned of the implications of futures thinking about the nature of schools:

> It is obvious that anyone who tries to predict what the future holds is foolhardy, brave, or both. Yet it is also true that those who devise policy and direct social institutions must try to plan ahead, both to anticipate what might happen and to affect what does happen.

Because 90 percent of the young Americans attended public elementary and secondary schools, there was a common belief that schools represented national trends and values. This encouraged "planners, critics, and visionaries" to plan the future for education.

However, even the most carefully laid plans were subject to the "influence of the unpredictable," Ravitch further noted (Ibid.):

> If plans are subject to disruption by the unforeseen and the uncontrollable, they are also subject to failure because of unintended consequences. It is also true that
the plans themselves sometimes fail to produce the intended results. Sometimes opposite results are obtained simply because the planners' assumptions were wrong.

For example, several experiments in community control in the late 1960's were founded on the assumption that low-income parents would support radical reforms. However, contrary to the expectations of foundation and university reformers, the parents wanted orderly schools, well-prepared teachers, and a school climate that stressed traditional learning and discipline.

School districts presented a more accurate forecast on which to base educational programs by carefully analyzing current trends. A case in point was entrance into the information era, which was "profoundly influencing our image of the future." (Lewis, 1983a:9).

It produced changes in values, philosophy, and political and economic structures in society. According to Lewis, the information era differed from the industrial era in several significant ways:

1. The core of the industrial age was powered machinery; the core of the information era was the computer.

2. The industrial age replaced manual work and magnified physical strength; the information era made it possible to replace mental work and magnify mental capabilities.

3. Goods produced in the industrial age were expended; information, the product of the information era, was not depleted.

4. Energy (oil, coal, nuclear power) was the driving force in the industrial age; education was the driving force in the information era.

Lewis (Ibid.) noted that education, a "handmaiden" in the industrial age, was the foundation of the information era.

Implications to such trends led the Virginia Beach schools to examine futures literature and identify trends that could have an
impact on education. This was one aspect of a comprehensive curriculum study (Troutman, 1983:49). Their report listed 41 trends, each with several implications.

These implications were reviewed by staff, students, and the community to determine priorities. Every effort was made to ensure harmony between the implications and a philosophy statement developed earlier. In so doing, however, the recommendations were not always in concert with the future-oriented trends.

For example, the increase in single-parent homes, working parents, and divorce magnified the need for preschool education (Ibid.). Yet the philosophy and community consensus were not congruent with the implication that Virginia Beach schools should assume responsibility for preschool education. Still, the process for review was considered necessary:

From our standpoint, it was important to clarify such issues. We wanted to balance the analysis of futures trends with the collective wisdom of our community. We believe the result has been a future-oriented curriculum plan that is also practical and politically acceptable (Ibid.).

Princeton, New Jersey's board of education appointed an 11-member long-range planning committee to identify priority objectives for the school system. After 18 months of work the committee's report included an extensive description of the future, based on present trends. It encompassed likely characteristics of the economy, new technologies, the work force, community values, and learning. One of the major recommendations was for continuous long-range planning, with yearly progress reports to the public (Houston, 1983:47).
The document that emerged from Princeton's planning proposed a "functional literacy" for the year 2000. Although it addressed the financial and demographic questions that had originally prompted the study, the major thrust of its content was the educational issues the future created. "We found only a handful of districts that were trying to come to grips with the educational issues facing schools of the future," noted Houston (Ibid., p. 11).

Summary

Literature was reviewed in the following areas pertaining to the process of long-range educational planning and organizational change involving staff, student, and citizen participation:

1. Systems theory was identified as a theoretical structure for the study. The nature and function of an open system were examined, and systems theory was applied to the facets of educational planning and change.

2. The management techniques of needs assessment, formative evaluation, forecasting, and force field analysis were presented as means for facilitating the planning process.

3. Staff, student, and citizen participation in educational planning was surveyed beginning with a historical background, followed by examples of current state and district planning models and guidelines, school advisory committee and futures planning models, and summarized by suggestions for attaining productivity with citizen participation.
4. The need for educational forecasting was further assessed, and the value of future orientation in strategic planning was summarized.
CHAPTER 3
Rationale for an Integrated Approach to Change

Key Points Already Addressed

Planning

The statement of the problem and the review of literature previously cited built an argument for the need to plan for the future within a school system to increase performance and productivity. Darryl J. Ellis (1980:22) concisely defined the planning process for any organization:

Managers should recognize that planning is deciding in the present what to do in the future. Planning comprises the determination of a desired future and the steps necessary to bring it about. It is the process whereby companies reconcile their resources with their objectives and opportunities.

A Learning Trends editorial ("Strategic Planning", 1984:1) succinctly proposed cogent reasons why school districts must assertively apply the planning process to improve organizational performance:

The long range success of an organization depends on its ability to establish a central mission, design appropriate activities for it, and modify those activities as society changes. Proactive organizations operate this way; reactive ones do not.

Today, school leaders face difficult pressures from changes in the larger society that demand a positive response. One good response technique is strategic planning—a process for identifying appropriate responses to societal changes and then acting upon them.

Clearly, the purpose of planning was to improve the product.
Involvement

The importance of participation by stakeholders in both the internal and external environments of a school district was unmistakably established. Matthew W. Costanzo, Superintendent of Harverford Township School District (1982:2), also strongly endorsed the need for participative decision-making in school district planning for improvement:

Call it the post-Watergate syndrome or whatever. The fact is that we can no longer plan for people: We must plan with people. If any plan is to have the commitment of all of the players in the drama; if any recommendation is to carry credibility and validity—then representatives of every segment of the school community must be involved in the study, in the analysis of data, and in the charting of future courses of action. Unless the plan carries the imprimatur of our clients, our taxpayers, and other members of our various publics—it is doomed to failure.

. . . If you subscribe to the notion that we should no longer plan for people but with them instead; if you truly believe that shared decision-making can win support where there is apathy or resistance—then it follows that you will accept the critical need for two-way, open and honest communications involving our many publics.

Additional Concepts and Practices for Consideration

No Quick Fix

An increasing number of management analysts and educators emphasized that the implementation of a structure for long-range planning, even when accompanied by some form of participative decision-making, was not sufficient to ensure the improvement of organizational performance. Other factors involving the human element were carefully considered (Argyris, 1962; Cawelti, 1985; Costanzo, 1982; Cross, 1984; Deal, 1984; Drucker, 1980; Fullan, 1982; Genck,

Although by no means complete, the following review of concepts and practices relating to the human side of organizations in general and school systems in particular broadened the perspective that there was no "quick fix" to improve organizational performance. Ralph H. Kilmann (1984b:24) articulated this philosophy which was observed in varying degrees by many others:

It is time to stop perpetuating the myth of simplicity. The system of organization invented by mankind generates complex problems that cannot be solved by simple, quick-fix solutions. The only alternative is to develop a truly integrated approach—a complete program for managing today's organization. Complete programs, however, are often preached but seldom practiced.

An integrated approach to improvement and planned change addressed all of the factors involved, or permanent change did not occur.

Staff Morale and School Climate

Recent and popular studies of successful corporations (Deal, 1984; Kanter, 1985; Pascale, 1981; Peters, 1982) significantly influenced the thinking and management practices of corporate leaders (and in some cases, educational administrators) concerning the complex human element and staff morale. However, the principles highlighted by these studies were already known for some time by organizational development scholars (Argyris, 1962; Drucker, 1980; Herzberg, 1968).

According to Gordon Cawelti, Executive Director of the Association for Supervision and Curriculum Development (1985:2), these newly
recognized success factors had enormous implications for instructional leaders:

Now, however, we have documentation and dissemination to convince skeptics that people function most productively when they feel their views are valued, that management really cares about them, and that they have some control over their work-world destiny.

A recent study conducted by George Mason University (Weiler, 1984:9; Appendix B, p. 156) determined that the most important factors which affected employee morale were a feeling of self-worth on the job and recognition for a job well done. If these factors were ignored, the study noted, a climate of stress was created.

Robert Blauner, an American sociologist, suggested that three work conditions—(1) powerlessness, (2) meaninglessness, and (3) isolation—combined in many instances to cause workers to become alienated from their work and even from themselves (Sashkin, 1982:12).

Frederic Genck strongly endorsed the importance of the human side of school management. His firsthand experience in nearly a thousand schools over the past ten years (1983:3) generated the following observation:

Declining school performance is not usually recognized to be caused by the inadequacy of traditional school administrative practices to meet today's requirements. We usually look for something wrong with teachers, with children and parents, or with teaching techniques and materials. Seldom do we look for the cause on the human side of school management: changes in the internal operations and outside circumstances of schools, and how these are impacting on the people involved—teachers, administrators, board members, parents, and students.

There was no school climate problem more consistent or more elusive than low staff morale (Kelley, 1980; Lezotte, 1980). Weiler
outlined historical reasons for this problem (1984:2):

1. The "them against us" mentality often separated staff and administration and fed the morale problem with a steady diet of distrust and negative thinking.

2. Administrative programs aimed at addressing the problem frequently were rejected by staff as "putting a band-aid on a broken leg."

3. These attempts died "quiet or noisy deaths" depending on the level of frustration experienced.

4. Ultimately the unsuccessful attempts to deal with low morale only served to validate the original distrust and bad feeling, creating a climate of stress. The school district "went back to square one."

Stress and Burnout

Critical to combating stress was the identification of those external pressures and activities which caused the stress (Ibid., p. 6):

As today's educators and their staffs reel from reports of mediocrity and calls for education reform; as staff members and boards of education confront one another across negotiation tables; as governors and legislators adopt new educational reform measures calling for teacher testing programs, competency examinations, merit pay proposals and more time on task, the stress level rises. It rises through the school system. It creates a climate of stress (Ibid.).

As school administrators followed in the steps of successful corporate executives to create a climate of excellence (Peters, 1982; Tursman, 1984:10), one of the first remedial approaches taken was to help individual staff members recognize the symptoms of stress and to initiate a process for coping (Weiler, 1984:5).

The best teacher in the school district has resigned. She dreaded getting up in the morning, coming to school and is
dissatisfied with her work. She is depressed, exhausted, and wants out of teaching. She is burned out (Ibid., p. 2).

Burnout is real, Weiler asserted, and can result in everything from worry to chronic migraines and ulcers. It stemmed from specific causes:

1. lack of recognition;
2. lack of involvement;
3. chronic discipline problems;
4. lack of planning time;
5. media assault;
6. public scrutiny; and
7. low turnover in teaching staffs (Ibid.).

Stress among school staff led to burnout which was reflected in:

1. poor teaching and classroom tension;
2. reduced job satisfaction, creativity, and energy;
3. absenteeism and tardiness;
4. conflict and dissension;
5. low morale;
6. lack of concentration and inattention to work;
7. accidents;
8. medical insurance costs; and
9. terminations (Ibid., p. 5).

In business, the cost of stress-induced dysfunction in financial terms was staggering:

The annual loss of productive capacity is reaching estimates of $19 billion, and stress-related illness is estimated at $60 billion, according to a recent study by
the University of Pittsburgh (Pa.) Graduate School of Public and International Affairs.

In education the cost is higher when it is translated into the loss of tomorrow's leaders and outstanding educators, and to individual teachers, principals, and administrators in whom burnout symptoms prohibit not only their present productivity, but their future, even if they change careers (Ibid.).

Self-Renewal

Channels of motivation which led those who experienced burnout to an attitude of self-renewal include:

1. recognition of the symptoms of stress;
2. identification and understanding of those external pressures and/or activities that caused the stress;
3. awareness of and communication with people in the same situation;
4. ability to focus on the positive instead of the negative;
5. capacity to set goals, make plans, and set priorities;
6. capability to look at both old and new problems in more creative and solvable ways;
7. ability to increase skills in dealing with other people;
8. capability to turn problems into opportunities; and
9. ability to focus on the present rather than to blame past mistakes for current problems (Ibid., p. 7).

Effective two-way communication motivated a staff and reduced burnout and stress (Walberg, 1979). However, motivation was an ongoing process which was supported by school board members, the superintendent,
and building principals, and was embraced by the total staff (Appendix B, p. 157).

Trust

Defining Trust. Motivation was built on "mutual trust, which must be earned" (Weiler, 1984:7). Gordon F. Shea (1984:13) president of a human resource development firm, asserted that trust was the cornerstone upon which cooperation was built and the foundation for planning and action:

Trust is the ultimate intangible. It has no shape or substance, yet it empowers our actions. And its presence or absence can govern our behavior as if it were a tangible force. . . . Trust is the "miracle ingredient" in organizational life--a lubricant that reduces friction, a bonding agent that glues together disparate parts, a catalyst that facilitates action. No substitute--neither threat nor promise--will do the job as well.

Thomas H. Melohn, co-owner of North American Tool and Die, Inc. (Ibid., p. 20) shared the following warning:

You've got to really mean it when you say you want an atmosphere of trust. You truly have to believe in it. Then you've got to work at improving relations every day in every situation. Otherwise, your employees will sense hypocrisy, and all will be for naught.

Organizational ineffectiveness, maintained Shea (Ibid.), largely reflected distrust:

If employees compete viciously by pulling others down rather than cooperating, everyone pays a price. If over-critical supervisors berate employees, the employees are foolish to extend their trust. If managers play "good guys-bad guys" with other departments, they destroy trust between groups and promote interdepartmental bickering. If the organization subscribes to policies and procedures that convey a lack of trust in employees, the employees may have little incentive to prove they are trustworthy.
Eliminating Excuses.

Tom Peters, co-author of *In Search of Excellence*, recently proposed these questions at an executive seminar (Ibid., p. 21):

Aren't procedure manuals, carefully filed memos, committee signoffs, and other elements of the bureaucracy necessary for control? And isn't the alternative--management by shared values, commitment, and trust--so much soft and woolly-headed humanism?

He responded to his own questions in the following manner:

Not only is [this approach] not soft headed, it's the toughest form of management imaginable. . . . Most overly-articulate procedure manuals are simply "excuse books". . . . Have you ever known anyone who read one of those damn things? That is, unless the reason was to figure out whom to place the blame on after a screw up?

Operated with only a few basic controls, the so-called soft approach created what Peters called a no-excuse environment. In such an environment, people were trained to do their jobs, they were given what they needed to get those jobs done, and they were treated as adults. "You've taken the excuses away," Peters summarized. "Now it's up to them to perform."

Changing Policy. When Rene McPherson became CEO at Dana Corporation, he dramatically threw out policy manuals that were 22 1/2 inches thick and replaced them with a one-page statement of philosophy which focused on "the productive people" (Peters, 1982:65).

One county government agency thought this went a bit too far for them; they decided, however, that their manual could be revised to prune out policies that diminished trust (Shea, 1984:60). The personnel manager headed a policy review task force that scrutinized
all policy statements, prescribed forms, and procedural mechanisms. Their objective was to enlarge each employee's area of freedom, to reduce obstacles to effective performance, and to enhance the flow of trust up and down the organizational structure.

The task force manager reported on the results of the policy review:

Many positive gains have been made in the first three months. An opinion survey completed last week shows a substantial improvement in morale and employees view of management (Ibid.).

Building Trust. Shea observed that people build their daily lives on trust (Ibid., p. 22):

Drivers will obey traffic signals, stores will honor our currency, escalators will not reverse direction in mid-operation. This trust, based on repetitive transactions yielding consistent results, begins with an initial period of extending. In new situations, we extend a degree of trust; as our efforts provoke responses, we take appropriate action, withdrawing, remaining, or extending our involvement a bit further. We have all been operating like this since infancy. While we need to be alert for danger signals, we also need to extend enough trust to go forward.

If you extend to another person who also extends, trust will grow between you. In any organization where people are trying to get a job done, we need to work at trusting others and encouraging them to trust us. Trust building is a dynamic process, an investment in the future. It is not blind; no investment ought to be. It is, like any investment, a calculated risk.

Mutual trust was critical to the outcome of negotiated arms agreements and international crises, according to researchers in the Rand Corporation and other think tanks who worked out scenarios for resolving such matters (Ibid., p. 31). Once opponents trusted each
other enough to cooperate for mutual gain, they were more likely to cooperate in the future for even more satisfying results:

Disarmament talks may thus lead eventually to total bilateral disarmament—but only if each side makes a consistent effort to extend a reasonable amount of trust to the other (Ibid.).

From his experiences as a supervisor, manager, and executive in government and private industry for over 20 years, Shea suggested the following guidelines for building a trust level with subordinates (Ibid., p. 46):

1. Analyze the work for challenging opportunities, distribute these opportunities fairly, and set high but realistic expectations that tend to stretch the person a little.
2. Train subordinates well in one acceptable method, describe acceptable results and possible pitfalls, then allow innovation in carrying out responsibilities.
3. Focus on what gets done instead of how it gets done; avoid restrictive policies and procedures when possible, and allow reasonable risk taking.
4. Avoid using coercive power; at the same time, progressively empower your subordinates by delegating authority to them in every possible circumstance.
5. Concentrate on solving the problems when things go wrong or a mistake is made, instead of spending time and effort on punishment.
6. Skip the search for who is guilty; visualize what a job correctly done looks like, communicate that vision, and organize people to make sure things go right the next time.
7. Support subordinates and help them come out winners.

Lack of Trust. A lack of trust not only lowered morale, but it lowered productivity as well:

When an organization is secretive, tightly controlled, does not delegate authority, and sharply separates management and management decisions from employees and lower level managers, it doesn't take much intelligence to recognize that management does not trust its
"underlings" to behave as reasonable, responsible people. Lower-level employees who have distrust thrown in their faces often limit the scope of their responsibilities and may take on the game as well as the name. They may choose to direct their energies toward obtaining what they can out of the situation. "They don't trust or respect us. Why should we trust or respect them?" exclaimed one disgruntled crew chief of a major utility. "Trust breeds trust, distrust breeds distrust" (Shea, 1984:55).

Peters and Waterman (1982) considered the issue of auditing trust in any given situation to be quite simple and direct. They quoted a General Motors Company manager who said:

> Our control systems are designed under the apparent assumption that 90 percent of the people are lazy, ne'er-do-wells, just waiting to lie, cheat, steal, or otherwise screw us. We demoralize 95 percent of the work force who act as adults by designing systems to cover our tails against the 5 percent who really are bad actors.

Results of Trust. Nowhere was there a history of greater conflict and lack of trust than between workers and management. However, recent landmark agreements between unions and management indicated that this situation was radically changing (Feaver, 1984). More and more people questioned the necessity for adversarial relationships as they formerly prevailed. Frank Borman, chairman of Eastern Airlines, and Charles E. Bryan, president and general chairman of District Lodge 100 of the International Association of Machinists and Aerospace Workers, reported that although they were prior antagonists, they achieved an operating level of trust that was a flourishing habit between workers and managers within their organizations.

Since Bryan and Borman decided to shelve their historic adversarial relationship and try cooperation, the results were
dramatic. The airline reported a $34 million saving in operating costs, a 21 percent increase in the number of flights departing on time, a 20 percent increase in the number of flights arriving on time, a 50 percent drop in passenger delays of an hour or more, and vast improvements in the speed of baggage delivery at some of the major terminals. The most impressive part is that all this happened in the short time span between December 1983 and March 1984.

Improvements for employees were also impressive. Borman related:

Without question we have changed the way we look at labor relations--in the past we've always considered marketing, finance, engineering, safety, and flight operations. Now equally important is: How is it going to affect the people? And that's the one thing that has been given short shrift in the past because we always felt, as management, if we made all these other decisions, we were doing the best we could for the people. Now we're saying, "we'd better ask them rather than simply assume that our motivation for their well-being was there (Ibid.)."

What Borman and Bryan accomplished as catalysts for their organizations encouraged others to take to heart the words of Woodrow Wilson (Shea, 1984:15): "If there is one principle, clearer than any other, it is this--that in any business, whether of government or mere merchadising, somebody must be trusted."

Rosabeth Kanter (1985), a scholar with the Yale School of Management, also emphasized the recent shift of industry from scientific management techniques to the cultivation of environments that nurtured people and their ideas. She claimed that a renaissance was occurring in the mode of operation of the business world; businesses were moving from "trusting the system" to "trusting people."
In Horace's Compromise, Theodore Sizer (1984:214) gave the following advice to those who wanted excellent schools:

Trust teachers and principals--and believe that the more trust one places in them, the more the response will justify that trust. . . . Proud people rarely join professions that heavily monitor them.

Motivation

Frederick Herzberg's highly acclaimed and often quoted motivation and job satisfaction theory (Hoy, 1982; Kimbrough, 1983; Owens, 1981) was thoroughly analyzed and concisely presented in the January-February 1968 Harvard Business Review: "One More Time: How Do You Motivate Employees?" (Herzberg, 1968). The integrated approach to change developed herein (Chapter 4; Appendix C) was influenced by the following concepts as amplified in the above sources.

Motivation Myths. Concerning motivation, Herzberg (Ibid.) asserted that he could:

. . . charge a man's battery, and then recharge it, and recharge it again. But it is only when he has his own generator that we can talk about motivation. A motivated person does not need outside stimulation. The desire comes from inside.

Herzberg (Ibid.) reviewed personnel practices which were developed as "attempts to instill motivation:"

1. Reduced time spent on work: In reality, motivated people sought more hours of work, not fewer.

2. Spiraling wages: What this motivated people to do was to seek the next wage increase.
3. Fringe benefits: Once a trend was set, those benefits were no longer rewards; they were rights.

4. Human relations training: The failure of human relations training to produce motivation led to the conclusion that the supervisor was not true to himself in practicing interpersonal decency.

5. Sensitivity training: This failure to motivate led to the assumption that the fault lay not in what was being done but in the employee's failure to appreciate what was being done.

6. Communications: When no motivation resulted, the thought occurred that perhaps management was not hearing what the employees were saying.

7. Two-way communication: When motivation failed, behavioral scientists took human relations one step further, saying people wanted to actualize themselves.

8. Job participation: This often became a "give them the big picture" approach to provide a sense of achievement rather than a substantive achievement.

9. Employee counseling: This was originally credited to the Hawthorne Studies of the Western Electric Company during the early 1930's; however, the pressure of demands to motivate employees was not lessened.

**Hygiene Versus Motivators.** The motivation-hygiene theory was first derived from accounts in the lives of engineers and accountants. More than 16 other investigations which used a wide variety of
populations made the original research "one of the most replicated studies in the field of job attitudes (Ibid.)."

Reinforced by corroboration from a significant number of investigations which used different procedures, the findings from these studies suggested the following:

1. Factors involved in producing job satisfaction (and motivation) were separate and distinct from the factors that lead to job dissatisfaction.

2. The opposite of job satisfaction was not job dissatisfaction but, rather, no job satisfaction.

3. Similarly, the opposite of job dissatisfaction was not job satisfaction, but no job dissatisfaction.

4. Two different sets of human needs were involved: the built-in drive to avoid pain from the environment; and the ability to achieve, and through achievement, to experience psychological growth.

5. The dissatisfaction or hygiene (KITA) factors extrinsic to the job included: company policy and administration, supervision, interpersonal relations, working conditions, salary, status, and security.

6. The growth of motivator factors intrinsic to the job were: achievement, recognition for achievement, the work itself, responsibility, and growth or advancement.

From a sample of 1,685 employees surveyed, motivators were the primary cause of satisfaction and hygiene factors were the primary cause of unhappiness on the job (Appendix B, p. 158).
Motivation-Hygiene Theory. Herzberg proposed that rather than enlarging the work to increase efficiency (horizontal job loading), work should be enriched to bring about effective utilization of personnel (vertical job loading). He maintained that this provided the opportunity for the employee's psychological growth and resultant job satisfaction, while job enlargement merely made a job structurally bigger.

Vertical Job Loading. Listed below are specific job motivators identified by Herzberg, followed in each instance by a specific example of vertical job loading which stimulated those motivators:

1. Responsibility and personal achievement: Removed some control while retaining accountability.
2. Responsibility and recognition: Increased the accountability of individuals for their own work.
3. Achievement, recognition, and responsibility: Gave a person a complete natural unit of work (module, division, area, etc.)
4. Achievement, recognition, and responsibility: Granted additional authority to an employee in his activity (job freedom).
5. Internal recognition: Made periodic reports directly available to the worker himself rather than to the supervisor.
6. Growth through learning: Introduced new and more difficult tasks not previously handled.
7. Responsibility, advancement, and growth: Assigned individuals specific or specialized tasks, enabling them to become experts.
Job Enrichment. After describing motivators and the practices necessary to achieve them, Herzberg advocated specific steps to attain job enrichment (1968):

1. Select first for improvement those jobs in which attitudes are poor, hygiene is becoming very costly, and motivation will make a difference in performance.
2. Begin with the conviction that the content as well as the scope of these jobs can be changed.
3. Brainstorm a list of changes that may enrich the jobs, without concern for the practicality involved.
4. After a careful analysis, eliminate those suggestions that involve hygiene rather than actual motivation.
5. Screen the list for generalities, such as "give employees more responsibility," that are rarely followed by practice. [Motivator words never left organizations, Herzberg acknowledged; the substance was just rationalized and organized out.]
6. After a careful analysis, remove any horizontal loading suggestions.
7. Avoid direct participation by the employee whose job is to be enriched. [Herzberg noted a sense of participation resulted in only short-term movement and warned against contaminating the process with human relations hygiene.]
8. Set up a controlled experiment with at least two equivalent groups in the initial attempts at job enrichment.
9. Be prepared for a drop in the experimental group's performance during the first few weeks; the changeover in practices may lead to a temporary reduction in efficiency.
10. Expect some initial anxiety and hostility from first-line supervisors concerning the changes being made. [After a successful experience, Herzberg emphasized, the supervisor usually discovered functions and tasks he neglected or never had the time to accomplish.]

An Ongoing Cycle. Job enrichment was not a one-time proposition, but rather a continuous management function. The initial changes, however, lasted for a very long period of time. Herzberg noted a number of reasons for this:
1. The changes brought the job up to the level of challenge commensurate with the skill that was hired.

2. Those with still more ability eventually were able to demonstrate it better and win promotion to higher-level jobs.

3. As opposed to hygiene factors, the very nature of motivating factors was such that there was a much longer-term effect on employees' attitudes.

Herzberg summarized the concept of job enrichment with these concluding thoughts (1968):

Not all jobs can be enriched, nor do all jobs need to be enriched. If only a small percentage of the time and money that is now devoted to hygiene, however, were given to job enrichment efforts, the return in human satisfaction and economic gain would be one of the largest dividends that industry and society has ever reaped through their efforts at better personnel management.

Productivity

William Ouchi (1981) forcefully addressed the issue of increasing productivity within organizations (Appendix B, p. 161). Analysis of his studies was summarized as follows:

1. Productivity was a high-priority concern of management.

2. Involved workers were the key to increased productivity.

3. Productivity was a problem that could be worked out by coordinating individual efforts in a cooperative manner. Employees had the incentive to willingly work toward common goals when management itself took a cooperative, long-range view.
4. Productivity went hand in hand with trust, subtlety, and intimacy.

5. Trust was exemplified by employees who were willing to make sacrifices, knowing that they would be repaid in the future.

6. Subtlety was captured explicitly. Subtlety was knowing the workers well, deciding who worked well with whom, and putting together work teams for maximal effectiveness.

7. Sociologists maintained that intimacy was an essential ingredient in a healthy society. Caring, support, and the disciplined unselfishness of intimacy came through close social relations.

8. It was detrimental to an organization to resist the idea that there was a close familiarity with people in the workplace.

Patricia Cross, a department chairman and scholar at Harvard University, noted a strong correlation between productivity and excellence (1984:170). At the same time, she expressed concern with the reports on school reform:

There is much in the current educational reform movement that should frighten us—if, in fact, winning is important for ordinary people. . . . The reports pay surprisingly little attention to ordinary people. They imply that the rising tide of mediocrity is made up of embarrassing numbers of ordinary people and that, if we wish to return to excellence, we had better go out and find more "excellent people". . . . But the reports say little about how to stimulate unusual effort from ordinary people.

Thomas Peters and Robert Waterman, in their best-selling book *In Search of Excellence* (1982:xxiii), suggested that one way to stimulate ordinary people to unusual, productive effort was to make them members of winning teams, while simultaneously recognizing each
individual as a star in his own right. "Each of us," they said, "needs to stick out--even, or maybe particularly, in the winning institution."

Peters and Waterman further noted (Ibid.):

We observed, time and again, extraordinary energy exerted above and beyond the call of duty when the worker . . . is given even a modicum of apparent control over his or her destiny.

Peters and Waterman also pointed out that less-than-excellent organizations take a negative view of their workers:

They verbally berate participants for poor performance. . . . They want innovation but kill the spirit of the champion. . . . They design systems that seem calculated to tear down their workers' self-image (Ibid., p. 57).

Excellence

In their study of what they identified to be the most successful companies in America (1982; Appendix B, p. 159), Peters and Waterman determined that the single most pervasive theme in excellent companies was their profound respect for the individual. They further concluded:

One of the main clues to corporate excellence is unusual effort on the part of apparently ordinary employees. Excellent companies require and demand extraordinary performance from the average man (Ibid., p. xvii). . . . They build systems to reinforce degrees of winning rather than degrees of losing (Ibid., p. 57). . . . Most excellent organizations turn the average Joe and the average Jane into winners (Ibid., p. 239).

In translating this concept to education, Cross responded (1984:70):

That task is a bit more difficult, it seems, than simply recognizing winners. The hard part is not identifying winners, but making winners out of ordinary
people. And that, after all, is the overarching purpose of education. Yet, in most periods of educational reform in the past, education has reverted to selecting winners rather than creating them. . . . From these recent works on effective business organizations, I conclude that, until we can stimulate the ordinary people in schools to put forth "unusual effort," we will not have lasting excellence in education.

Gordon Cawelti, Executive Director of the Association for Supervision and Curriculum Development (1985:2), noted the "newly recognized success factors" in the recent popular studies of successful corporations (Deal, 1984; Kanter, 1985; Ouchi, 1981; Pascale, 1982; Peters and Waterman, 1982; Appendix B, pp. 159-161). He observed that a careful analysis of these books could easily yield several characteristics which successful corporations usually exhibit. He proposed, however, that there were two key principles which led to organizational vigor:

First, healthy school organizations are responsive to the concerns and issues expressed by students, teachers, parents, or board of education. Such a school doesn't study an issue to death for 36 months or more; it empowers people to analyze problems and plan corrective action.

Leaders of healthy schools empower people to go beyond the call of duty, to stretch to their best effort each day, to grow toward perfection. I believe that one of the most serious problems sapping the strength of our productive potential is that most of us are underemployed. Only when everyone in an organization feels a responsibility for its success and commits the full force of their talents do we reach Theory Z, our maximum forward speed.

Participative Management

About 100 A.D., a Roman landowner wrote of his approach to managing the workers on his estate (Sashkin, 1982:10):
Nowadays I make it a practice to call them into consultation on any new work. . . . I observe that they are more willing to set about a piece of work on which their opinions have been asked and their advice followed.

Columella
On Agriculture I

"Why should organizations support and managers use participative management approaches?" Dr. Marshall Sashkin, a University of Maryland professor of organizational psychology, asked and then replied (1982:10):

The most simple answer is that American organizations, like Japanese organizations, can profit from participative management in terms of workers' performance and productivity. Although participative management is no panacea for all managerial ills, both research and practice clearly indicate that participative approaches do yield improved performance and productivity.

Definitions. In general, participative management involved workers in the planning and control of their own work activities (Appendix B, p. 162). However, the various types of work planning and control that subordinates participated in had some important differences. Sashkin (Ibid., p. 16) identified four major varieties of participation:

1. Participation in goal setting: Workers were involved in determining, to some degree, the goals they attempted to reach regarding work performance and output. More than 90 percent of the research studies on goal setting confirmed the power of participation in goal setting (Locke, 1981:125).
2. Participation in decision making: This ranged from consultation with some influence on the outcome to responsibility for the decision selected. Decision making was limited to the examination and evaluation of alternatives already developed. Research indicated that participation in decision making had many positive benefits (Lowen, 1968:68).

3. Participation in problem solving: This required subordinates with the thinking capacity to analyze information and develop new ideas on the basis of that information. Research suggested that the positive benefits obtained from participative problem solving depend most on the training received by all participants (Maier, 1963).

4. Participation in change: This required managers and employees to participate in generating, analyzing, and interpreting organizational data in order to develop specific innovative solutions to organizational problems. This was regarded as a critical aspect of successful organizational development (Huse, 1975).

Quality Circles. The quality circle approach was supposedly an imported Japanese participative management technique; actually, it was a technique that the Japanese learned from American managers in the 1950s for group participation in problem solving (Sashkin, 1982:57; Appendix B, p. 163).

Some concerns appeared regarding the quality circle approach, noted Sashkin (Ibid., p. 58), primarily because of the "fad-like" manner in which American managers and organizations seized upon it as
a "panacea for management and organizational problems:"

Expectations that the QC approach will solve all of management's problems are, of course, unrealistic, and are bound to be unfulfilled in actual practice. Moreover, the rapid spread of the QC approach has often resulted in poor-quality implementation of participative group problem solving by trainers and consultants who neither fully understand the approach nor have the skills needed to effectively train people to use it.

Tom Peters pointed out that although the concept was effective in a healthy organization, other problems in a bureaucracy acted as barriers to effective implementation (Tursman, 1984:12):

Quality circles work like a charm at Hewlett-Packard, because the company has believed for 45 years that the average person should be a regular contributor to his or her job; so the technique added on top of that set of beliefs is terrific. But in nine out of ten companies I go to, even in the so-called "humanistic" Silicon Valley, I find that people wouldn't attend their quality circle meetings even if it were the last day on earth, because they see it as just another bureaucracy game aimed at twisting the productivity screws.

Although quality circles were seen as a democratic technique for problem solving where employees were listened to and the administrators showed concern about employees, Michael Kahn (1984:14) cautioned against the potential Machiavellian quality circle which only appeared to do these things:

From the cunning Machiavellian administrators' viewpoint he or she really controls the quality circle. The administrator chooses the facilitator whose job is to establish, coordinate, and direct the quality circle. The facilitator gives the administrator continuous reports on the progress and items being discussed within the circle. Thus, the administrator knows what the group is doing, feeling, and saying. Dissenters in the organization can be identified and treated accordingly. In addition, the facilitator instructs the quality circle in what problems and issues are within their realm...
The Machiavellian administrator not only chooses the problems that the circle discusses but also selects the solution. Even if the administrator selects a solution which fails to get appropriate results, he or she still has a number of scapegoats. Moreover, by choosing a solution suggested by the quality circle, the administrator earns more respect, more loyalty, and thus, more power.

While quality circles were established to involve employees, it was apparent that they were easily abused. Jack Lindner (1984:14), vice-president of the Quality Circle Institute of Red Bluff, California, suggested that to operate a quality circle effectively, a leader should have a background in basic statistics, quality control techniques, and problem analysis. Training material, he noted, was available for developing these skills. Lindner further advocated:

The basic intent of quality circles is the idea of building people. This concept is based on trust and allows people to become better than they already are. Quality circles can provide a structured way for this to happen. However, this means member training and patience will be necessary to let it happen. People must be granted time to learn how to deal with the opportunity of helping to make decisions for the "system" (Ibid.).

**Issues Seminar.** The St. Louis Public Schools implemented the issues seminar, a social systems approach to problem solving, during the 1976-77 academic year. Its initial impetus was to address mandated desegregation. The original issues seminar in St. Louis was for the system's top twenty-five administrators. However, because the experience proved positive, the seminar membership was expanded on three occasions. Ultimately, eight different groups met for three hours on a bi-weekly basis (Perry, 1977).
The groups met separately to examine issues of particular interest to their specific roles, concerns relevant to the school district as a whole, and topics "germane to the entire community." Although they met as separate entities, the total seminar population of 200 was drawn together by the following "integrating mechanisms":

1. shared meeting minutes;
2. visitations;
3. questioning of other groups' members (almost a form of "subpoena power");
4. exchanging of various group positions on issues;
5. requests for information from other groups; and
6. total group meetings (Ibid.).

The "multi-role design" created a strong base for "analyzing complex issues from different perspectives and predicting the probable success of proposed solutions":

1. Suggested educational changes were quickly judged in terms of their impact on community, teachers, students, and principals.
2. Each group carefully examined each other group's proposed plans and provided the sponsor with a list of strengths and weaknesses.
3. This exchange of information increased each group's sensitivity to how others' value systems, role perspectives, and interest groups acted and reacted toward them.
4. The instant feedback of new data and feelings "sharpened both the credibility and feasibility of each alternative presented."
5. This "rich network of diverse roles was responsible for the quality of the seminar solution and their feasibility of implementation" (Ibid.).

Participants became more "contextual" as the importance of the school's social context became more apparent to many individuals:

The examination of the district's proposed desegregation plan highlighted the role that the news media, universities, wealth institutions, churches, and city governmental agencies play in the final resolve. They no longer considered the school district as an isolated entity. Individuals began to realize that the district was a system that interacted with other systems over time and in a definite space. The importance of these other value sectors in any desegregation plan's implementation and the need for leaders to cultivate these arenas became real (Perry, 1977:7).

One of the results of the issues seminar experience in St. Louis was the establishment of the process which Argyris (1977:115) identified as "double-loop" learning. As explained by the St. Louis participants:

Often an issue will start at the single-loop learning phase with participants discussing how they can improve their work within a given system and talking about what should be done. Occasionally the participants will come to believe that instead of accepting the condition as a given and trying to work within it, they should begin to question the why of the situation, i.e. the underlying objectives and policies which are creating the concern (Perry, 1977:8).

Secondary principals were organized within a geographical alignment of districts which contained 20 to 30 elementary schools and two to three high schools. They expressed the frustration that the districts were elementary-oriented. Their discussion initially focused on working within the system and making the system more responsive to
their demands and concerns. Over time, however, they "began to question the organizational schema and the premises on which it was based" (Ibid., p. 9). This was precisely the type of double-loop learning which Argyris (1977) cited as being so essential.

The seminars provided an arena where information and perceptions were exchanged and productive confrontations among individuals and groups emerged:

1. Participants realized how others viewed their positions by examining minutes, comments, and conversations of other roles.

2. Discussion acted as a mirror, reflecting back the perception of other individuals and groups.

3. Board members reassessed their role perception after a rude awakening to the fact that others within the system saw them as political agents pressing for special interests or striving for ego-enhancement.

4. All groups, whether board members, associate superintendents, or teachers, came to clearly perceive the limited nature of their power.

5. Significant to the cooperative process was the realization that others also operated under a series of constraints and pressures which prevented them from seizing the "ship's helm".

In a final assessment, the issues seminar was viewed as an illusive yet dynamic process (Perry, 1978:242):

In theory it allows decision makers to act proactively, to utilize data, and to operate in a synergetic mode. In practice it is an intervention which allows
participants to exchange attitudes and perceptions, demands that bureaucrats be accountable, and fosters leadership at all levels.

TEAMS. When Larry Zenke became superintendent of the Tulsa School District in 1976, he initiated a plan for participative decision making under a management-team approach (Appendix B, p. 164) as a way to "unleash the immeasurable talent, training, and experiences already existing, but in many cases untapped," within the school system ("Tulsa's 'TEAMS': Management by Consensus," 1984:293). Called Toward Education And Management Success (TEAMS), this plan provided a structure under which the superintendent, management personnel, principals, teachers, parents, and other citizens "worked together to make decisions about educating Tulsa's students" (Ibid.).

Cheryl Bensinger, first vice president of the Tulsa Classroom Teachers Association, said she had "complete faith" in the school district administration to keep the teachers' best interest in mind (Ibid.):

Prior to Zenke, it was 'You're on the wrong side' as far as teachers were concerned. Now, what we take to the table is seen in a much more productive atmosphere.

Bensinger and the TCTA president were added as ad hoc members of Zenke's executive staff in 1983, joined by the presidents of the two local principals' organizations and the resource personnel group. All members had an equal part in the decision making and took turns chairing the weekly meetings while Zenke sat as a participant.
The team approach was expanded throughout the district by establishing nine area planning councils to make recommendations on school closings or reorganizations after the district lost 25,000 students in eight years (Burton, 1984:12). Each council encompassed one senior high school and all the junior/middle schools and elementaries which fed into that senior high school. These area councils included parents, teachers, administrators, and sometimes students. They were structured in such a way that staff members could not comprise a majority. Individual school planning councils were also established at each school in the district (Ibid., p. 13).

Before the councils were in operation, massive protests occurred when Mason High School was closed in 1980. In April 1984 the board shut down three elementary schools "without a word of protest." Commented one board member: "I'll have to admit, this is a first" ("Tulsa's 'TEAMS': Management by Consensus," 1984:293).

The participative management process proved to be time consuming for everyone involved. Zenke expected this, as noted in an address to the school board on February 5, 1979 (Burton, 1984:3):

"It will take time to get informed, time to examine alternatives, time to formulate solutions to various other groups, and time to implement the solutions. But lasting change takes time, and it is for such lasting solutions which are acceptable to the community and which hold promise of stability for some time to come, that we will be searching."

Some members of the Tulsa School System initially believed that this approach involved total shared decision making on the part of all
staff members at all times. This unrealistic point of view was countered by Erickson and Gmelch, whose studies (1977) served as a sound theoretical base for the Tulsa system:

A common misunderstanding about the management team is evident in the frequently stated dictum of team decision making: 'All those affected by decisions should be involved in making decisions.' It would be irrational to suggest that the team make all decisions, when, in fact, the superintendent alone is responsible to the board.

Tulsa School System also embraced the concepts of Marilyn Lawrentz (Burton, 1984:5), who identified "three modes of decision making which can be used, depending on the situation." It was important to remember, she noted, that all three kinds of decisions were needed in any working relationship:

1. Unilateral (autocratic) decisions: The person in charge made the decisions with available information.

2. Consultative decisions with input and recommendations from others: Using input, the person in charge made the final decision and assumed full responsibility for it.

3. Consensus (participative) decisions: The person in charge allowed the staff to share in the full responsibility for making the decision as well as in the responsibility for its outcome.

Tulsa's experiences demonstrated that some staff members wanted to "share in the full responsibility for making the decision but not share in the responsibility for the outcome of it" (Ibid.).

Erickson and Gmelch (Ibid., p. 6) advocated individual actions necessary for successful participation in team management. These
actions served as a model for Tulsa's TEAMS philosophy and summarized activities. Tulsa TEAMS:

1. invested significant amounts of time;
2. worked cooperatively rather than competitively toward common goals or purposes;
3. established open and clear lines of communication;
4. trusted in the integrity of colleagues;
5. listened for and tried to understand the full explanation of minority opinions; and
6. practiced acute listening to the opinions of others.

The strengths and limitations of participative management were identified in the TEAMS concept. The strengths included:

1. Employees were treated as persons rather than as objects.
2. There was a greater sense of community.
3. There was a greater feeling of ownership on the part of employees.
4. Quite often the quality of a decision was positively enhanced by an increasing number of inputs.
5. Both motivation and productivity were higher with participative management.

The limitations of participative management included:

1. It was time consuming. Although the decision making time under the consensus mode was longer, the implementation time required to carry out the decision was very much shorter. Therefore, the overall time for participation in management was not increased.
2. Some people viewed it as weak management. However, the fact that a manager did not overtly manifest his or her authority did not diminish its potential for use. The proper use of power was to elicit from subordinates the most effective response.

3. Many people preferred more structure and control. It was then the leader's responsibility to model the team management style of leadership and involve all members in management team workshops.

Part of the success in making Tulsa's TEAMS strategy and structure operational was the utilization of Likert's "linking pin" concept (Ibid., p. 9; Likert, 1961:113; Appendix B, p. 165). Erickson and Gmelch (1977) articulated this concept:

There are certain conditions within organizations which build barriers to effective team operation. In many, the levels of trust, support, motivation, and cooperation are usually lower than levels desired for effective team management. In addition, the norms and culture of most organizations do more to block open expressions of interpersonal feelings than to facilitate honest communication. Also, the use of groups more often tends to be counterproductive than synergistic in arriving at solutions because of the predominance of competitive rather than collaborative individual behavior.

The administrator may be able to implement team management in an organization by using overlapping independent work groups characterized by Likert's "linking pin" concept. If management teams are organized according to the "linking pin" concept, it must be kept in mind that what happens to one team will affect and will be influenced by what happens in other teams within the organization. Employees in link-pin roles will be in better positions to facilitate changes and communication within their own groups.

As described, the ultimate purpose for developing the TEAMS concept in Tulsa was to bring about an improved educational setting.
The School Effectiveness Program, which evolved through participative
decision making as a part of the TEAMS process (Burton, 1984:16),
cluded the "five indispensable characteristics of an effective
school" identified by Ronald Edmonds (Ibid., p. 14) and a sixth
characteristic added by consensus, all of which are defined below:

1. strong leadership;
2. high academic expectations;
3. an orderly learning environment;
4. emphasis on learning;
5. a systematic monitoring of student progress; and
6. strong support from parents and the community.

All principals and their staff members were given the
responsibility to design a plan which promoted the achievement of the
six characteristics of effective schools (Ibid., p. 15). This
collective charge to the Tulsa Public Schools was carried out in a
manner consistent with recommendations advocated by John Goodlad in
A Place Called School (1984):

What I am proposing is genuine decentralization of
authority and responsibility to the local school within a
framework designed to assure school-to-school equity and
a measure of accountability. Each school is to be held
responsible for providing a balanced program of studies. Each school is to develop and present its program and
accompanying planning document and budget to the
superintendent through the principal.

My picture of decentralization is not, then, one of
schools cut loose, but rather of schools linked both to a
hub--the district office--and to each other in a network.
The ship is not alone on an uncharted sea, cut off from
supplies and communication. But neither are decisions
for the welfare of those on the ship the prerogative of
persons in the hub or in charge of other ships. The
principal is the captain with full authority and responsibility for the ship, but if reasonably wise and prepared for the post, he or she will make them in the company and with the counsel of others.

Indeed, it is essential that persons in addition to the principal be involved in decisions for the school's welfare. There should be, for example, some kind of policy and planning group chaired by the principal and including teachers, students, parents, perhaps a non-parent, and, if possible, a representative from the district office. . . . This body would be constantly alert to problems affecting the school as a whole, would identify the need for new policies, and would be responsible for final approval of the planning document and budget prepared for discussion by the principal with the superintendent.

Researchers who studied similar group interaction among managers moving from authoritarian to participative styles noted concerns which "inhibit good group interaction" (Burton, 1984:11) that included (1) fear of making mistakes in front of peers, (2) lack of trust, and (3) fear of peer evaluation. Such concerns were "recognized honestly, and solutions should continually be sought to further the effectiveness of group interaction."

For any management program to be successful, it must be endorsed by the school board, stressed Erickson and Gmelch (1977):

Board members must realize that increased time and energy will be involved on the part of all participating administrators. When the management team is finally launched, it will be helpful if the team members as well as the board can initially focus on the contributions and successes of the team rather than on a possible unstable growth process.

The Tulsa Board adopted the following "Management Team" policy statement (Burton, 1984:16):

The board has the highest concern for both people and production within the organizational structure of
this school district. Therefore, the Board endorses a style of leadership which will promote team management.

The management team is organized on the premise that the multiple responsibilities of the superintendent can be better served by establishing a means which will permit the best thinking of staff members to be brought to bear on school problems. Although the Board and the superintendent cannot absolve themselves of legally constituted responsibilities, the team provides for a two-way flow of information and effective action resulting from group thinking.

The superintendent will lead, determine, structure and designate membership for the total management team. This team is responsible to the superintendent who, in turn, is responsible to the Board.

An Integrated Approach

Kilmann (1984b:37) clearly articulated the need for an integrated approach to "revitalizing" American organizations:

Everyone in every organization has heard the message: The world is characterized by dynamic complexity. Toffler's Future Shock has been with us for more than a decade. Why, then, do organizations still act as if the world is a simple machine? Why do managers speak of complexity yet act out of simplicity? What does it take to finally come to grips with the holographic world? Will top managers commit beyond the quick fix?

The realization of the American dream rests on the promise of commitment. If top managers do not act on this promise . . . all other efforts at providing integrated programs will be wasted. Chief executives will continue to search for the Holy Grail, whether it be a magical machine to solve their technical problems or a quick fix for their organizational problems. Continuing with such misplaced efforts eventually will decrease our productivity as a nation, threaten our standard of living and political freedom, and erode our position of world leadership. The alternative is to address the fundamental problem facing our society today: failure to place a long-term total commitment behind an integrated program for organizational success.

Commitment to act--to put oneself on the line, to risk failure and humiliation--is a very difficult proposition. Most individuals are uncomfortable with the idea of fully committing to anything, whether it be
another person, an idea, or an integrated solution to a complex problem. Some managers are so afraid of being held responsible that they do not act. Others are willing to act as long as they can blame someone else for the results. However, as Harry Truman once said regarding responsibility in the Oval Office: "The buck stops here!" For CEOs, so also stops certainty and precision in all that transpires. Thus, accepting personal responsibility for success amidst uncertainty and imperfection is the only way top executives can move forward in a holographic world. Only in the world as a simple machine can executives expect absolute guarantees before they take action.

Throughout the preceding chapters, research, analysis, and the insights of those far more experienced served as a catalyst for action and synthesis. The task was to design a model for an integrated approach to change. The more the human mind extended past the boundaries of personal experience to share vicariously in the thoughts and activities of others, the more clearly a single truth emerged: there was no original thought, only individual discovery of already existing truth. The following words crystallized the challenge:

Somewhere in the heart of experience there is an order and a coherence which we might surprise if we were attentive enough, loving enough, or patient enough. Is there still time?

-- Lawrence Durrell, Justin
CHAPTER 4
A Model for Effective Organizational Change

Most of the concepts for the model which was developed were formulated prior to reading any of the ideas presented so cogently by Ralph H. Kilmann. It was a feeling of true intellectual discovery and excitement to realize that someone of Dr. Kilmann's academic eminence and managerial experience had already identified concepts and a process very similar to those developed herein. After reading the brief synopsis of his "integrated program for organizational success" (1984b:24), an effort was quickly made to obtain his view presented in greater depth (1984a).

What followed was a synthesis in response to the myriad of research, concerns, ideas, experiences, and recommendations already cited. As it evolved, it was also an adaptation of the "no 'quick fix'" concept (Ibid.) presented by Dr. Kilmann. It was developed, however, to address the specific concerns and activities of school systems.

Three Dimensions of Thinking

One-Dimensional Thinking

A one-dimensional view of a school system developed a simplistic approach to growth and change:

1. Each part within a system operated within its own space and independently fulfilled its own role.
2. A set of rules was applied exclusively to each individual part without affecting other parts of a system.

3. If something went wrong with one part of a system, the defective part was replaced without affecting the other parts.

4. Because each part operated independently, solutions to problems were straightforward, simple, and did not interact with other parts.

5. One cause elicited one effect; by the same token, one effect was researched to a single cause.

6. Each part operated smoothly and efficiently if independent and uninterrupted attention was given to its needs.

7. Each problem had one correct solution, regardless of surrounding problems.

One-dimensional thinking neatly categorized and divided the functions, activities, and resulting problems of a school system (Figure 1).

Two-Dimensional Thinking

A two-dimensional view of a school system developed a more integrated approach to growth and change:

1. Each of the parts within a system interacted with all of the other parts.

2. Each part of a system acted upon and reacted to its total environment.
3. To achieve its own goals, each part of a system combined with the whole and developed a balance between internal forces as it adapted to the external environment.

4. The system as a whole thus became more than and was empowered by the sum of its parts.

5. Dynamic equilibrium was achieved as the combined system transformed inputs into outputs and adapted to its environment.

6. By a continued and appropriate use of inputs transformed into outputs, changes in the environment were accommodated and a steady state was achieved.

7. Positive and negative feedback from internal and external environments interacted with and balanced the whole system at the surface level where actions were easily observed and measured.

   Two-dimensional thinking recognized that every part of a system was interdependent with every other part. Therefore, a problem in one part of a system eventually created problems in all other parts (Figure 2).

Three-Dimensional Thinking

A three-dimensional view of a school system added depth to perception by probing beneath the surface to uncover additional and powerful forces which impacted growth and change:

1. Strategies, structures, and incentives formed only the surface of a school system. Planned change was not achieved by attention at the surface level only.
Figure 1
A one-dimensional view of a school system

Figure 2
A two-dimensional view of a school system

INTERNAL ENVIRONMENT
Students, Teachers, Support Staff, Administrators, Parents, Educational Associations

Curriculum, Programs and Services, Supplies and Equipment, Facilities, Financial Resources, School Climate, Other

EXTERNAL ENVIRONMENT
Demography, Stakeholders, Society, Competition, Media, International Relations, Other

Politics, Legislation, Government, Technology, Economics, Commerce, Other
A three-dimensional view of a school system
(Adapted from concepts presented
by Ralph H. Kilmann)
2. Three-dimensional thinking identified the unconscious and nonrational aspects of human life as the support structure to the open system.

3. Group culture was discovered as the unwritten, unspoken personality of the organization that filled in the gaps between what was declared and what actually took place within a system.

4. Three-dimensional thinking uncovered the unstated and untested assumptions which were assumed to be true within a school system but were proven to be false under closer scrutiny.

5. Probing the depths of the human psyche created more realistic assumptions concerning how people within a system thought and acted.

6. Understanding human nature—what people wanted, feared, resisted, supported, and defended—undergirded successful accomplishment within the strategies and structures of the open system.

7. Three-dimensional thinking created the foundation of an integrated program for effective organizational change as it identified, accepted, and nurtured the complex human elements within a school system (Figure 3).

**Five Steps to Success within an Organization**

Single approaches to organizational change were not long-lasting or effective when applied independently. There were no simple solutions to the complex problems a school system faced. Lasting change took time and a multiplicity of efforts.
Five steps to organizational success formed an integrated approach to planned change within a school district. The following key concept areas built upon each other in sequential order to form a solid strategic structure: (1) group culture; (2) management skills; (3) team building; (4) integrated planning; and (5) incentive programs. These steps were in harmony with the many facets of systems theory, gave material form to three-dimensional thinking, and incorporated a variety of effective managerial practices (Figure 4). A brief analysis and suggested application of these five steps was included in the handbook School System Strategy and Structure: 5 Steps to Success (Appendix C).

The principle of equifinality in systems theory proposed that there was no "one best way" to achieve organizational goals (Miles, 1975:237). Instead of following a specific action plan, basic concepts for achieving success within a school system were identified and introduced in sequential steps. Although ideas for application were presented, specific methods for implementation depended upon the unique needs and circumstances of individual school districts.

An Ongoing Cycle for Planned Change

Theory was useless without application. The five steps to organizational success focused attention on what needed to be accomplished. Focus by itself, however, was not enough; a process for application specified how to proceed in order to achieve each step:

Planned change can be viewed as a crucial link between theory and practice, between knowledge and
School System Strategy and Structure

5 Steps To Success

- Incentive Programs
- Integrated Planning
- Team Building
- Management Skills
- Group Culture
Ongoing cycle for planned change
(Adapted from concepts developed by Ralph H. Kilmann)

1 Diagnose Needs
2 Obtain Support
3 Identify Strategy
4 Prescribe Action
5 Implement Plan
6 Evaluate Results
action. It plays this role by converting variables from the basic disciplines into strategic instrumentation and programs (Bennis, 1966:81).

Planned change was a deliberate attempt to influence the natural course of events; it was the alternative to evolution and chance. The goal of planned change was to "alter outcomes, to accomplish something--such as organizational success--that will not occur on its own" (Kilmann, 1984a:59).

The ongoing cycle for planned change (Figure 5) identified the six phases that achieved each step in organizational improvement: (1) needs were diagnosed, (2) support was obtained, (3) strategies were identified, (4) actions were prescribed, (5) plans were implemented, and (6) results were evaluated. Movement from one phase to the next did not take place until the previous phase was completed. Any incompletely phase eventually became a weak link in the organizational structure. Therefore, it was essential that the change process was controlled to ensure that each phase was conducted properly and thoroughly before proceeding to the next phase (Ibid., p. 60).

A Summative View of a Model for Change

The following key elements were presented in a model for change within a school district:

1. Three-dimensional thinking was necessary to identify, analyze, and nurture the complex human element within an organization.

2. Lasting change was time-consuming and required an integrated, sequential effort in key concept areas to form a solid organizational structure.
3. An ongoing cycle for planned change identified the necessary phases required to achieve each step in organizational improvement.
CHAPTER 5
In Summary

Review of the Developmental Study

The purpose of this study was to develop an integrated program for effective organizational change within a school district involving staff, student and citizen participation.

The study addressed the following questions:

1. What organizational factors acted as barriers against or channels for facilitating planned change?

2. What effective methods were integrated for accomplishing planned change?

3. How were staff, students, and citizens involved and interrelated in the planning and changing processes?

4. What were the sequential steps and related time lines for initiating and achieving planned change?

5. What human resources were required for the implementation of effective organizational change?

6. How were the integrated methods for planned change evaluated?

The questions were resolved in the following manner:

1. Several concepts and techniques pertinent to strategic planning and in harmony with systems theory were examined and applied to educational planning.
2. Nationwide data pertaining to educational planning and organizational change were surveyed from a variety of historical and current sources.

3. Human elements of an organization that can act as barriers against or channels for facilitating planned change were reviewed.

4. Effective current practices for implementing participative management and decision making, as well as community involvement, were presented.

5. Leadership requirements for the implementation of effective organizational change were discussed.

6. An integrated program for effective organizational change within a school system involving staff, students, and citizens was developed.

7. Included in an integrated approach to planned change were methods for application and evaluation of the process. A handbook was developed for use by school systems as an aid to implementation and formative evaluation of the planning model presented.

Conclusions

1. The need for planned change to improve performance and increase productivity within a school system was demonstrated.

2. Current trends were carefully analyzed to help school systems present a more accurate forecast upon which to base educational programs.
3. The importance of participation by stakeholders in both the internal and external environments of a school system was clearly established.

4. The implementation of a structure for strategic planning, even when accompanied by some form of participative decision-making, was not sufficient to ensure the improvement of organizational performance unless complex human elements within a system were also addressed.

5. Three-dimensional thinking created the foundation of an integrated program for effective organizational change as it identified, accepted, and nurtured the complex human elements within a school system.

6. Lasting change was time-consuming and required an integrated, sequential effort in key concept areas to form a solid organizational structure.

7. An ongoing cycle for planned change identified the necessary phases required to achieve each step in organizational improvement.

Recommendations for Further Study

Based upon the conclusions of this study, recommendations for further study included the following topics:

1. The effective use of external consultants in implementing an integrated approach to planned change within a school system.

2. An analysis of gains in student achievement as part of an integrated approach to planned change within a school system.
3. The correlation between successful incentive programs and effective implementation of an integrated approach to planned change within a school system.

4. A union-management collegial model as a basic component of an integrated approach to planned change within a school system.

5. The long-term effectiveness of community advisory councils operating within the context of an integrated approach to planned change within a school system.

6. The role of an educational foundation in the implementation of an integrated approach to planned change within a school system.
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THE FORMATIVE EVALUATION PROCESS IN THE CLARK COUNTY SCHOOL DISTRICT COMPREHENSIVE MASTER PLAN FOR EXCELLENCE IN EDUCATION

PURPOSE

Clarify for all concerned the values, data, and other considerations addressed in long-range planning for public education.

GOAL

Achieve significant educational gain through a careful process which builds understanding, elicits cooperation, and fosters commitment on the part of community, staff, students, and lawmakers.

RATIONALE

--Formative evaluation provides information upon which to base decisions during the long-range planning.

--It is an ongoing part of planning and contributes most when established at the beginning of the process.

--Formative evaluation is based upon sound data which all involved can understand, sound values which all involved share, and systematic deliberations in which all have a part.

--The more thorough the formative evaluation, the better the end results will be.

PROCESS

1. Define purpose, goals, and standards for long-range planning.

   --Define the purpose and goals in the comprehensive master plan process (see master plan booklet).

   --Analyze the district's Statement of Educational Principles and Elements of Quality as a basis for evaluating decision making.

   --Establish common organizational structures, operating procedures, and reporting standards for each subcommittee.
2. Identify areas of concern.

--Categorize major areas of concern into subcommittee titles.

--List broad descriptors under each subcommittee to serve as a starting point for defining specific areas of concern.

--Introduce a method for reaching decision consensus within each subcommittee; utilize this method with each subsequent process step.

--Define specific areas of concern to be addressed by each subcommittee; recognize a realistic cutoff point determined by the time frame.

--Share specific areas of concern with members of corresponding reaction committees; address an analysis of their reactions.

3. Review existing conditions.

--Gather data pertinent to the current status of specific areas of concern within the district.

--Place the current data in perspective by reviewing the district's history in specific areas of concern.

--Review what is happening in other states (as feasible) regarding specific areas of concern.

--Adapt the study group concept within the subcommittee as part of the process for reviewing existing conditions.

--Share a summary of existing conditions pertaining to specific areas of concern with members of corresponding reaction committees; address an analysis of their reactions.

4. Forecast future needs within areas of concern.


--Forecast future local educational trends determined by analyzing district projections and the megatrend theories as applied to education.

--Employ the force field analysis technique (Northwest Regional Educational Laboratory, Portland, Oregon) in assessing local educational forecasting.
FORMATIVE EVALUATION PROCESS (continued)

--Share a forecast of future local educational trends pertaining to specific areas of concern with members of corresponding reaction committees; address an analysis of their reaction.

5. Clarify the district's values and criteria at the subcommittee level.

--Review the master plan purpose and goals, as well as the district's statement of educational principles and elements of quality.

--Refine, distill, and condense the listed statements as needed into a set of criteria against which the areas of concern can be screened.

--Validate the adequacy of the criteria as a measure for discrepancy between existing and desired conditions.

6. Determine desired conditions within each area of concern.

--Screen specific areas of concern against the clarified set of criteria developed.

--List those desired conditions which emerge as a result of this evaluation process.

7. Identify discrepancy between what is desired and what exists.

--List needs in each specific area of concern.

8. Determine corrective action required to eliminate or lessen the discrepancy.

--Assess how to meet needs in each specific area of concern.

--Project human and material resources required to meet needs.

--Record each specific assessment of needs and the corresponding identification process on a separate subcommittee report form.

--Share the method of identifying desired conditions and the corrective actions required to meet those conditions with members of appropriate reaction committees; address an analysis of their reactions.
9. **Incorporate the proposed corrective actions of all subcommittees into one composite district proposal.**

   --Prioritize in the individual subcommittees each of the corrective actions developed.

   --Share all prioritized subcommittee corrective action proposals at a meeting of the steering committee.

   --Utilize a decision consensus method to design one composite proposal.

10. **Validate the composite proposal by public reaction.**

    --Design a visual presentation which summarizes and analyzes the composite proposal and its developmental process.

    --Share a visual and verbal presentation of the composite proposal at a meeting of the total advisory committee.

    --Share the composite proposal with members of all reaction committees; address an analysis of their reactions.

    --Share a visual and verbal presentation of the composite proposal at a televised town hall meeting; solicit on-air telephone calls and responses from those present.

11. **Translate a refinement of the composite proposal into a comprehensive set of recommendations.**

    --Assess written responses from members of reaction committees and from those attending the town hall meetings.

    --Refine the composite proposals to meet a standard format with the assistance of writers from each subcommittee.

    --Assemble and print the comprehensive master plan recommendations; disseminate the printed recommendations to the subcommittees and community at large.

12. **Present the comprehensive master plan recommendations to the Board of School Trustees for action.**

    --Hold open hearings for public discussion and input regarding master plan recommendations.

    --Request the Board of School Trustees to determine which recommendations will be adopted for implementation by the school district.
MEGATRENDS AND MASTER PLANNING
—FORECASTING FOR THE FUTURE—

MEGATREND 1: From an industrial society to an information society. Today 55% of American workers process data and information. One estimate predicts that by 1985, 75% of all jobs will involve computers. The resource in the information society is knowledge.

**Effect on Education:** Basic skills in English and math are critically needed. Funding will be needed to finance: teaching basic skills (more teachers), attracting and keeping top teachers, and purchasing and operating computers. Look at more time on task (more efficient use of time, longer day, longer year).

MEGATREND 2: From forced technology to high tech/high touch. This trend symbolizes the need for balance between the material wonders of technology and the spiritual demands of human nature. The more high technology there is, the more the need for "human touch" is emphasized.

**Effect on Education:** There will be a focus on the unique and individual needs, ideas, and participation of both employees and students. This trend will affect employee-management relations at all levels: it will emphasize participation in management and a partnership approach rather than an "opponent" approach in problem solving.

MEGATREND 3: From a national economy to a world economy. Increasingly, Americans are dependent upon the products of other countries. All worldwide economies act and react on a continuing basis. The U.S. must keep its technical and competitive advantage in computers if we take advantage of new worldwide markets.

**Effect on Education:** There will be an increased emphasis on foreign language study and computer technology classes at an earlier age. This will combine with an increased emphasis on basic math and language development as a required foundation. More time on task will be required (look at more efficient use of time, longer day, longer year).

MEGATREND 4: From short term to long term. Rewards have traditionally been short-term, sacrificing the future to make this year look better. However, long-term planning is becoming a familiar theme in many successful business circles—especially in those operating within worldwide markets. People are becoming more sensitive to the long-range effects of their short-term actions.

**Effect on Education:** Long-range planning for districts, a study of megatrends and future needs, and an emphasis on a unified approach to K-12 curriculum are all examples of valuing a long-term view. The trend will lead to a more professional partnership role in employee-management relations.

MEGATREND 5: From centralization to decentralization. There is a demand for greater bottom-up participation in policy-making. President Reagan's plan to convert federal grant programs to broad block grants spent as the state sees fit is one example. Because of a long tradition of local control, education is a natural issue for local participation.

**Effect on Education:** Local citizens will have more to say about funding requests. Districts will become increasingly accountable to the public. The end product will be looked at carefully, as well as the accuracy in measuring the quality of that product. Citizen participation in the master plan is an example of local involvement.

MEGATREND 6: From institutional to self-help. For decades, institutions such as the government and school systems have been buffers against life's hard realities. Americans are reclaiming their traditional sense of self-reliance. Private citizens are making up the slack in funds and community services.

**Effect on Education:** Fund raising, booster clubs, and parent organizations will flourish. Look for volunteers increasing in classes and programs. Educators will take some funding proposals to individual citizens and companies. These efforts will show an emphasis on community values for education and should prove helpful in acquiring legislated funding.

MEGATREND 7: From representative democracy to participatory democracy. Participatory democracy is spreading bottom-up across America. The guiding principle is that people must be a part of the process of arriving at decisions that affect their lives. Being part of the planning process does not mean controlling its outcome. It does mean having access to the decision long before it is finalized.

**Effect on Education:** Community and staff involvement in the master plan process is an example. A professional partnership (instead of opponents' roles) in employee-management relations is part of this trend. Parent organizations will seek more meaningful input into local school decisions.

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**Effect on Education:** CCSD analysis of Megatrends
MEGATRENDS AND MASTER PLANNING
—FORECASTING FOR THE FUTURE—

MEGATREND 8: From hierarchies to networking. Networks exist to foster self-help, to exchange information, to change society, to improve productivity and work life, and to share resources. A network is the first step of a community or employee self-help group to oppose a rigid hierarchical structure in an organization. Networking suggests more informality, equality, and bottom-up participation. Effect on Education: With more technology in schools, there is an increasing need for human interaction. As a school district administration adopts more of a networking style of management (nurturing one another, informality, equality, bottom-up participation), it will create more effective partnerships with staff and community members.

MEGATREND 9: From north to south. There has been a massive shift of population, wealth, and economic activity from North to South nationwide. This trend is tied to three other megatrends: (1) industrial to information society, (2) national to a global economy, and (3) centralized to decentralized society. Each trend is related. Effect on Education: These same factors affect Nevada’s economy. The available tax dollar is not increasing as fast in Nevada as the growing need for funding. Long-range educational planning must be supported by staff and community involvement. The focus must be on the biggest return for the dollar.

MEGATREND 10: From either/or to multiple option. There are more opportunities for choice in the lives of Americans than ever before. Fashion, entertainment, eating habits, and religion all offer multiple options for meeting needs and desires. Americans can choose to highly individualize their life styles. Effect on Education: Local citizens have the right to determine local educational needs. National conditions might vary locally. Special emphasis schools, where students study specialized areas in depth, are an example of multiple options. Employee benefits can have multiple options when computerized.


Effect on Education: CCSD analysis of Megatrends
OUR MISSION
Help all students reach their individual potential for lifelong learning.

WAYS TO ACHIEVE IT
1. Ensure effective use of time, tools, facilities, and people to provide students with productive educational opportunities.
2. Foster a spirit of united purpose and equal worth among all school district employees.
3. Build partnerships between the schools and the community.
4. Promote legislation which enables the accomplishment of the above.

WHAT WE VALUE
Students, parents, staff, and community members must understand and be committed to a set of common educational values if we hope to achieve our mission. In the Clark County School District, we're proud to please.

We value people. We respect individuals and treat them with dignity. Whether they are students, staff, parents, or other community members, people are our most important asset.

We value learning. Curiosity and a desire to understand lead to discovery, knowledge, and skill. As people at any age grow in ability, they feel good about themselves. Their successes guide the way to further discoveries and lifelong learning.

We value excellence. Remarkable things happen when we expect the best from people. We get the best they have to offer. Excellence sets a standard. It builds pride in achievement, yet it urges us on to greater performance.

We value action. People who continually try, experiment, and take risks become the doers. Action emphasizes the doable. It focuses on results. Thinking without doing is incomplete; action must follow planning.

We value service. Sharing time, talents, and energy creates a spirit of cooperation and excitement. As people go the second mile through service, they give their very best. Everyone benefits when we willingly respond to the needs of others.

We value enthusiasm. Enthusiastic people have found the key to their full potential. Enthusiasm is contagious. It unlocks energy as it builds determination and commitment. It is as essential for success as talent and skill.

We value:

P eople;
L earning;
E xcellence;
A ction;
S ervice;
E nthusiasm.

"We're proud to please!"

—Robert E. Wentz
Superintendent of Schools
Building Staff Morale

George Mason University conducted a recent study of employees' responses to "What they want from their jobs," and management's conception of "What employees want from their jobs." Note the striking misconception on the part of management: The first thing desired by workers was "full appreciation for work done," while management thought the first thing desired was "good wages."

WHAT WORKERS WANT FROM THEIR JOBS

<table>
<thead>
<tr>
<th>Employees Rank</th>
<th>Management Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Appreciation for Work Done</td>
<td>1</td>
</tr>
<tr>
<td>Feeling &quot;in&quot; on Things</td>
<td>2</td>
</tr>
<tr>
<td>Sympathetic Understanding of Personal Problems</td>
<td>3</td>
</tr>
<tr>
<td>Job Security</td>
<td>4</td>
</tr>
<tr>
<td>Good Wages</td>
<td>5</td>
</tr>
<tr>
<td>Interesting Work</td>
<td>6</td>
</tr>
<tr>
<td>Promotion and Growth with Company</td>
<td>7</td>
</tr>
<tr>
<td>Management Loyalty to Workers</td>
<td>8</td>
</tr>
<tr>
<td>Good Working Conditions</td>
<td>9</td>
</tr>
<tr>
<td>Tactful Disciplining</td>
<td>10</td>
</tr>
</tbody>
</table>

ANALYSIS:

Employee morale is founded on a feeling of self-worth, recognition for a job well done, comfort with evaluation methods, and a feeling of being included in deciding how his or her work is to be performed or changed. To ignore this is to create a climate of stress.

Communication Is a Key to Motivation

A 1982 survey of 32,000 employees in 26 corporations in the United States and Canada produced critical information for school administrators interested in improving their communications with staff and resulting staff motivation.

From the described survey, the following chart illustrated the differences between employees' preferred methods for receiving information about their organization and current methods for receiving information.

### EMPLOYEE PREFERRED AND CURRENT MAJOR SOURCES FOR RECEIVING ORGANIZATIONAL INFORMATION

<table>
<thead>
<tr>
<th>Sources of Information</th>
<th>Ranking of Preferred Major Sources</th>
<th>Ranking of Current Major Sources</th>
</tr>
</thead>
<tbody>
<tr>
<td>My immediate supervisor</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Small group meetings</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Top executives</td>
<td>3</td>
<td>11</td>
</tr>
<tr>
<td>Employees handbook/other brochures</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Local employee publication</td>
<td>5</td>
<td>8</td>
</tr>
<tr>
<td>Orientation program</td>
<td>6</td>
<td>12</td>
</tr>
<tr>
<td>Organization-wide employee publication</td>
<td>7</td>
<td>6</td>
</tr>
<tr>
<td>Annual state-of-the business report</td>
<td>8</td>
<td>7</td>
</tr>
<tr>
<td>Bulletin boards</td>
<td>9</td>
<td>5</td>
</tr>
<tr>
<td>Upward communication program</td>
<td>10</td>
<td>14</td>
</tr>
<tr>
<td>The union</td>
<td>11</td>
<td>9</td>
</tr>
<tr>
<td>Mass meetings</td>
<td>12</td>
<td>10</td>
</tr>
<tr>
<td>Audio-visual programs</td>
<td>13</td>
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<tr>
<td>Mass media</td>
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<td>The grapevine</td>
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HERZBERG'S MOTIVATION-HYGIENE THEORY

A CLASSIC PROFILE OF MOTIVATORS AND HYGIENE FACTORS IN AN ORGANIZATION

<table>
<thead>
<tr>
<th>HYGIENE (KITA FACTORS)*</th>
<th>MOTIVATION (GROWTH FACTORS)</th>
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</thead>
<tbody>
<tr>
<td>JOB DISSATISFACTION</td>
<td>JOB SATISFACTION</td>
</tr>
<tr>
<td>EXTRINSIC TO JOB</td>
<td>INTRINSIC TO JOB</td>
</tr>
</tbody>
</table>

- ACHIEVEMENT
- RECOGNITION
- WORK ITSELF
- RESPONSIBILITY
- ADVANCEMENT
- GROWTH

- COMPANY POLICY AND ADMINISTRATION
- SUPERVISION
- INTERPERSONAL RELATIONSHIPS
- WORKING CONDITIONS
- SALARY**
- STATUS
- SECURITY

1. Factors involved in producing job satisfaction (and motivation) are separate and distinct from the factors that lead to job dissatisfaction.
2. The opposite of job satisfaction is not job dissatisfaction, but no job satisfaction.
3. Similarly, the opposite of job dissatisfaction is not job satisfaction, but no job dissatisfaction.

* Avoidance of pain!

** Because of its ubiquitous nature, salary commonly shows up as a motivator as well as hygiene. Although primarily a hygiene factor, it also often takes on some of the properties of a motivator, with dynamics similar to those of recognition for achievement.

THE EIGHT MOTHERHOODS OF EXCELLENCE

The following motherhoods are attributes that characterize excellent, innovative organizations:

1. A Bias for Action. Excellent organizations, when faced with a problem, attack it. Rather than utilizing committees, they are more apt to take 10 senior staff, put them in a room for a week, and keep them there until a solution is forthcoming.

2. Close to the Client. Very good organizations learn from the people they serve. They listen intently and regularly.

3. Autonomy and Entrepreneurship. Excellent organizations give freedom and authority to their subunits. They encourage risk-taking and support good tries.

4. Productivity through People. The excellent organizations respect the individual. Although a simple concept, it occupies a major portion of management's time.

5. Value Driven. Excellent organizations stick to their values (philosophies) consistently. This is more important than organizational structure, innovations and timing.

6. Stick to the Knitting. Keep to the business you know. Do not expand away into other areas.

7. Simple Form, Lean Staff. Keep structure elegantly simple. Top-level staffs are lean.

8. Simultaneous Loose-Tight Properties. Excellent organizations are both centralized and decentralized.

THE ART OF JAPANESE MANAGEMENT AND THE SEVEN S'S

THE ART OF JAPANESE MANAGEMENT IS DIFFERENT FROM AMERICAN MANAGEMENT METHODS

It's a matter of the Seven S's.

Western Companies have tended to favor these three S's:

- **Strategy**
- **Structure**
- **Systems**

When an American manager wants to make changes, the odds are that he'll reorganize structure, introduce a new strategic direction, and impose a new control system.

Our emphasis on the first three S's produces an arid world in which nothing is alive. An organization is often given its life through the soft S's:

- **Staff**
- **Skills**
- **Style**

The tremendous success of many Japanese companies comes through meticulous attention to the soft S's, which act as a lubricant in the organization machine to keep the hard S's from grinding one another away.

The Seven S's

- **Strategy**: Plan or course of action leading to the allocation of a firm's scarce resources, over time, to reach identified goals.
- **Structure**: Characterization of the organization chart (i.e., functional, decentralized, etc.).
- **Systems**: Proceduralized reports and routinized processes such as meeting formats.
- **Staff**: "Demographic" description of important personnel categories within the firm (i.e., engineers, entrepreneurs, M.B.A.s, etc.). "Staff" is not meant in line-staff terms.
- **Skills**: Distinctive capabilities of key personnel or the firm as a whole.
- **Style**: Characterization of how key managers behave in achieving the organization's goals; also the cultural style of the organization.
- **Superordinate Goals**: The significant meanings or guiding concepts that an organization imbues in its members.

THREE TYPES OF ORGANIZATIONS

1. **Type A Organizations**: demonstrate formality, distance, and contractualism at the expense of intimacy, subtlety, and trust.

2. **Type J Organizations**: represent an adaptation to conditions of homogeneity, stability, and collectivism where individual behaviors mesh intimately together. (Japanese)

3. **Type Z Organizations**: maintain that managers and their subordinates need not necessarily work harder; instead, the mechanisms of coordination between them must be more attuned to subtlety of relations that are essential to their joint productivity.

HOW TO CHANGE FROM TYPE A TO TYPE Z

1. Understand the Type Z organization and your role.
2. Audit your organization's philosophy.
3. Define the desired management philosophy and involve the leader.
4. Implement the philosophy by creating both structures and incentives.
5. Develop interpersonal skills.
6. Test yourself and the system.
7. Involve the union.
8. Stabilize employment.
9. Decide on a system for slow evaluation and promotion.
10. Broaden career path development.
11. Implement first at the highest level.
12. Seek a variety of ways to implement at the lowest level.
13. Permit the development of holistic, egalitarian relationships.

Summary

1. Going from A to Z reaches down to touch every worker in every office and plant after perhaps 10 to 15 years of sustained effort.

2. Once begun, the process of participative management is largely self-sustaining because it appeals to the basic values of all employees.

3. The process promotes greater productivity and efficiency through better coordination and will flourish unless intentionally stopped by a disenchanted or threatened union or by top management.

### TEN HIGHEST RANKED CHARACTERISTICS OF A PARTICIPATIVE LEADER

<table>
<thead>
<tr>
<th>Rank</th>
<th>CHARACTERISTIC</th>
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<tbody>
<tr>
<td>1</td>
<td>Gives subordinates a share in decision-making.</td>
</tr>
<tr>
<td>2</td>
<td>Keeps subordinates informed of the true situation, good or bad, under all circumstances.</td>
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<tr>
<td>3</td>
<td>Stays aware of the state of the organization's morale and does everything possible to make it high.</td>
</tr>
<tr>
<td>4</td>
<td>Is easily approachable.</td>
</tr>
<tr>
<td>5</td>
<td>Counsels, trains, and develops subordinates.</td>
</tr>
<tr>
<td>6</td>
<td>Communicates effectively with subordinates.</td>
</tr>
<tr>
<td>7</td>
<td>Shows thoughtfulness and consideration of others.</td>
</tr>
<tr>
<td>8</td>
<td>Is willing to make changes in ways of doing things.</td>
</tr>
<tr>
<td>9</td>
<td>Is willing to support subordinates even when they make mistakes.</td>
</tr>
<tr>
<td>10</td>
<td>Expresses appreciation when a subordinate does a good job.</td>
</tr>
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</table>

QUALITY CIRCLES

I. THE BASICS

1. Quality circles are groups of people who meet on a regular basis and volunteer to deal with problems that they have some chance of controlling or fixing.

2. Their task is not only to identify problems but to analyze and provide a recommended solution.

3. The work of the group is most efficient and effective if it is defined by a common interest.

4. To ensure participation by all, the size of the group may range from a minimum of three to a maximum of 12.

5. Meeting on a regular basis helps ensure progress. The meeting time (usually one hour per week) could be arranged for after school hours.

6. The group must function as a volunteer organization. Members must believe their participation makes a difference.

II. STARTING UP

1. Top management must understand and fully support the quality circle concept. Agree to start small, use a few pilot circles, and then test the concept within the total system.

2. Use a trained facilitator. Develop an active steering committee that establishes guidelines for operation.

3. Provide problem-solving training for members. Ensure that their participation is voluntary and that recognition for their efforts is meaningful.

III. THE GROUP PROCESS

1. Identify problems
2. Select a problem
3. Collect data
4. Analyze data
5. Prepare a final presentation:
   -- Implement plan for proposed solution
   -- Consideration of possible results of proposed changes
   -- Methods for measuring results
6. Present to management for review and decision (approve, request modification, or disapprove)
7. Implement approved recommendation.

THE FUNCTION OF TEAMS

<table>
<thead>
<tr>
<th>Team Management Is</th>
<th>Team Management is Not</th>
</tr>
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<tbody>
<tr>
<td>1. A way of controlling responsibility through participative management rather than unilateral decisions.</td>
<td>1. A giving up of power and responsibility.</td>
</tr>
<tr>
<td>2. A method which requires compromise and respect for other opinions in reaching a group decision.</td>
<td>2. A method whereby everyone's wishes can be accepted and accommodated.</td>
</tr>
<tr>
<td>3. A way individuals can participate in a group decision.</td>
<td>3. A means of giving everyone what they want.</td>
</tr>
<tr>
<td>4. A way of resolving conflicting attitudes and beliefs.</td>
<td>4. A way of controlling people.</td>
</tr>
<tr>
<td>5. Encouraging a group to contribute their ideas to the chief administrator's or board's final decision or action.</td>
<td>5. A way of forcing the chief administrator's ideas onto a group.</td>
</tr>
<tr>
<td>6. Collaborative thinking in resolving problems.</td>
<td>6. Consolidated management in which solely advice on problems is requested.</td>
</tr>
<tr>
<td>7. A means of giving those who will be implementing the decisions a chance to participate in making them.</td>
<td>7. A means of turning power and responsibility for the organization over to middle managers and teachers.</td>
</tr>
</tbody>
</table>

LINKING PIN CONCEPT REPRESENTING OVERLAPPING GROUP FORM OF TEAM MANAGEMENT

BOARD .... [Diagram of a triangle with labels: BOARD, CHIEF ADMINISTRATOR, MIDDLE MANAGER, DEPT. HEADS, MANAGEMENT TEAM, "Link Pin" Team Member]

(Note: Teams may vary in size as circumstances require.)

*5 other "linking pins" on the superintendent's executive staff in Tulsa (TEAMS) include the leadership of each personnel association.

Incentive Programs
Integrated Planning
Team Building
Management Skills
Group Culture

5 Steps To Success
"This book is but a draft. Nay, a draft of a draft.
Oh, time, money, and patience!"

--Herman Melville
# 5 Steps To Success

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<td>(4) Prescribe Action</td>
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<td></td>
<td>(4) Prescribe Action</td>
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<td></td>
<td>(5) Implement Plan</td>
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<td>(6) Evaluate Results</td>
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Chapter One

A MODEL FOR EFFECTIVE ORGANIZATIONAL CHANGE

Chapter 4 of the dissertation (pp. 117-127) will be placed here as the introductory chapter to the handbook (pp. 1-11). It will be rewritten in the present tense.
PLEASE NOTE:

These pages not included with original material. Filmed as received.
See Pages 117-127

University Microfilms International
Chapter Two

THE ROLE OF
THE SUPERINTENDENT AS A LEADER
IN ACHIEVING PLANNED CHANGE

Top managers are the villains who get blamed for steering organizations into crises, and they are the heroes who get the credit for rescuing organizations from crises. Such blaming and crediting are partly ritualistic, but also partly earned. Top managers do in fact guide organizations into crises and intensify crises; they also halt crises by disclosing opportunities, arousing courage, and stirring up enthusiasm.

The top managers who instigate dramatic turnarounds deserve admiration, for they have accomplished very difficult tasks of emotional and conceptual leadership. Even greater heroes, however, are the top managers who keep their organizations from blundering into trouble in the first place (Nystrom, 1984:64).

As the chief executive officer of a school district, the superintendent is held responsible by the school board for the educational performance and the organizational stability of the district. Within that role the superintendent:

1. helps the board define the district's mission and the jobs to be done;
2. devises a strategy to do the jobs;
3. chooses the people who can do the jobs;
4. takes responsibility for accomplishing the mission;
5. selects, organizes, and gives leadership to the management team;
6. oversees district planning, staff development, and incentive systems;
7. ensures adequate control of finances and operations;
8. provides recommendations to the board regarding decision making, policies, and planning; and
9. serves as the board's agent in all relationships with the staff (Genck, 1980:61).
There is no simple, single solution to the success of a school system. Planning for that success is a complex and integrated process, as Ellis outlines (1980:27):

1. Individual elements that may shape the future must be isolated.
2. Flexible action plans must be initiated to exploit the opportunities that have been uncovered.
3. Adjustments must be made as actual events unfold.
4. Plans must be continually monitored and updated.

An integrated approach to planning will not solve all of a superintendent's concerns, but it can help to focus on what the problems and opportunities are, Ellis further emphasizes (Ibid.). The superintendent is then better prepared to consider reasonable responses and make more accurate projections about the future than would otherwise be possible.

The role of the chief executive officer in planning for change cannot be over-emphasized, Ellis stresses:

The key element for successful planning is that you, as a manager, must believe that planning is a major management function. Without such a commitment, planning will be a meaningless exercise. We believe that the CEO should allocate a minimum of two-thirds of his time to strategic thinking, with the remaining one-third spent on day-to-day operations (Ibid., p. 24).

Other management experts stress the unique personality traits required by a leader to create change within an organization. Peter Drucker (1980) believes that harnessing the deep reserve of energy within the leader and those around him is one of the keys to leading an organization. He asserts:

Whenever anything is being accomplished, it is being done, I have learned, by a monomaniac with a mission. Effective leaders at any level of the organization are zealous: They might, in fact, appear driven to outsiders.
In The Urban School Superintendent of the Future, Merrow, Foster, and Estes summarize the important qualities a superintendent must exhibit (1974:69):

To be effective, a superintendent must possess an extraordinary combination of political, managerial, communicative, and interpersonal skills. The superintendent must be a community leader; he must understand that school problems are inextricably connected with the problems in other systems, and therefore are insoluble without cooperation.

Tramel and Reynolds (1981) and Zaleznik (1977) note several distinguishing characteristics of natural leaders who are capable of achieving planned change within an organization:

1. Leaders are heroes. Their strong sense of personal mastery compels them to direct affairs.
2. Leaders use power to influence others' thoughts and actions.
3. They are driven by a grand design and have intuitive flashes of insight that lead to dramatic breakthroughs.
4. Leaders seek to profoundly alter human, economic, and political relationships.
5. Their sense of who they are does not depend upon their job titles or other social indicators of identity.
7. They question established procedures and create new concepts.
8. Leaders create excitement and inspire co-workers. They want results.
9. Leaders are driven by their personal goals.
10. They alter expectations and change the way people think.
11. Leaders create ideas instead of merely reacting to them.
12. They arouse intense feelings of admiration and devotion.
13. Leaders care about people and their needs.
14. Leaders derive authority from their personal relationships instead of from their positions.
15. Leaders may be found anywhere within an organization, but an organization will not be led with vision unless there is a leader in the chief executive role.

As the chief executive officer of a school district, a superintendent must assume major responsibility for planning efforts. According to Duckworth (1984:8), effective functioning in this role
demands a broad perspective of the external environments, an understanding of planning models and processes, and skill in human relations.

The most important reason for improving strategies for planned change is to increase student achievement. But it doesn't hurt in the meantime to gain a reputation as a leader who makes good things happen, urges Knight (1985:21). By keeping your eyes open to the potential for change and by pushing yourself and others to excel, you can channel a situation to benefit the schools while strengthening your own leadership role.

John Pope (Ibid.), a top administrator in southwest Washington state, puts it this way: "I consciously try to see things others aren't seeing. I look to address crucial needs I know aren't being met."

Thomas J. Peters, co-author of In Search of Excellence, praises school leaders who demonstrate a belief in the dignity, worth, and creative potential of every person in their organization. They lead those school systems where planned change will be effective, asserts Peters (1984:10):

The successful leader is not a devil's advocate. You are no longer the cop, referee, pronouncer, or naysayer--but the cheerleader, the enthusiast, the nurturer, the coach, the facilitator... If the magic is the thousand little things of quality and service, then the magic people are not you and me, but the "little" people who do the "real" work. The "real" people are the people in the classrooms who deliver the service.
Extensive research compiled by Fullan (1982:10) shows that the support of the superintendent and the resulting support of top administrators is critical for change in school system practice. It also shows that general support or endorsement of a new program or idea has very little influence on change in practice by itself:

Teachers and others know enough now, if they didn't 15 years ago, not to take change seriously unless central administrators demonstrate that it should be. . . . The basic point, however, is that the chief executive officer and other key central administrators set the conditions for implementation to the extent that they show specific forms of support, and active knowledge and understanding of the realities of attempting to put a change into practice. To state it most baldly, the administrator affects the quality of implementation to the extent that he or she understands and helps to manage the set of factors and the processes (involved).

To achieve planned change within a school system, it is the superintendent's crucial role to develop a "shared vision" which permeates throughout the organization, Bennigson stresses (1985:35). He further emphasizes that the superintendent must work to develop a shared vision by: (1) being visible, (2) communicating the new strategy to every level of the organization, and (3) making certain all stakeholders know the "why" behind the change.

Identifying and making changes within a school system is not a one-person show. But as Bennigson (1985:31) points out, it is a genuine test of chief executive leadership and demands all the resources the superintendent can marshal to effect a systemwide adjustment in perceptions and beliefs.
With the support and direction of their school boards, school management teams nationwide have set out to achieve planned change. Merrow, Foster, and Estes have succinctly summarized the need (174:70):

The educational system, its subsystems, and all the societal systems that affect education are in need of major and minor readjustments to each other. The culprit is not the superintendent, or the school, or 'education.' We are all in this together.

Paul Houston, Superintendent of the Princeton (New Jersey) Regional Schools, has led his school district in planning for change. He offers school board members the following advice (1984:13):

As we look to the future, it would be well to remember the words of the cartoon character Pogo who observed that we are "surrounded by insurmountable opportunities." We can let the future take us where it will and hope for the best, or we can prepare to meet it by planning for it. The responsible board will choose to plan and would do well to consider using its own community resources to carry out the task.

A commitment of time, energy, and resources will be required, according to members of the Tulsa (Oklahoma) School System. Superintendent Larry Zenke speaks of the time-consuming effort that will be required by all involved (Burton, 1984:3):

It will take time to get informed, time to examine alternatives, time to formulate solutions to various other groups, and time to implement the solutions. But
lasting change takes time, and it is for such lasting solutions which are acceptable to the community and which hold promise of stability for some time to come, that we will be searching.

Although change is necessary and inevitable, human nature resists change. Arthur Smock, Superintendent of the Birch Run (Michigan) Area Schools, discusses the reaction of others to planned change within a system (1984:44):

As we found out, lasting change simply does not occur quickly or without conflict. Indeed, some researchers describe conflict and crisis as necessary ingredients in bringing about major change. Reform always is an uncomfortable process that resists control. You need to direct the process, not program its outcome.

Helping to direct the process for change is the challenge which faces school boards. Frederic Genck has experienced the challenge of planning for change as a school management consultant with more than 100 districts, a faculty member at Northwestern University's Education and Management Schools, a school board member of Lake Forest School District #67, and the author of three books on school management. He expresses concern for the challenge school boards face as well as for the role which management must play in achieving planned change (1983:4, 36):

Neither complaining nor setting higher standards will help schools improve, without the internal management practices that are required. . . . If boards attempt to move toward needed accountability in ways that are adversarial and combative in their relationships with administrators and teachers, further decline in performance will result. . . . Overinvolvement is a serious problem because school boards cannot function effectively on this level. They must learn to delegate responsibility to the management team and hold the superintendent accountable for performance.
5 Steps
To Success

Genck further explains that educational management is the total process of operating the district in such a way that the results achieved are in the public interest. He stresses that administration is but one part of that management. While the board must establish the climate for better management, the task of making it work rests with the management team.

Board members, however, should understand the elements of management and support the management team as it develops a process for planned change, notes Genck. This will occur naturally if the role of a school board is understood and practiced by its members as outlined below (1980:16):

1. Develop two-way communication with the superintendent.
2. Establish appropriate and effective relationships with:
   -- the superintendent,
   -- the entire management team,
   -- teachers,
   -- students, and
   -- parents.
3. Without interfering in day-to-day operations, obtain and use school system data to evaluate district performance.
4. Through planning and appraisal, ensure that the district meets:
   -- the educational aspirations of the community and
   -- the legal requirements of the state.
5. Encourage the development of an organization that motivates all staff and students to give their best effort as they achieve the greatest results possible.

It is easy for school board members to become disappointed with the concept of planned change if they expect too much to be accomplished too soon. It can be difficult to delegate responsibility to the management team and then wait patiently to see results occur. However, Hinrichs (1983:40) warns against simplistic solutions as he
convincingly argues for an integrated approach to planned change on the part of management:

It seems that American managers still haven't learned that if they're really serious about changing their organizations and enhancing productivity, they can't be simplistic. They can't willy-nilly grab the latest gimmick, and they must devote some serious thought and effort to sustaining any gains. What is essential is a systematic assessment of just what is needed. . . . They will probably have to focus on multiple change efforts rather than counting on the quick fix. . . . And they will have to continually monitor and provide tender loving care to nurture any innovations and new systems.

With these responsibilities and limitations in mind, five steps to success within a school system have been developed. The need for an integrated method for planned change is clear; it is time to move beyond the band-aid approach. The final responsibility rests with the school board and the management team to make a commitment to success.
STEP 1

GROUP CULTURE

5 Steps To Success
WHAT IS GROUP CULTURE?

-- Group culture is shared values, behavior, and commitment.
-- It is a group's style, character, and way of doing things.
-- It is what is written between the lines in the rule book.
-- Group culture is social energy and esprit de corps.

WHERE IS GROUP CULTURE?

-- Group culture is everywhere!
-- It is unstated and invisible.
-- It is behind the scenes and beneath the surface.
-- Wherever the work site, group culture is interwoven throughout its activities.

WHAT DOES GROUP CULTURE DO?

-- It creates meaning, activity, and direction in group life.
-- It powerfully shapes individual and group behavior.
-- Group culture leads either to productivity or to destructive action.

HOW IS GROUP CULTURE FORMED?

-- The culture is based on the school system's actual mission and what is required for success.
-- Members find out first what the system says it expects.
-- Members then decide what the school system really wants by what it rewards.
-- If there is a double standard, members develop the necessary norms (unwritten rules of behavior) to survive and prosper.

HOW IS GROUP CULTURE MAINTAINED?

-- Is it magic?
-- Is it group psychology?
-- We must understand the invisible force of group culture if we wish to control it rather than letting it control us.
-- We must be aware of the difference between a rigid culture and an adaptive culture (Kilmann, 1984a; 1984b; 1985).
GROUP CULTURE

RIGID CULTURE

Description
A rigid culture is deeply rooted in the past. It is power-oriented, cautious, highly-structured, and well-established.

How Its Members Act
Its members appear cautious, protective, and overly-sensitive; they minimize risks and build barriers.

How It Is Achieved
If left to itself, any culture will become rigid unless there is a concerted effort to establish an adaptive culture.

"People are behaving in ways that make them ashamed, yet they explain their behavior in terms of 'natural' tendencies or 'the way things are.' . . . Social forces are transforming our groups. Cultural norms develop, teaching us what is expected, supported, and accepted by the people we live and work with. These norms exert powerful pressure, causing us to behave in ways that often run counter to our real wishes and goals (Allen, 1980:31).

ADAPTIVE CULTURE

Description
An adaptive culture has an exciting, dynamic, and creative atmosphere. It is challenging, risk-taking, and results-oriented. The stimulation is often constant.

How Its Members Act
Its members display trust, take risks, support one another's efforts, and adapt to new solutions.

How It Is Achieved
To achieve an adaptive culture, a conscious, well-planned effort to manage group culture is required.

"There are no good or bad cultures, per se. A culture is good--effective--if it reinforces the mission, purposes, and strategies of the organization. It can be an asset or a liability. Strong cultural norms make an organization efficient. Everyone knows what's important and how things are done. To be effective, the culture must not only be efficient, but appropriate to the needs of the business, company, and the employees (Wallach, 1983:32).
How will you diagnose needs?

1. Realize that group culture affects the productivity and group life of your school system (pages 22-23).

2. You need to identify what the group culture is within your school system.

3. Identifying your group culture will require the participation of all of your employees.

4. Group culture needs to be identified with the idea in mind that needed changes within the culture will benefit all group members.

5. Strongly consider the use of an outside consultant skilled in group dynamics to assist in identifying your group culture. This is a highly sensitive area where objective, professional help at this point will be a great investment in the future (Kilmann, 1984a).

6. The following sequence should be followed in appraising your current group culture, no matter which level of membership is meeting together:
   -- Discuss the concept and reality of a group culture (pages 22-23).
   -- Appraise the current group culture (page 25).
   -- Identify current cultural norms (page 25).
   -- Develop a list of new cultural norms (pages 27-28).

7. Whoever acts as the group leader in identifying current group culture at any employee level should have previously received adequate training. Again, now is the time to consider using the help of an outside consultant.
STEP 1

GROUP CULTURE

ASK MEMBERS TO APPRAISE THE CURRENT GROUP CULTURE:

- Does it support the school system's mission?
- Does it promote school system success?
- Does it encourage a flexible, understanding approach to stakeholders both inside and outside the system?
- Does it motivate members to address complex and difficult problems?
- Does it allow members to take the time to address such problems?

THE FIRST STEP IN GAINING CONTROL OF GROUP CULTURE IS TO WRITE OUT THOSE ACCEPTED NORMS WHICH HAVE PREVIOUSLY BEEN UNWRITTEN.

Members will be willing to write out norms if:
- individual comments are kept confidential;
- comments are made when superiors are not present; and
- comments will not be used against individuals (but instead will benefit them and the organization).

IT MIGHT TAKE A LITTLE PROBING AND A FEW EXAMPLES IN A GROUP SETTING, BUT ONCE THE PROCESS BEGINS, MEMBERS ARE QUICK TO SUGGEST GROUP NORMS FOUND IN A RIGID CULTURE. SOME WHICH REPEATEDLY SURFACE INCLUDE:

- Don't disagree with your boss in public.
- Don't rock the boat.
- Treat women as second-class citizens.
- Put down your organization.
- Don't enjoy your work.
- Don't share information with other groups.
- Treat subordinates as incompetent and lazy.
- Cheat on your expense account.
- Look busy even when you're not.
- Don't reward employees on the basis of merit.
- Reward longevity over productivity.
- Put down those who suggest new ways of doing things.
- Don't smile too much.
- Openly criticize company policy to outsiders.
- Complain a lot.
- Don't trust anyone who seems sincere.
- Do as little as necessary to get by.
- Don't be the bearer of bad news.
- Don't think of things that are not likely to happen.
- Don't be associated with an ugly event.
- See no evil, hear no evil, and speak no evil.
- Keep the above norms unwritten and unstated.
- Put pressure on other members to obey the norms.

IT IS MUCH EASIER TO BLAME "NORMS" THAN IT IS TO ACCEPT PERSONAL RESPONSIBILITY FOR PREVIOUS NONPRODUCTIVE BEHAVIOR. HOWEVER, CHANGE IS THE IMPORTANT FACTOR (Kilmann, 1984a; 1985a).
How will you obtain support?

Following Items 6 and 7 on Page 24 as basic guidelines, meet with and obtain the support of the following groups, in the following order:

1. School Board

2. Administrative Cabinet

3. Leadership of Employee Associations, School Principals, and Division Heads

4. All Employees
   -- Co-workers should meet together at the work site where daily interactions occur.
   -- Subdivide employee sessions to whatever size sessions are feasible (ideal interaction occurs with 3 to 12 people); just make certain everyone has the opportunity to participate.

5. Management/Reporters of Major News Media (Suggested)
   -- As an informational, low-key item, share with them the basic concepts of planned change to improve the quality of your school system.
   -- Conduct these meetings early in your time line. Laying such a foundation now will help to win their understanding and support of what you are trying to accomplish. The dividends at a later date will be worth the time and effort.

Summarize on the flow chart and time line at the end of this section.
STEP 1

GROUP CULTURE

THROUGHOUT THIS PROCESS, IT IS IMPORTANT TO INCLUDE ALL SCHOOL DISTRICT EMPLOYEES IN SESSIONS CONDUCTED FOR EACH DIVISION, DEPARTMENT, WORK GROUP, AND SCHOOL.

USE THE LIST AT THE TOP OF PAGE 25 TO REAPPRAISE CURRENT GROUP NORMS ONCE THEY HAVE BEEN WRITTEN OUT. IN ADDITION, CONSIDER THE FOLLOWING QUESTIONS WITH ALL EMPLOYEES TO HELP IDENTIFY YOUR SCHOOL SYSTEM'S STRATEGY IN ADDRESSING GROUP CULTURE:

1. Where is this school system headed?

2. If you could design your own school system from scratch, how would it be different?

3. What old types of behavior in your school system need to be changed, even though they have existed for a long time?

4. What new types of behavior are necessary for your school system to move forward?
STEP 1

GROUP CULTURE

THE NEXT STEP IS FOR ALL EMPLOYEES TO HELP DEVELOP A LIST OF NEW NORMS FOR YOUR SCHOOL SYSTEM'S SUCCESS:

1. What new norms would encourage a more flexible approach toward your school system's changing environment?
2. What new norms would allow members to discuss difficult and uncomfortable issues that affect the long-term survival and success of your school system?
3. What cultural norms would bring difficult internal problems out into the open so they could be resolved?

DR. RALPH KILMANN, WHO HAS SERVED AS A CONSULTANT FOR MANY ORGANIZATIONS GOING THROUGH THIS PROCESS, FOCUSES ON THOSE CHANGES WHICH WILL OCCUR IN INDIVIDUAL AND GROUP ATTITUDES (1984a:108):

At this point, the members usually catch on to the impact that the unwritten rules have had on their behavior. They experience a sense of relief as a new way of life is considered. They realize that they no longer have to pressure one another to behave in dysfunctional ways. The members can create a new social order within their own work groups and within their own organization. Part of this sense of relief comes from recognizing that their dissatisfactions and ineffectiveness are not due to their being incompetent or bad individuals. It is much easier, psychologically, for members to blame the invisible force called culture—as long as they take responsibility for changing it.

SUGGESTED NORMS LEADING TO AN ADAPTIVE CULTURE INCLUDE (Ibid.):

1. Treat everyone with respect and as a potential source of valuable insight and expertise.
2. Be willing to take on responsibility.
3. Initiate changes to improve performance.
4. Congratulate those who suggest new ideas and new ways to do things.
5. Be cost-conscious so that your school system remains efficient.
6. Speak with pride about your school system and work group.
7. Budget your time according to the importance of tasks.
8. Don't criticize your school system in front of others.
9. Enjoy your work and show enthusiasm for a job well done.
10. Be helpful and supportive of other groups in the organization.
11. Bring uncomfortable issues out into the open.
12. Persist in drawing attention to the problems even if others seem reluctant to consider the implications.
13. Listen to other members' viewpoints even if you disagree with them.
14. Encourage unique perspectives to ensure nothing has been overlooked.
15. Encourage a thorough debate on topics that should have all points of view considered.
16. Give management another chance; assume good intentions; meet halfway.
How will you identify strategy?

1. Each group of employees will go through the process on pages 27-28 until that group suggests a new set of norms.

2. Group members must agree that the old norms will be replaced by a new set of norms.

3. Everyone must realize, however, that the entire district will have input into the development of a new set of norms.

4. The new set of norms developed by the district will be monitored and sanctioned by each work group.

5. A process must be followed for including input from each work group into the new set of norms.

Summarize on the flow chart and time line at the end of this section.
STEP 1

GROUP CULTURE

PROCESS FOR BUILDING GROUP CONSENSUS

1. District guidelines should initially determine the approximate number of new norms that are desired.

2. Using the material on pages 27-28, prepare a questionnaire which leads to the suggestion of new norms.

3. Each group member responds in writing to the questionnaire at the beginning of the meeting.

4. If the group is large, it is then divided into smaller groups. Members read each other's written responses aloud and round-robin.

5. Ideas are recorded on chalkboards or flip charts for everyone in the group to read.

6. After all responses are listed, each response is discussed to clarify its meaning.

7. Each group member is asked to select the ten or so responses he favors.

8. Results are tallied, statements are combined or eliminated as the results dictate, and each small group presents its final list of proposed new norms to the larger group.

9. The larger group then casts individual ballots to determine the top ten or so responses.

10. The list of proposed new norms, ready to go on to the next level for consensus, represents the best combination of individual responses and collective balloting.

11. A significant feature of this process is that everyone participates by individual writing before anything is proposed aloud.

12. By recording everyone's opinions and balloting to select the best ideas, more outspoken group members and those with higher status do not dominate the group's efforts to reach consensus (Erickson, 1983:34).
How will you prescribe action?

THE FOLLOWING SHOULD BE ACCOMPLISHED WITH THE HELP OF A PROFESSIONAL CONSULTANT (IF POSSIBLE) AND ADEQUATELY TRAINED GROUP LEADERS:

1. No matter how small the groups which met initially, each work location (school, building, etc.) should reach consensus on one proposed set of new norms.

2. Taking the proposed set of norms from each work location, each division should then reach consensus in developing one proposed set of new norms for that division.

3. Administrative cabinet members representing each division should then submit the proposed set of new norms representative of their respective divisions for review by all cabinet members.

4. Cabinet members should then be responsible to develop one set of proposed new norms for the entire district.

5. Administrative cabinet members will then take the district proposal back to each of their respective divisions.

6. If, working through the ranks, the proposed norms are rejected in any of the divisions, the administrative cabinet will meet again to resolve identified differences.

7. This process will continue until one set of new norms is sanctioned through the ranks by each division.

8. With this sanction comes the understanding that each work group in the school district is now committed to live by these new norms.

Summarize on the flow chart and time line at the end of this section.
### Activity

**TIME LINE:**

**GROUP CULTURE**

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**Prescribe Action**

32
IT IS IMPORTANT THAT ADDRESSING GROUP CULTURE PRECEDES EACH OF THE OTHER FOUR STEPS. WITHOUT A SUPPORTIVE CULTURE, EVERY ACTION BY TOP MANAGEMENT WILL BE DISCOUNTED BY THE GROUPS BELOW—EVEN TOP-DOWN EFFORTS TO CHANGE THE CULTURE. KILMANN WARNS (1984a:115):

I have seen cases in which executives have tried dramatic changes in their own behavior coupled with symbolic deeds and fiery speeches in order to dictate a new culture, but to no avail. Only when work group members encourage one another to be receptive to overtures by the other groups, as in a participative effort, can the whole change program be successful.

MERELY STATING THE NEW NORMS IS NOT ENOUGH TO INSTILL THEM THROUGHOUT YOUR SCHOOL SYSTEM. NEITHER WILL OLD NORMS BE ALTERED SIMPLY BY REQUESTING A CHANGE IN THEM. INSTEAD:

1. Members have to agree that new norms will replace old norms.
2. Any norm change must be monitored and sanctioned by the work groups.

A MAJOR LESSON TO BE LEARNED IN CHANGING GROUP CULTURE IS THAT CHANGE CAN OCCUR (Kilmann, 1984a:119):

1. If managers and members decide to be responsible for change and feel that the power to change should be a part of the new culture, then it can be done.
2. Power and control are more of a social reality than a concrete, physical reality.
3. Individuals and organizations have moved forward and achieved success when everyone else thought it was impossible.

IN ONE MAJOR COMPANY UNDERGOING A CULTURE CHANGE, DR. KILMANN SUGGESTED THAT EACH NEW NORM BE WRITTEN ON AN INDEX CARD AND GIVEN A NUMBER. HE RELATES A LEARNING EXPERIENCE WHICH IN ITSELF STRENGTHENED THE GROUP CULTURE (Ibid.):

Each member in a work group was made responsible for monitoring several norms and bringing attention to behavior that did not conform. Eventually, this approach reached a point at which group members no longer cited the norms—only the numbers. Coworkers would state: "You just committed a number twelve," or "You pulled a seven on me." These members found it very effective to enforce their new norms in this lighthearted manner, yet the point of adopting the norms was made unequivocally. Of course, when "outsiders" heard such interchanges they certainly were confused; but this seemed to add to the group's cohesiveness, since the members now had their own secret code.

YOU ARE NOW READY TO BEGIN CHARTING PROGRESS IN A CULTURE CHANGE.
1. A planned change in group culture begins by identifying present negative cultural norms.

2. Negative cultural norms are replaced with positive cultural norms, which are sanctioned and monitored by all group members.

3. Each norm is assigned a number. Copies are provided for each worker in such a manner that they can be easily viewed at the work site (3"x5" cards, posters, etc.).

4. Each member in a work group is responsible for monitoring one or more norms (each norm is monitored by someone within each work group).

5. Those responsible for monitoring norms bring attention to behavior which does not conform.

6. It can be very effective to enforce new norms in a light-hearted manner. In so doing, norms will be adopted and internalized as a cohesive group is built (Kilmann, 1984a:119).

Summarize on the flow chart and time line at the end of this section.
1. The change process begins by conducting sessions for each school, division, department, and work group on ways the new norms will be monitored and enforced.

2. An important part of managing the group culture is to continue monitoring and assessing norms.

3. If the culture is not managed explicitly, sooner or later some stakeholder will badly disrupt the organization.

AN EFFECTIVE WAY TO EVALUATE PROGRESS IN CHANGING TO A MORE ADAPTIVE CULTURE (CLOSING THE CULTURE GAP) IS BY IDENTIFYING CHANGES IN BEHAVIOR WITHIN THE SCHOOL SYSTEM*:

1. Have there been any changes in the old types of behavior in your school system that needed to be changed? Which ones? To what extent?

2. What new types of behavior necessary for your school system to move forward have been implemented? How successful have these attempts been thus far?

3. What behavior changes have been unsuccessful to date? What further changes need to be made?

ANY NEW ADAPTIVE CULTURE WILL RETURN TO THE OLD RIGID ONE IF THE NEXT FOUR STEPS TO SUCCESS ARE NOT IMPLEMENTED PROPERLY:

1. An adaptive culture sets the stage for all other organizational changes that need to be managed.

2. By contrast, a rigid culture will breed a lack of trust, confidence, and sharing of information that will make it extremely difficult to proceed through the next four steps.

3. Once an adaptive culture has been established, managers will be more willing to accept their skill deficiencies and learn new approaches for addressing complex problems.

4. An adaptive culture will lay the foundation for a cohesive team building effort among stakeholders within both the internal and the external environments.

5. Integrated planning will be able to successfully move the school system in the right direction after an adaptive culture has been fostered.

6. Flexible incentive programs will monitor and reward behaviors that support the new norms.

*The Kilmann-Saxton Culture-Gap Survey (Kilmann and Saxton, 1983) is a measurement tool for detecting the gap between what the current culture is and what it should be.
How will you evaluate results?

1. Just by listing the new norms, group members start acting them out and the culture gap begins to close.

2. The change process begins by conducting sessions for each school, division, department, and work group on ways the new norms will be monitored and enforced.

3. If the culture gap is to close, norms must be continually monitored and assessed.

4. Conduct a survey before the process begins and after it has been successfully implemented to assess changes in the following areas:
   -- stress
   -- burnout
   -- morale
   -- trust
   -- cooperation
   -- productivity

5. Monitor changes by comparing "before" and "after" data regarding:
   -- student attendance, grades, and achievement
   -- graduation rate
   -- employee absenteeism, accident rate, and attrition
   -- negotiation process activities and results
   -- number and kind of grievances filed

6. Success in closing the culture gap will be key to progression through the next four steps:
   -- management skills
   -- team building
   -- integrated planning
   -- incentive programs

   -- Closing the culture gap lays the foundation for these four steps.
   -- Conversely, if these four steps do not occur, the new adaptive culture will return to the old rigid culture (Kilmann, 1984a).

Summarize on the flow chart and time line at the end of this section.
STEP 1: GROUP CULTURE
PLANNED CHANGE FLOW CHART

List the basic activities required to accomplish each phase.

1. Diagnose Needs
2. Obtain Support
3. Identify Strategy
4. Prescribe Action
5. Implement Plan
6. Evaluate Results
Use this time line to help you project how long it will take for PLANNED CHANGE to proceed, Phases 1-6. This may be used as a worksheet or as a record of the actual time line for accomplishment.

Do not move from one phase to the next until the previous phase has been completed. Any incompleted phase will eventually become a weak link in the structure of your school system.
STEP 2
MANAGEMENT SKILLS

5 Steps
To Success

Management Skills
Group Culture
STEP 2
MANAGEMENT SKILLS

DIAGNOSING THE NEED FOR PLANNED CHANGE IN MANAGEMENT SKILLS

WHAT CHANGES WILL MANAGEMENT HAVE TO MAKE TO FUNCTION SUCCESSFULLY WITHIN YOUR SYSTEM'S NEWLY-IDENTIFIED CULTURAL NORMS?

1. What new management skills will be required?

2. What management skill areas will need to be strengthened?

DOES YOUR SCHOOL SYSTEM'S PRESENT MANAGERIAL APPROACH FOSTER THE FOLLOWING QUALITIES? IF NOT, WHAT IS NEEDED IN EACH AREA?

Trust:

Motivation:

Commitment:

Cooperation:

Productivity:

High Morale:

ARE NEW MANAGEMENT SKILLS REQUIRED WITHIN YOUR SYSTEM? IS THE LEADERSHIP STYLE IN YOUR DISTRICT CONSISTENTLY IN HARMONY WITH THE DISTRICT'S MISSION STATEMENT?
WHAT KIND OF MANAGEMENT TEAM WILL PRODUCE THE BEST RESULTS?

Since World War II, American management philosophies have moved toward humanism. Instead of the task-oriented management that led to stultifying assembly lines, the tendency now is to focus on satisfying people so they can give their best effort to accomplishing the work. A major reason for this shift (for those who are unmoved by arguments based on empathy and compassion) is the simple fact that disgruntled employees are expensive; they take a lot of sick leave; they get careless and have accidents; they interfere with other employees' ability to work; they file union grievances that eat up supervisors' time; they create hitches in the work flow; they quit, taking with them expertise that the enterprise has paid for them to acquire, and necessitating more company investment in training new people.

A manager's task is to minimize problems like these by creating a work environment that encourages attendance, productivity, and commitment. Managers can make a start on this by spending some time in introspection to figure out what they do think about the nature of working humans; then they can consciously choose a management style that they should apply consistently in the work environment. Since the manager's style sets the climate of the work environment, it should be based on something more dependable than personal whims varying daily and hourly with one's moods (Simmons, 1979).

WHAT IS HUMANISTIC MANAGEMENT?

"Humanistic management" is a uniting of science-based management and human-relations management. This merger is achieved through combining management by objectives and participative management. The basic premise is that effective management calls for both science and humanness. It is not one versus the other, but rather, a uniting of the two (Hitt, 1976).

WHAT ARE THE BASIC CHARACTERISTICS THAT ARE REQUIRED FOR A MANAGEMENT TEAM TO OPERATE EFFECTIVELY?

Team members must:
1. be able to invest significant amounts of time;
2. be able to work cooperatively rather than competitively toward common goals and purposes;
3. have open and clear lines of communication;
4. have trust in the integrity of their colleagues;
5. encourage and work to understand the full explanation of minority opinions; and
6. have an acute skill in listening to (versus hearing) the opinions of others (Erickson and Gmelch, 1977).
THEORY X

1. The average human being has an inherent dislike for work and will avoid it if he or she can.

2. Because of this human characteristic of dislike for work, most people must be coerced, controlled, directed, and threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.

3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all (McGregor, 1960).

"Theory X managers see their jobs as making individuals responsible for functions and as having to coerce, direct, and threaten those individuals. Theory Y managers, on the other hand, agree, basically, that human beings will not be truly free until they view their work as a highly desirable recreational activity. They see their jobs as making groups responsible for objectives. They believe that if the members of a group see a goal, they will think together to find ways to accomplish that goal and, left to their own devices, will set about deciding how to proceed. Close supervision may be unnecessary in such groups, and a Theory Y leader strives to develop a structure more flexible than the usual bureaucracy. Few existing agencies of education are organized along Theory Y lines. One of the crying needs for leaders is to get educational agencies so organized" (Boles and Davenport, 1975).

THEORY Y

1. The expenditure of physical and mental effort in work is as natural as play or rest.

2. External control and the threat of punishment are not the only means for bringing out effort toward organizational objectives. People will exercise self-direction and self-control in the service of objectives to which they are committed.

3. Commitment to objectives is a function of the rewards associated with their achievement. The most significant of such rewards, the satisfaction of ego and self-actualization needs, can be direct products of effort directed toward organizational objectives.

4. The average human being learns, under proper conditions, not only to accept but to seek responsibility.

5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the identification of organizational problems is widely distributed in the population.

6. Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized (McGregor, 1960).
STEP 2
MANAGEMENT SKILLS

AUTOCRATIC LEADERSHIP

-- Organizational structure is rigid and inflexible;
-- Information flows downward;
-- Fear, threats, and punishment are used as motivators;
-- High levels of management feel responsibility;
-- Fear and distrust abound;
-- Cooperative teamwork is minimal;
-- Decisions are made at the top;
-- Goal setting is accomplished by issuing orders;
-- The control process is concentrated at the top management level;
-- Control data is used in a punitive manner.

CONSULTATIVE LEADERSHIP

-- Staff members feel free to discuss job problems with the supervisor;
-- The supervisor solicits ideas from the staff;
-- Motivation occurs through rewards and occasional punishment;
-- Many people feel responsible for achieving organizational goals;
-- Communication flows down and up (the flow of information the boss wants to hear is the most frequent);
-- The supervisor knows staff problems;
-- The staff is consulted in making decisions but ordinarily not involved in the decision making;
-- All levels of staff feel responsible for the control process.

PARTICIPATIVE LEADERSHIP

-- Complete confidence and trust are expressed in all matters;
-- The staff feels free to discuss job problems with the supervisor;
-- The supervisor always gets ideas and opinions from the staff;
-- Group participation occurs in goal setting;
-- Members at all levels feel responsible for organization's goals;
-- Information flow is down, up, and among peers;
-- Information is accurate;
-- The supervisor knows and understands staff problems;
-- Teamwork is substantial and cooperative throughout the organization;
-- Decision making occurs throughout the organization and is integrated among overlapping groups;
-- Staff members are actively involved in all decisions that influence their work;
-- Goals are set by means of group participation;
-- Responsibilities for review and control are widespread;
-- Formal and informal organizations coincide;
-- Control data is used for self-guidance and coordinated problem-solving (Likert, 1967).
STEP 2

MANAGEMENT SKILLS

WHAT STYLE OF LEADERSHIP WILL BEST HELP YOUR SCHOOL SYSTEM ACCELERATE ITS GOALS?

WHAT KIND OF AN EFFORT WILL IT TAKE TO INSTILL THIS LEADERSHIP STYLE THROUGHOUT YOUR SYSTEM'S MANAGEMENT TEAM?

SUPERINTENDENTS WITH SUCCESSFUL MANAGEMENT TEAMS AND CORPORATE CEO'S, AS WELL AS MANAGEMENT ANALYSTS AND CONSULTANTS (Cattabiani, 1983; Drucker, 1973; Kilmann, 1984a; Peters and Waterman, 1982; Thomas, 1979), STRONGLY CONCUR WITH THE WORDS OF TULSA'S SUPERINTENDENT LARRY ZENKE (1985):

At this point, the superintendent must make the authoritative decision that participative management will be practiced in the school district. People are resistant to change. If it is ever to occur, the person at the top must provide the leadership and direction, then stick by it. It is situational leadership, and that is what the situation requires.

HAROLD GENEEN, FORMER CEO OF ITT, CLEARLY EXPRESS THIS CONCEPT IN HIS BEST-SELLING BOOK, MANAGING (1984):

Leadership ... is the ability to inspire other people to work together as a team under your direction in order to attain a common objective, whether in business, in politics, in war, or on the football field. No one can possibly do it all alone. Others in the organization must want to follow your lead.

The first obligation of any chief executive is to set the goals for his company. It is his responsibility to point his people toward goals and tell them how to get there. He is the only man who can do it. If he is satisfied with mediocre results, that is what he will get.

Much more respect and loyalty are given to the tough leader, the one who is not afraid to make difficult and even unpopular decisions, just as long as he is perceived to be decent and fair and reliable with his subordinates.

As far as I can see, the best way to inspire people to superior performance is to convince them, by everything you do and by your everyday attitude, that you wholeheartedly support them. You have got to mean it and demonstrate it. Deep down, they have to feel that support.

Leadership is practiced not so much in words as in attitude and in actions. Everyone says he believes in team play, reciprocal loyalty, corporate decency, the dignity of labor, and fair remuneration, but when the crunch comes, how many chief executives abide by those "beliefs?"

THE SUPERINTENDENT MUST LEAD THE WAY IN IDENTIFYING THE NEEDED SKILLS.
How will you diagnose needs?

THE ROLE OF MANAGEMENT IS TO MOTIVATE WORKERS TO GIVE THEIR BEST EFFORT IN WHATEVER TASK THEY ACCOMPLISH:

-- Management experts affirm this is best accomplished under an administrative structure that allows for flexibility.

-- Participative leadership encourages ownership and responsibility on the part of group members, thus increasing trust, cooperation, commitment, and productivity.

THE SUPERINTENDENT MUST LEAD THE WAY IN IDENTIFYING AND MODELING APPROPRIATE MANAGEMENT SKILLS:

-- People (including managers) are resistant to change. Participative management will never become the mode of operation in a district by encouraging volunteer involvement alone.

-- The superintendent must authoritatively outline the management style expected, identify the skills involved, and monitor performance expectations.

THE SUPERINTENDENT MUST:

-- Display strong and clear leadership;

-- Model what is expected;

-- Have high expectations for others to follow his example;

-- Let others feel his support for their efforts;

-- Receive the full support and backing of the school board as its members empower him to lead.

ASK THE FOLLOWING QUESTIONS:

-- Is the superintendent capable of the kind of leadership required?

-- Is the school board fully supportive of his leadership role?

Summarize on the flow chart and time line at the end of this section.
"Any management that gets a union deserves it—and they get the kind they deserve. No labor union has ever captured a group of employees without the full cooperation and encouragement of managers who create the need for unionization.... We aren't buying anybody off, and we certainly aren't threatening them. We're just saying, 'Let's close the gap between management and labor. Let's see what we can do to meet people's needs without conflicting with the goals of the organization.' And if we play it straight and run it clean, we'll be making it unnecessary for employees to look to a union for the things they aren't getting from management. In short, we can make unions unnecessary" (Hughes, 1976).

"Enlightened management really works best in the long run. It may not work best for the short run. This is somewhat like the way in which the body can use up its future resources for a short period of time in an emergency" (Maslow, 1965).

"This is not to say that shared governance is the final answer or that it is a panacea for all educational problems. It is, however, the best system yet devised to insure justice and fairness, stability and direction, cooperation and collaboration in our schools. It does mean that principals cannot be arbitrary or capricious. It does mean that parents cannot be irresponsible or covert. It does mean that teachers must be competent and fair. It does mean that decisions are made more slowly—that consensus is more important than voting. The results are beneficial to both students and educators" (Thomas, 1979).

**PARTICIPATIVE MANAGEMENT**

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<th>Disadvantages</th>
<th>Advantages</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. It is time consuming.</td>
<td>1. Employees are treated as persons rather than objects.</td>
</tr>
<tr>
<td>2. Some people will view it as weak management.</td>
<td>2. There is a greater sense of community.</td>
</tr>
<tr>
<td>3. Many people simply cannot function under this type of management; they prefer more structure and control (Hitt, 1976).</td>
<td>3. There is a greater feeling of ownership on the part of the employees.</td>
</tr>
<tr>
<td>4. Usually the more inputs to the decision, the better the decision.</td>
<td>4. Motivation and productivity will be higher (Hitt, 1976).</td>
</tr>
</tbody>
</table>
### The Function of Teams

<table>
<thead>
<tr>
<th>Team Management Is</th>
<th>Team Management is Not</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A way of controlling responsibility through participative management rather than unilateral decisions.</td>
<td>1. A giving up of power and responsibility.</td>
</tr>
<tr>
<td>2. A method which requires compromise and respect for other opinions in reaching a group decision.</td>
<td>2. A method whereby everyone's wishes can be accepted and accommodated.</td>
</tr>
<tr>
<td>3. A way individuals can participate in a group decision.</td>
<td>3. A means of giving everyone what they want.</td>
</tr>
<tr>
<td>4. A way of resolving conflicting attitudes and beliefs.</td>
<td>4. A way of controlling people.</td>
</tr>
<tr>
<td>5. Encouraging a group to contribute their ideas to the chief administrator's or board's final decision or action.</td>
<td>5. A way of forcing the chief administrator's ideas onto a group.</td>
</tr>
<tr>
<td>6. Collaborative thinking in resolving problems.</td>
<td>6. Consolidated management in which solely advice on problems is requested.</td>
</tr>
<tr>
<td>7. A means of giving those who will be implementing the decisions a chance to participate in making them.</td>
<td>7. A means of turning power and responsibility for the organization over to middle managers and teachers.</td>
</tr>
</tbody>
</table>
CAUTIONS IN BUILDING MANAGEMENT TEAMS

1. It takes time to build mutual trust and openness among team members. Such trust is fragile and susceptible to "dry rot."

2. The team is only as good as its individual members.

3. The team process is more expensive timewise than are more autocratic structures.

4. Management teams can result in the same bureaucratic structures that they purport to replace, or in even greater ones. Many teams become too large and unwieldy to be effective.

5. Many recent management teams have been hastily assembled in response to prophesied virtues of the team system.

6. Communication is just as difficult to achieve and is as essential to effective team operations as in any other organizational structure. Team management by itself does not assure clarity and effectiveness of communication unless the team creates these conditions.

7. A continuous review and clarification of roles, expectations, tasks, and other blueprints of the management team will be needed.

8. Unless the school board is committed to building a management team, plans should probably be shelved.

9. The superintendent must be willing to relinquish some previously held power and influence. Since administrators often feel that they have the expertise and knowledge to run an organization the way it should be run, their professional pride may be injured as they are asked to share the responsibilities with other team members.

10. Many members of the organization may not be able to work compatibly on the same management team.

11. Team management requires that problems be anticipated and identified before they grow into crises that demand immediate solutions.

12. Neither the superintendent nor the other teams members can be expected to have immediately the new skills needed for an effective team operation. Time will be required for training in team skills (Erickson and Gmelch, 1977).
How will you obtain support?

1. The specific style of leadership to be followed, and the resulting management skills required, are clearly established by the superintendent.

2. This leadership style and the management skills and methods must be fully understood by the school board and administrative cabinet.

3. The full support of the school board is necessary for empowering the management team to function as outlined.

4. The full support of the administrative cabinet is required to lead district management, under the direction of the superintendent, in the management style outlined.

5. The above requirements are achieved by holding a management skills seminar, first with the school board and then with the administrative cabinet, to include:
   -- use of the topics outlined on pp. 40-45 to identify management needs, methods, and skills required; and
   -- use of the topics outlined on pp. 46-48 to identify differences, advantages, disadvantages, and cautions involved in participative management.

6. The changes in group culture which have already taken place have prepared the way for making positive improvement in management skills within your school system.

7. It is vital to obtain the full support and commitment of the school board and administrative cabinet before proceeding further.

Summarize on the flow chart and time line at the end of this section.
DIFFERENCES BETWEEN PARTICIPATIVE AND DEMOCRATIC MANAGEMENT

-- Participative management is related to but not identical with pure democratic management.
-- Pure democratic management calls for rule by majority.
-- In contrast, participative management calls for individual responsibility and accountability.
-- The designated leader works closely with all members of his or her group in the predecision process, but the leader has the final authority and responsibility for making the decision.
-- The leader must assume responsibility for the consequences of the decision (Hitt, 1976).

DIFFERENCES BETWEEN PSEUDO AND GENUINE PARTICIPATIVE MANAGEMENT

-- Many managers pretend to be participative when they really are not.
-- They use this approach as a technique to manipulate the group to their way of thinking.
-- This approach has a devastating effect on the group.
-- An honest autocrat is more respected that a pseudo participative manager (Hitt, 1976).

ASSUMPTIONS ABOUT PARTICIPATIVE MANAGEMENT

<table>
<thead>
<tr>
<th>False Assumptions</th>
<th>True Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. All decisions must be shared.</td>
<td>1. Many decisions concerning implementation are individual.</td>
</tr>
<tr>
<td>2. The official leader never tells anyone to do anything.</td>
<td>2. The leader is responsible for enforcing policy.</td>
</tr>
<tr>
<td>3. The leader never takes a stand.</td>
<td>3. The leader has as much responsibility for taking a position as anyone else.</td>
</tr>
<tr>
<td>4. The amount of time available should not affect the decision making procedure.</td>
<td>4. Emergency decisions may limit discussion and the degree of consensus.</td>
</tr>
<tr>
<td>5. The leader should not make a decision if the group refuses to participate.</td>
<td>5. Refusal to participate does not stop action; continue to extend opportunity for participation.</td>
</tr>
<tr>
<td>6. Insistence that agreements are worked out is undemocratic.</td>
<td>6. The leader is responsible for preserving the group.</td>
</tr>
<tr>
<td>7. Authority should not be used (Zenke, 1980).</td>
<td>7. Authority should be used for the service of the group only (Zenke, 1980).</td>
</tr>
</tbody>
</table>
STEP 2
MANAGEMENT SKILLS

TWELVE RULES FOR PEOPLE MANAGEMENT

1. TREAT PEOPLE AS EQUALS; --don't act superior and godlike to others.
2. BE GENUINE AND SPONTANEOUS; --don't be manipulative and sneaky.
3. BE EMPATHETIC AND FEELING; --don't be cold, impersonal, and uncaring.
4. BE OPEN-MINDED AND EXPLORE --don't be so certain and dogmatic.
5. BE DESCRIPTIVE AND SPECIFIC; --don't be evaluative and vague.
6. FOSTER PROBLEM MANAGEMENT; --don't try to control or blame others.
7. ASSUME GOOD INTENTIONS; --don't assume people are devious or deceptive.
8. REMEMBER YOU HAVE BLIND SIDES; --don't assume your intentions are understood.
9. LISTEN TO OTHERS CAREFULLY; --don't assume your reality is the only reality.
10. LET EVERYONE PARTICIPATE; --don't dominate the meeting.
11. BE RECEPTIVE AND OPEN; --don't let stereotypes and the past run your life.
12. APPRAISE PEOPLE MANAGEMENT; --it needs continual attention (Kilmann, 1984a).

TWELVE RULES FOR PROBLEM MANAGEMENT

1. PLAN BEFORE DOING; --don't attack a complex problem blindly.
2. SUBDIVIDE COMPLEX PROBLEMS; --don't lose the forest because of the trees.
3. MAKE ASSUMPTIONS EXPLICIT; --don't let quicksand be your foundation.
4. TEST ASSUMPTIONS; --don't assume everyone sees the problem your way.
5. DEBATE BEFORE CONSENSUS; --don't be afraid of productive conflict.
6. DEFINE THE PROBLEM FIRST; --don't solve the wrong problem.
7. GET HELP ON COMPLEX PROBLEMS; --don't stifle any available information.
8. LISTEN TO MINORITY VIEWS; --if problem is complex, the majority might be wrong.
9. FOSTER TRUST AND CANDOR; --Gather information in an open, friendly atmosphere.
10. CONSULT ON COMPLEX PROBLEMS; --don't force simple solutions on others.
11. ACT ON SIMPLE PROBLEMS; --don't bother others when help isn't needed.
12. ASSESS PROBLEM MANAGEMENT; --it needs continual attention (Kilmann, 1984a).
1. With background material presented in this section, use a team approach with the administrative cabinet to develop management skills workshops to be attended by all the managers within each division.

2. Consider the assistance of a professional consultant in planning and conducting the workshops.

3. Working as a team with the administrative cabinet, use the consensus building model on page 30 to reach agreement on all of the components of a series of workshops.

4. Determine a name or phrase to identify the management skills concept you are developing. Use that name frequently until it becomes easily identifiable with the concept, e.g., participative management, team management, TEAMS (used in Tulsa).

5. Use the Ongoing Cycle for Planned Change (Figure 5, page 9) as a sequential outline for planning.

6. Develop a handbook with a set of rules or guidelines, definitions of concepts and terms, application activities, etc.

7. Before the workshops are taught, each member of the administrative cabinet should have internalized the concepts and have had a chance to present them in a teaching situation.

8. Each member of the administrative cabinet should take a turn teaching specific management skills concepts while other members role play a variety of scenarios which could occur within a division workshop.

9. Depending upon the skill level and teaching ability of administrative cabinet members, plan to include another qualified person to help conduct the workshops (consider a professional consultant).

10. Be certain to allow adequate time within this phase. Be able to answer the following questions affirmatively before moving forward:

   -- Has a method for introducing and applying your school district's management skill concepts been clearly established?
   -- Is the head of each division adequately prepared to present this concept to his division?
   -- Are trained support staff available and prepared to help implement this program?
STEP 2

MANAGEMENT SKILLS

DEVELOP MANAGEMENT SKILLS

1. Conduct management workshops at individual work sites with managers who work together on a daily basis.

2. By conducting workshops on location with co-workers, new materials, insights, and methods are more likely to be applied to work situations.

3. Monitor previous progress and the use of material at the beginning of each workshop.

4. At the end of each workshop, help managers develop an action plan (page 55) for applying the concepts discussed and the material received to their job interactions.

5. The end result of the workshops should be for managers to take successful management techniques and concepts and apply them to the real world of school district daily activities (Kilmann, 1984a:157).
How will you prescribe action?

DEVELOP A TIME LINE

1. One of the most important aspects of the management skills workshops is the ongoing nature of the sessions.

2. Plan a districtwide one-year calendar with one workshop per month at each work location, including:
   -- a one-day workshop each month for the first six months;
   -- a half-day workshop each month for the next six months.

3. Three levels of workshops should be held each month within the district:
   -- Administrative Cabinet (first week)
   -- Division (second week)
   -- Department/School (third week)

4. Assess on a districtwide level at the end of one year the minimum number of "maintenance" workshops that should be held annually at each level (Ibid.).

Summarize on the flow chart and time line at the end of this section.
<table>
<thead>
<tr>
<th>Action Step</th>
<th>*Person(s) Responsible Others Involved</th>
<th>Begin/Complete</th>
</tr>
</thead>
</table>

4
Prescribe Action
STEP 2

MANAGEMENT SKILLS

EFFECTIVE OPERATION OF A MANAGEMENT TEAM

1. Whoever has primary responsibility in a given area has, in effect, the final say.

2. No member will make a decision with regard to a matter for which he does not have a primary responsibility.

3. Members of the top management team need not like each other, but they must not agitate each other.

4. A top management team is not a committee. It is a team. A team needs a captain. The team captain is not the boss; he is the leader.

5. Within his assigned sphere, a member of top management is expected to make decisions. But certain decisions should be reserved so that only the team itself can make these decisions. It should be determined in advance what these areas should be.

6. The top management task requires systematic and intensive work on communications among its members.

7. Just because the organization chart shows a top management team it does not necessarily mean there is one. Safeguards should be made against forming dictatorships disguised as a top management team (Drucker, 1973).

TO BE PARTICIPATIVE, A MANAGER NEEDS TO...

BE PATIENT—temper your style; calm down.
STRESS INTEGRITY—exemplify basic values of honesty and regard for people.
KNOW THE BUSINESS—understand the product, the customer, the markets.
HAVE COMPASSION—be sensitive, tolerant, and respectful to others.
BE SELF-CONFIDENT—believe you can do the job, and instill this belief in others (Cattabiani, 1983:6).

THE MANAGER AS TEACHER...

COUNSELS—younger managers are given constructive advice and feedback.
EXCELS—in some aspect of his profession, he is the best.
GIVES EXPOSURE—doors are opened for younger managers; their work and accomplishments are seen.
IS A TOUGH TASKMASTER—challenges are made and excellence is expected (Cattabiani, 1983:4).

A GOOD MANAGER IS SOMEONE WHO TAKES A LITTLE MORE THAN HIS SHARE OF THE BLAME AND A LITTLE LESS THAN HIS SHARE OF THE CREDIT.
How will you implement your plan?

FROM THE TOP DOWN!

1. THE SECRET TO EFFECTIVE MANAGEMENT SKILLS WORKSHOPS IS THE LEVEL IN WHICH THEY FLOW:
   -- The school board is fully supportive of the superintendent's leadership role;
   -- The superintendent is capable of the leadership required; and
   -- The administrative cabinet is fully supportive of and trained in the necessary concepts and techniques of management skills.

2. LEADERSHIP IS PROVIDED AND TRAINING IS RECEIVED:
   -- Administrative cabinet members use their knowledge of management skills to effectively lead their divisions in continuing the management skill cycle.
   -- The teaching of leadership and management skills becomes an ongoing part of the district at every level.

3. THE SAME TIME LINE IS FOLLOWED AT THE THREE DISTRICT MANAGEMENT LEVELS FOR MONTHLY WORKSHOPS:
   -- The workshop for each lower level of management is preceded each month by the workshop for the next higher level of management.
   -- This keeps each level of management motivated, prepared, and eager to pass learning on.
   -- Management delivers a consistent, cohesive message that is attended to and monitored on a regular basis.

4. REPETITION IS IMPORTANT TO SUSTAIN LEARNING AND CHANGE:
   -- After a month's time, it is easy to fall back into the same old style and approach to management (Kilmann, 1984a:157).
   -- Just as this is beginning to happen, another workshop is held.

Summarize on the flow chart and time line at the end of this section.
CONCEPTS AND MATERIALS COVERED IN MANAGEMENT SKILLS WORKSHOPS CAN BE CLASSIFIED INTO TWO CATEGORIES:

1. Methods to manage people better.
2. Methods to manage problems better.

WORKING WITH PEOPLE AND SOLVING PROBLEMS GO HAND IN HAND:

1. It is apparent that one set of methods cannot be learned without the other.
2. New conceptual, analytical, and administrative skills are needed to define and solve complex problems.
3. They must be supported by new and adaptive social and interpersonal skills.

THE "PROCESS RULES" ON PAGE 51 CONVEY THE SPIRIT BEHIND THIS MANAGEMENT TRAINING:

1. They represent specific, concise means for reminding managers of skills and concepts learned.
2. It becomes a convenient, effective way for reminding each other when basic rules are violated.
3. All managers should be encouraged to operate by the spirit of these rules, thus increasing the likelihood of effective performance and morale.

THE CHANGE IN MANAGEMENT SKILLS SUPPORTS OTHER CHANGES TAKING PLACE:

1. Enacting these 'rules' becomes ingrained in the group culture.
2. The culture then pressures all members to address problems with adaptive management skills.

MANAGERS BECOME EAGER AND CAPABLE TO APPLY LEARNED SKILLS TO THE REAL WORLD AS THE SECOND STEP TO SUCCESS IS ATTAINED.
How will you evaluate results?

CHANGING HORSES IN MIDSTREAM:

1. People are often resistant to change of any kind. Changing the way people who are in a controlling position interact with those they supervise is a challenging proposition.

2. The natural response is: "How I act got me here and has helped me to survive in this position. Why should I change now?"

ACCEPTING PARTICIPATIVE MANAGEMENT:

1. In his book on problem-solving and leadership skills, Norman Maier discusses the potential effectiveness of a decision (1963):

   Two different dimensions seem to be relevant in appraising a decision's potential effectiveness. One of these is the objective or impersonal quality of the decision; the other has to do with its acceptance and the way the persons who must execute the decisions feel about it.

2. The best decision in the world must be accepted by those who carry it out before it can actually be effective.

3. A critical evaluation of planned change in management skills includes answers to the following questions concerning all levels of management:

   -- Do managers understand participative management?
   -- Are they co-owners of the concept?
   -- Do they understand that power lies not in who makes the decision, but in obtaining support for the decision?

4. Stay at this step (management skills) long enough to firmly establish understanding and support of the concepts of participative management before proceeding to the next step (team building). A concerted effort toward teaching management skills, communication through the management ranks, and patience will pay large dividends later. Zenke (1985) advocates the following philosophy:

   A leader is best when people hardly know he exists; not so good when they obey and acclaim him; worse when they despise him. Fail to honor people, and they will fail to honor you. But of a good leader, when his day is done and his job is fulfilled, they will all say: "We did this ourselves!"

Summarize on the flow chart and time line at the end of this section.
STEP 2: MANAGEMENT SKILLS
PLANNED CHANGE FLOW CHART

List the basic activities required to accomplish each phase.

1. Diagnose Needs
2. Obtain Support
3. Identify Strategy
4. Prescribe Action
5. Implement Plan
6. Evaluate Results
TIMELINE

Use this time line to help you project how long it will take for **PLANNED CHANGE** to proceed, Phases 1-6. This may be used as a worksheet or as a record of the actual time line for accomplishment.

Do not move from one phase to the next until the previous phase has been completed. Any incompleted phase will eventually become a weak link in the structure of your school system.
STEP 3
TEAM BUILDING

5 Steps To Success

Team Building
Management Skills
Group Culture
Peters and Waterman (1982) list the following eight attributes that characterize excellent, innovative organizations:

1. **A Bias for Action.** Excellent organizations, when faced with a problem, attack it. Rather than utilizing committees, they are more apt to take 10 senior staff, put them in a room for a week, and keep them there until a solution is forthcoming.

2. **Close to the Client.** Very good organizations learn from the people they serve. They listen intently and regularly.

3. **Autonomy and Entrepreneurship.** Excellent organizations give freedom and authority to their subunits. They encourage risk-taking and support good tries.

4. **Productivity through People.** The excellent organizations respect the individual. Although a simple concept, it occupies a major portion of management's time.

5. **Value Driven.** Excellent organizations stick to their values (philosophies) consistently. This is more important than organizational structure, innovations, and timing.

6. **Stick to the Knitting.** Keep to the business you know. Do not expand away into other areas.

7. **Simple Form, Lean Staff.** Keep structure elegantly simple. Top-level staffs are lean.

8. **Simultaneous Loose-Tight Properties.** Excellent organizations are both centralized and decentralized.

Peters and Waterman (Ibid.) observed that ordinary people can be stimulated to unusual, productive effort by making them members of winning teams. They further noted:

> We observed, time and again, extraordinary energy exerted above and beyond the call of duty when the worker ... is given even a modicum of apparent control over his or her destiny.

Harvard scholar Patricia Cross (1984:70) translated this concept to education:

> From these recent works on effective business organizations, I conclude that, until we can stimulate the ordinary people in schools to put forth "unusual effort," we will not have lasting excellence in education.

We need to make ordinary people members of winning teams.
STEP 3
TEAM BUILDING
WORK SHEET

How will you diagnose needs?

CREATING WINNING TEAMS

1. Acknowledge the need for excellence.

2. Acknowledge that it will not occur in a widespread fashion in your school system by individual effort alone.

3. A team effort will be required. It will take concentrated, organized, and consistent striving with a participative approach.

4. It will establish a win-win situation:
   -- Team members will be allowed to actualize their present abilities as well as raise their level of skills.
   -- The school system will increase in the quality and quantity of output (Zenke, 1985).

5. It is possible to build participative teams if the first two steps for building a successful school system are already in place:
   -- A planned change in group culture has replaced negative, dysfunctional norms with positive, adaptive norms which are sanctioned and monitored by group members.
   -- A consistent, ongoing effort to implement participative management skills has been firmly established (Kilmann, 1984a:160).

Summarize on the flow chart and time line at the end of this section.
Building Staff Morale

George Mason University conducted a recent study of employees' responses to "What they want from their jobs," and management's conception of "What employees want from their jobs." Note the striking misconception on the part of management: The first thing desired by workers was "full appreciation for work done," while management thought the first thing desired was "good wages."

<table>
<thead>
<tr>
<th>WHAT WORKERS WANT FROM THEIR JOBS</th>
<th>Employees Rank</th>
<th>Management Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Appreciation for Work Done</td>
<td>1</td>
<td>8</td>
</tr>
<tr>
<td>Feeling &quot;in&quot; on Things</td>
<td>2</td>
<td>10</td>
</tr>
<tr>
<td>Sympathetic Understanding of Personal Problems</td>
<td>3</td>
<td>9</td>
</tr>
<tr>
<td>Job Security</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>Good Wages</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>Interesting Work</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>Promotion and Growth with Company</td>
<td>7</td>
<td>3</td>
</tr>
<tr>
<td>Management Loyalty to Workers</td>
<td>8</td>
<td>6</td>
</tr>
<tr>
<td>Good Working Conditions</td>
<td>9</td>
<td>4</td>
</tr>
<tr>
<td>Tactful Disciplining</td>
<td>10</td>
<td>7</td>
</tr>
</tbody>
</table>

ANALYSIS:

Employee morale is founded on a feeling of self-worth, recognition for a job well done, comfort with evaluation methods, and a feeling of being included in deciding how his or her work is to be performed or changed. To ignore this is to create a climate of stress.

Communication Is a Key to Motivation

A 1982 survey of 32,000 employees in 26 corporations in the United States and Canada produced critical information for school administrators interested in improving their communications with staff and resulting staff motivation.

From the described survey, the following chart illustrated the differences between employees' preferred methods for receiving information about their organization and current methods for receiving information.

<p>| EMPLOYEE PREFERRED AND CURRENT MAJOR SOURCES FOR RECEIVING ORGANIZATIONAL INFORMATION |</p>
<table>
<thead>
<tr>
<th>Sources of Information</th>
<th>Ranking of Preferred Major Sources</th>
<th>Ranking of Current Major Sources</th>
</tr>
</thead>
<tbody>
<tr>
<td>My immediate supervisor</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Small group meetings</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Top executives</td>
<td>3</td>
<td>11</td>
</tr>
<tr>
<td>Employees handbook/other brochures</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Local employee publication</td>
<td>5</td>
<td>8</td>
</tr>
<tr>
<td>Orientation program</td>
<td>6</td>
<td>12</td>
</tr>
<tr>
<td>Organization-wide employee publication</td>
<td>7</td>
<td>6</td>
</tr>
<tr>
<td>Annual state-of-the business report</td>
<td>8</td>
<td>7</td>
</tr>
<tr>
<td>Bulletin boards</td>
<td>9</td>
<td>5</td>
</tr>
<tr>
<td>Upward communication program</td>
<td>10</td>
<td>14</td>
</tr>
<tr>
<td>The union</td>
<td>11</td>
<td>9</td>
</tr>
<tr>
<td>Mass meetings</td>
<td>12</td>
<td>10</td>
</tr>
<tr>
<td>Audio-visual programs</td>
<td>13</td>
<td>15</td>
</tr>
<tr>
<td>Mass media</td>
<td>14</td>
<td>13</td>
</tr>
<tr>
<td>The grapevine</td>
<td>15</td>
<td>2</td>
</tr>
</tbody>
</table>

How will you obtain support?

BUILDING SUPPORT FOR TEAMS

All group members must extend themselves and acknowledge ahead of time that a participative team approach will require a participative effort to achieve:

1. For any management program to be successful, it must be endorsed by the school board, Erickson and Gmelch (1977) stress:

   Board members must realize that increased time and energy will be involved on the part of all participating administrators. When the management is finally launched, it will be helpful if the team members as well as the board can initially focus on the contributions and successes of the team rather than on a possible unstable growth process.

2. Researchers studying group interaction among managers moving from authoritarian to participative styles have noted concerns which inhibit good group interaction and must be resolved if success is to occur (Burton, 1984:11), including:

   -- fear of making mistakes in front of peers;
   -- lack of trust; and
   -- fear of peer evaluations.

   Such concerns must be recognized honestly, and solutions should continually be sought to further the effectiveness of group interaction.

3. There has been a persistent history of conflict and lack of trust between workers and management. For participative teams to operate successfully, however, an operating level of trust must be achieved in harmony with the words of Woodrow Wilson (Shea, 1984:15):

   If there is one principle, clearer than any other, it is this -- that in any business, whether of government or mere merchandising, somebody must be trusted.

Take enough time and patient effort to obtain support for the team building process as the foundation to all other efforts.

Summarize on the flow chart and time line at the end of this section.
**STEP 3**

**TEAM BUILDING**

**HERZBERG’S MOTIVATION-HYGIENE THEORY**

*A CLASSIC PROFILE OF MOTIVATORS AND HYGIENE FACTORS IN AN ORGANIZATION*

<table>
<thead>
<tr>
<th>HYGIENE (KITA FACTORS)*</th>
<th>MOTIVATION (GROWTH FACTORS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>JOB DISSATISFACTION</td>
<td>JOB SATISFACTION</td>
</tr>
<tr>
<td>EXTRINSIC TO JOB</td>
<td>INTRINSIC TO JOB</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ACHIEVEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>RECOGNITION</td>
</tr>
<tr>
<td>WORK ITSELF</td>
</tr>
<tr>
<td>RESPONSIBILITY</td>
</tr>
<tr>
<td>ADVANCEMENT</td>
</tr>
<tr>
<td>GROWTH</td>
</tr>
</tbody>
</table>

**COMPANY POLICY AND ADMINISTRATION**

<table>
<thead>
<tr>
<th>SUPERVISION</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTERPERSONAL RELATIONSHIPS</td>
</tr>
<tr>
<td>WORKING CONDITIONS</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SALARY**</th>
</tr>
</thead>
<tbody>
<tr>
<td>STATUS</td>
</tr>
<tr>
<td>SECURITY</td>
</tr>
</tbody>
</table>

1. Factors involved in producing job satisfaction (and motivation) are separate and distinct from the factors that lead to job dissatisfaction.
2. The opposite of job satisfaction is not job dissatisfaction, but no job satisfaction.
3. Similarly, the opposite of job dissatisfaction is not job satisfaction, but no job dissatisfaction.

* Avoidance of pain!

** Because of its ubiquitous nature, salary commonly shows up as a motivator as well as hygiene. Although primarily a hygiene factor, it also often takes on some of the properties of a motivator, with dynamics similar to those of recognition for achievement.


68
1. The presence of other team members usually increases the quality of ones' work.

2. The resources, knowledge, and expertise of different individuals are pooled.

3. The usual errors of change will be reduced when more than one person is working on a decision.

4. Individuals' blind spots are usually illuminated when more than one individual is involved in the decision.

5. Team discussion often stimulates new ideas which might not occur to individuals working alone.

6. There is more security in taking risks as a group rather than as individuals (Erickson and Gmelch, 1977).
1. Avoid decision procedures such as majority vote, tossing a coin, averaging, or bargaining. Such procedures will tend to split the group into winners and losers and foster argumentation rather than rational resolution.

2. Encourage others to express their differing opinions. The team needs all the information available, and sometimes the quieter members of the team need encouragement to contribute.

3. Avoid blindly arguing for your own personal ideas or "competing" with other team members. In management by consensus, either the group is victorious or no one wins.

4. Do not try to arrive at premature agreements or compromises. Such decisions are often made with insufficient information and without clearly outlined underlying assumptions.

5. Avoid changing your mind solely to reach an agreement or to alleviate conflicts.

6. Each point of view should be paraphrased accurately to the satisfaction of its advocate prior to any action being taken. This is especially important with respect to those with minority views, since they should feel that their suggestions have been understood by all.

7. Once the decision has been reached, everyone should agree to support and not subvert it.

8. Of utmost importance are clear expectations of what method of decision making will be utilized for any specific decision. These expectations should be clarified in advance so that team members are aware of the "Rules Of The Game" (Erickson and Gmelch, 1977).
LINKING PIN CONCEPT REPRESENTING OVERLAPPING GROUP FORM OF TEAM MANAGEMENT

BOARD . . . .

CHAIRMAN

.................. CHIEF ADMINISTRATOR

*MIDDLE MANAGER . . . . . . . .

DEPT.
HEADS . . . . . . . .

Management Team

"Link Pin" Team Member

(Note: Teams may vary in size as circumstances require.)

*5 other "linking pins" on the superintendent's executive staff in Tulsa (TEAMS) include the leadership of each personnel association.


1. Create only essential committees which have a specific task to be accomplished.

2. Spell out the advisory function of the committee; establish good communications with the committee and learn to respect its judgment.

3. Design the committee's structure carefully, determining the representative makeup, the length of members' terms, and how long the committee will exist.

4. Give the project formal board support.

5. Communicate with all committee members why they are meeting, what is expected and how they can identify when objectives are accomplished.

6. Develop specific goals and clear objectives to provide direction, suggest target completion dates, and provide ways to measure impact.

7. Set frequent meetings with the committee chairmen and the superintendent to discuss progress and maintain flexibility of format and agenda.
ERICKSON AND GMELCH (1977) PROPOSE A METHOD FOR IMPLEMENTING THE TEAM MANAGEMENT APPROACH USING LIKERT'S "LINKING PIN" CONCEPT (1961:113) AS DEPICTED ON PAGE 71:

There are certain conditions within organizations which build barriers to effective team operation. In many, the levels of trust, support, motivation, and cooperation are usually lower than levels desired for effective team management. In addition, the norms and culture of most organizations do more to block open expressions of interpersonal feelings than to facilitate honest communication. Also, the use of groups more often tends to be counterproductive than synergistic in arriving at solutions because of the predominance of competitive rather than collaborative individual behavior.

The administrator may be able to implement team management in an organization by using overlapping independent work groups characterized by Likert's "linking pin" concept. If management teams are organized according to the "linking pin" concept, it must be kept in mind that what happens to one team will affect and will be influenced by what happens in other teams within the organization. Employees in link-pin roles will be in better positions to facilitate changes and communication within their own groups.

THE TULSA (OKLAHOMA) BOARD OF EDUCATION ADOPTED THE FOLLOWING "MANAGEMENT TEAM" POLICY STATEMENT (BURTON, 1984:16):

The board has the highest concern for both people and production within the organizational structure of this school district. Therefore, the Board endorses a style of leadership which will promote team management.

The management team is organized on the premise that the multiple responsibilities of the superintendent can be better served by establishing a means which will permit the best thinking of staff members to be brought to bear on school problems. Although the Board and the superintendent cannot absolve themselves of legally constituted responsibilities, the team provides for a two-way flow of information and effective action resulting from group thinking.

The superintendent will lead, determine, structure and designate membership for the total management team. This team is responsible to the superintendent who, in turn, is responsible to the Board.
STEP 3
TEAM BUILDING
WORK SHEET

How will you identify strategy?

LAYING THE FOUNDATION

1. With administrative cabinet participation, identify and outline a specific management team structure in harmony with identified cultural norms and management skills already adopted by your district (use resource material previously listed). This is an important time to enlist the services of a professional consultant (Kilmann, 1984a:162).

2. Involve the school board and management team in the same manner used in establishing management skills, as described on pages 45, 49, and 52.

3. Work cooperatively with the school board and administrative cabinet to develop a management team policy statement (see page 73).

Summarize on the flow chart and time line at the end of this section.
ACTION IS SUGGESTED TO ESTABLISH AND MAINTAIN EFFECTIVE TEAMS RATHER THAN WORKING TO ACHIEVE THE ORGANIZATION'S MISSION THROUGH LOOSE COLLECTIONS OF INDIVIDUALS OR ADVERSARIAL CLIQUES (KILMANN, 1984a:163). THREE MAIN CATEGORIES SHOULD BE ADDRESSED:

1. **Individual Counseling:**
   Consider how to manage the very uncomfortable and difficult problems created by troublemakers whose behavior severely disrupts performance and morale throughout the school system (see page 76).

2. **Team Building:**
   Consider ways to make each group within the school system an effective team.

3. **Interteam Building:**
   Recognize that your school system consists of interlocking groups, not independent units. Problems that cut across many groups and require a multigroup effort should be addressed.

**THESE THREE APPROACHES ARE CONDUCTED IN SEQUENCE:**
1. Troublemakers must be managed before groups can fully function as teams;
2. Each group must be functioning well before the more complicated intergroup problems can be tackled.
3. With the identified foundation in place, interteam building can begin.
1. Through three-dimensional thinking (Chapter One) we better understand how the psyche forms and protects itself. We appreciate that troublemakers do not learn much from the change program because change is just not their style.

2. Because of the confronting manner in which troublemakers are controlled, this process should be guided by consultants until the managers and members can learn to do this themselves.

3. Troublemakers enact unhealthy, destructive forms of behavior that kill the organization's spirit and performance. They are insecure and troubled people who cope with inner conflicts and negative self-images by projecting them onto other people.

4. Troublemakers spend most of their energy surviving, defending, protecting, and living out their problems on others. They are troubled persons very much at war with little or no inner peace.

5. A change program encourages all members to look at themselves and to expose their cultures and their assumptions.

6. A troublemaker may very well interpret any program of planned change as an act of war, an invasion of his territory, and as a real threat to the maintenance of his ego.

7. Troublemakers in any organization are very hard workers who succeed despite their disruptive behavior. It is very uncomfortable for most "normal" people to deal with troublemakers.

8. Essentially, people often look the other way and hope the problem is not there. Difficult problems can be suppressed by the culture as well: see no evil, hear no evil, and speak no evil (Kilmann, 1984a:170).
Aided by professional consultants, the counseling process for managing troublemakers consists of four steps:

1. **Listing the troublemakers.** Top managers may have been looking the other way as troublemakers played on the fears and doubts of the membership, but the school system should not do this any more—the cost is too high. As people are put on the alert, people become much more conscious of the troublemaking phenomenon: Why has it been ignored so long? Developing a list of troublemakers is made more difficult as people are afraid to reveal their names for fear of job loss or harassment.

2. **Conducting the first feedback session.** Each identified troublemaker is scheduled for a separate feedback session with a trained consultant, who first summarizes why the individual was asked to attend. The consultant shares reported incidents and impressions others have of him (while protecting the confidentiality of the source), emphasizing that these might be totally distorted and inaccurate. Often the person is totally shocked. In the best cases, the person responds positively and proceeds to outline plans to correct perceptions and behavior. In most cases, the initial response is more defensive and hostile. But a message has been given, and the person has been put on the alert with a follow-up meeting set to see how things are going.

   If the whole change program is successful, the new culture will make certain that disruptive behaviors of the past are confronted quite dramatically by other group members.

   It is essential that top management support and power of the hierarchy be behind a confrontive approach. Then when members and troublemakers are told in no uncertain terms that disruptive behavior will not be tolerated, the message will be received.

3. **Conducting Follow-Up Sessions.** For those who responded defensively during the first session, disruptive behavior is expected to continue. Because they are not in control of their inner dynamics and have trouble responding to feedback, follow-up sessions are required. During these sessions, consultants see creativity at work and reality distorted to fit the troublemaker's needs. The purpose of the counseling sessions is to stop disruptive behavior. Any therapy is voluntary and conducted outside the school system by professionals other than the consultants.

4. **Concluding the Sessions.** There may be as many as 4-6 sessions over a period of several months for the troublemaker. The purpose is to help individuals squelch disruptive behavior before it causes trouble. As the system responds to the planned change program, other members become much more assertive about confronting disruptive behavior. Troublemakers are now stopped cold by things they got away with in the past. Everything is more visible, transparent, and under close watch. As members become more in charge of the system, troublemakers cannot get away with what went on before (Kilmann, 1984a:174).
GROUP INDICATORS OF A NEED FOR TEAM BUILDING ACTIVITIES:
1. Domination by the leader.
2. Warring cliques or subgroups.
3. Unequal participation and uneven use of group resources.
4. Rigid or dysfunctional group norms and procedures.
5. A climate of defensiveness.
6. Uncreative alternatives to problems.
7. Restricted communications.

ANALYSIS OF GROUP PERFORMANCE
1. What are the group's objectives?
2. Is the group accomplishing these objectives?
3. What does the group do particularly well in performing its task?
4. What obstacles prevent the group from performing its tasks?
5. Are group members spending the right amount of time on the right tasks with the right objectives in mind?
6. Do group members feel that their time is not spent in the most productive way? How is their time being diverted?
7. Do members feel that all their expertise and experience are being utilized? How could their talent be used more productively?
8. Are all issues brought out so that any problem can be addressed with full information and member expertise? How are some issues being avoided?
9. Do problems get solved or do they constantly reappear? Why do group solutions get lost during implementation?
10. Are members satisfied with the quality of decision making? What is the source of their dissatisfaction (Kilmann, 1984a:177)?

INTERGROUP BARRIERS
1. Unit members avoid or withdraw from interactions with people from another work unit when they should be spending more working time together.
2. The mutual product or end result desired by both units is delayed, diminished, blocked, or altered to the dissatisfaction of one or both parties.
3. Needed services between units are not asked for.
4. Services between units are not performed to the satisfaction of those in the units.
5. Feelings of resentment or antagonism occur as a result of unit interactions.
6. People feel frustrated, rejected, or misunderstood by those in the other unit with whom they must work.
7. More time is spent in either avoiding or circumventing interaction with the other unit, or internally complaining about the other unit, than in working through mutual problems (Dyer, 1977:118).
STEP 3

TEAM BUILDING

1. Entry into the Work Group
   -- The conservative approach is for the consultants to find out if
     the members are ready for an open dialogue with their manager.
   -- If they are, it does not take much effort to bring the manager
     in for the next meeting.
   -- If the members distrust their manager and fear reprisals if honest
     feedback takes place, some preliminary work needs to be done.
   -- The group should meet on its own to discuss safe issues first and
     more delicate issues a little later.
   -- As trust develops, the manager can enter the process.

2. Diagnosing Group Problems
   -- Members answer questions individually before discussion takes
     place (Analysis of Group Performance, page 78).
   -- The group leader summarizes individual and group responses on a
     flip chart or chalkboard so everyone can see.
   -- Force field analysis [Hamilton, 1975:105] can be used for problem
     diagnosis, listing forces for and forces against.
   -- Information penetrating the inner workings of the group becomes
     available.
   -- The most important problems facing the work unit are defined.
   -- Consensus is used to solve simple problems.
   -- A more elaborate method is used to solve complex problems.
   -- Problems beyond the group's boundaries are postponed until inter-
     group building efforts are undertaken.
   -- Members come to realize there is strength in their group.
   -- Data is summarized for the manager, who is invited to future meetings.

3. Deriving Solutions and Developing Action Plans
   -- Usually a very active discussion unfolds when the members are
     asked to consider what can be done to solve their group's problems.
   -- Some of this exuberance stems from the promise of managing their
     own problems, whereas, in the past they had not examined problems.
   -- Once a problem is defined, consensus is used to reach a solution.
   -- It is useful to uncover assumptions being made concerning how any
     relevant stakeholders will react to contemplated changes.

4. Implementing the Action Plans
   -- A useful approach is to form several subgroups of two or more members
     each to take responsibility for implementing one or more action plans.
     As implementation proceeds, initial plans will be modified.

5. Monitoring and Evaluating the Result
   -- The outcome of all prior steps are assessed to see if identified
     problems have been resolved.
1. **Entry into the Other Work Groups**

   -- Once team-building efforts have improved the functioning of several work groups, it is quite apparent how various intergroup problems are holding groups back.

   -- A group may not be able to begin a task until it receives certain inputs from another group.

   -- The value of the group's contributions may be affected by how well its output is actually utilized by some other group.

   -- These important task flows may be hindered by one or more intergroup barriers (see page 78).

   -- As soon as each group has "its own house in order," it is time to consider intergroup problems further.

2. **Diagnosing Intergroup Problems**

   -- The members in each group list (a) their perceptions of the other group's objectives, tasks, and responsibilities; (b) the "gut image" they have of the other group; and (c) their expectations of how the other group sees them.

   -- Group members become aware of the vastly differing perceptions that exist concerning the work domain of every group.

   -- A second major discovery is the sharing of "gut images" with other groups, which can have a very powerful effect.

   -- A startling comparison is made between each group's explicit expectations of how it would like to be seen and how it is actually seen by others.

   -- Groups meet back together to discuss all findings in open forum.

3. **Deriving Solutions and Developing Action Plans**

   -- A community discussion is held to derive solutions and formulate action plans to resolve the problems that were identified.

   -- Since the focus is on interteamm building, subgroups formed around initial action plans should have members from different work groups.

   -- Problems created by current group boundaries should not get in the way of solving the problems.

4. **Implementing the Action Plans**

   -- After sharing action plans in a community meeting, discussion moves to implementation.

   -- Consideration must be given to feasibility, time, and resources.

   -- Priority might be given to plans with short-term results.

   -- A timetable should be developed to coordinate all actions.

5. **Monitoring and Evaluating the Results**

   -- If plans and methods of implementation match identified problems and unique circumstances, and if sufficient time and energy are devoted, considerable progress should be made (Kilmann, 1984a:182).
STEP 3
TEAM BUILDING

WORK SHEET
(Fill in the Activity Time Line on page 82)

How will you prescribe action?

QUESTIONS TO BE RESOLVED:

1. Will funding be available to hire an outside consultant if this has not already been done?

2. Has support of the school board, management, and district members been attended to and maintained?

3. Do group members understand that (a) a structure has been established (participative approach to team management) and that (b) a process needs to be followed in sequence (individual counseling - team building - interteam building)?

Summarize on the flow chart and time line at the end of this section.
<table>
<thead>
<tr>
<th>Action Step</th>
<th>*Person(s) Responsible Others Involved</th>
<th>Begin/Complete</th>
</tr>
</thead>
</table>

ACTIVITY
TIME LINE:  
STEP 3
TEAM BUILDING

---

4
Prescribe
Action
STEP 3
TEAM BUILDING

INTERACTION WITHIN AN OPEN SYSTEM

1. Team building works on single parts of the school system one at a time.

2. Interteam building is necessary because the parts of a school system are highly interdependent, forming an open system.

3. Members from one group observe and interact with members from other groups. They compare, compete with, help, and hurt one another.

4. The objective of interteam building is to promote the most functional relationships among groups.

5. The troublemakers must be managed before any significant progress can occur with team building, which encourages three-dimensional thinking in dealing with the human psyche.

6. Similarly, sufficient progress with each team-building effort is necessary before an interteam effort can begin. It is very difficult to work out the problems that divide two or more groups if the groups themselves are unable to discuss their own behavior.
How will you implement your plan?

TROUBLEMAKERS BEWARE!

1. How can top management reinforce the message that the disruptive behavior of troublemakers will no longer be tolerated?

2. Develop a scenario of disruptive behavior which could occur within your school system.

3. Using the Ongoing Cycle of Planned Change as a model, construct strategy, action steps, a time line, and a method for evaluating the successful squelching of that disruptive behavior within your system (see Figure 5, page 9).

Summarize on the flow chart and time line at the end of this section.
## STEP 3
### TEAM BUILDING

**SELF AWARENESS AND TEAM FEEDBACK**

**RATING SCALE**

<table>
<thead>
<tr>
<th>ROLE</th>
<th>BEHAVIOR</th>
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</thead>
<tbody>
<tr>
<td><strong>DESTRUCTIVE</strong></td>
<td></td>
</tr>
<tr>
<td>BLOCKER</td>
<td>is stubborn; disagreeable; critical</td>
</tr>
<tr>
<td>DISTRACTO R</td>
<td>engages in irrelevant chatter; passes notes</td>
</tr>
<tr>
<td>DOMINATOR</td>
<td>asserts authority; speaks loudly; seeks attention</td>
</tr>
<tr>
<td>NIT-PICKER</td>
<td>magnifies insignificant details</td>
</tr>
<tr>
<td>WITHDRAWER</td>
<td>is silent; acts bored; shows lack of interest</td>
</tr>
</tbody>
</table>

| **CONSTRUCTIVE**                                                                 |
| CLARIFIER | clarifies ideas; summarizes                                              |
| CONTRIBUTOR | suggests new ideas; generalizes                                          |
| MEDIATOR | attempts to reconcile differences                                         |
| SUPPORTER | encourages other members; accepts others' contributions                 |
| TASK MASTER | keeps group focused and on task                                         |

Rate yourself or a team member in each of the roles, or, enter the initials of various team members in the grid under the appropriate number. Share your perceptions in a supportive, nonthreatening manner (Turner, 1985:19).
How will you evaluate results?

1. When individual counseling, team building, and interteam building have had their impact on the school system, the overall quality of decision making and action taking will be improved.

2. The learning of management skills will be ingrained in the way all problems are addressed in each group.

3. The culture will have changed to support information sharing, assertiveness in stating new positions and perspectives, and cooperation among all work units.

4. The culture will help define and solve problems that cut across group boundaries. These are problems of the school system and not just of the group.

5. Even if all these steps are entirely successful, integrated planning for the strategy and structure of the school system will not have occurred. Only the informal agreements, understandings, and cultural norms will have been modified.

6. Now is the time to get the visible and tangible features of the school system moving in the right direction through integrated planning.

Summarize on the flow chart and time line at the end of this section.
STEP 3: TEAM BUILDING

PLANNED CHANGE FLOW CHART

List the basic activities required to accomplish each phase.

1. Diagnose Needs
2. Obtain Support
3. Identify Strategy
4. Prescribe Action
5. Implement Plan
6. Evaluate Results
Use this time line to help you project how long it will take for PLANNED CHANGE to proceed, Phases 1-6. This may be used as a worksheet or as a record of the actual time line for accomplishment.

Do not move from one phase to the next until the previous phase has been completed. Any incompletely phase will eventually become a weak link in the structure of your school system.
STEP 4
INTEGRATED PLANNING

Integrated Planning
Team Building
Management Skills
Group Culture

5 Steps To Success
1. Planning is deciding in the present what to do in the future. It comprises the determination of a desired future and the steps necessary to bring it about.

2. It is the process whereby companies reconcile their resources with their objectives and opportunities.

3. Planning is not a corporate stepchild. Rather, it is a vital part of the management process.

4. Planning cannot solve your problems. But it can help you focus on what the problems and opportunities are, consider the reasonable responses, and make better decisions about the future of your organization than would otherwise be possible.

5. Not only must you carefully choose a planning time horizon, you must also consider the time necessary for implementation of a planning process.

6. It will take at least two or three years to install an effective planning system that is useful at all levels and activities within your organization (Ellis, 1980:22).

1. Stay flexible.
2. Maintain a balanced outlook.
3. Get top management involved.
4. Be critical of your assumptions and forecasts.
5. Don't focus on today.
6. Remember that only operating people can plan (Ibid).

The planning manual should include:

1. System Analysis Components (see pages 91-93)
   -- Data Base (pertinent facts about the school district)
   -- Critical Diagnosis (strategic analysis of key issues in data base)

2. Integrated Plans (see page 100)
   -- Strategic Plans
   -- Long-Range Plans
   -- Short-Range Plans

3. Activity Time Lines

Its purpose is to stimulate action, consolidate planning, and serve as a communication tool (Lewis, 1983).
STEP 4
INTEGRATED PLANNING

SCHOOL SYSTEM ANALYSIS

WHAT:  WHY:
--- Identify key trends  --- Determine Impact
--- Analyze factors  --- Formulate strategy
--- Evaluate forces  --- Implement plans

School System Analysis lays the foundation for the integrated planning process.

I. DATA BASE (pertinent facts about the school district)

1. Past Performance. Identify previous long-range goals and past performance in achieving them in the following key result areas:

   -- Instructional Programs and Services;
   -- Student Learning and Achievement;
   -- Organizational Management;
   -- Staff Development and Relations;
   -- Community Involvement and Relations;
   -- Innovations;
   -- Financial Resources;
   -- Physical Resources.
STEP 4
INTEGRATED PLANNING

SCHOOL SYSTEM ANALYSIS
(continued)

I. DATA BASE (pertinent facts about the school district)

2. School District Description. This should include:
   -- Brief history of the district;
   -- The district's scope, organizational structure, and activities;
   -- Concise description of each building within the district.

3. Demographic Profile. Identify major past trends and future projects, to include:
   -- population of the community;
   -- race, occupation, and family incomes;
   -- number of foster and welfare children.

4. Student Learning and Achievement. Include a description of:
   -- Student achievement by grades;
   -- Median SAT scores;
   -- Number of students receiving awards and honors;
   -- Number of students entering college, the armed forces, business, etc.
I. DATA BASE (pertinent facts about the school district)

5. Staff Profile. Include a description of the teaching, support, and administrative staff, to include:
   -- Training, educational background, experience;
   -- Awards, honors, and other accomplishments.

6. Programs and Services. Include those items or activities related to programs and services offered to students, staff, and community members.

7. Financial History. Using a program-oriented format, identify by figures a five-year fiscal history of the school district up through the current year.

8. Problem Areas. This summary of school-related problems should include:
   -- Absentee rates and turnover of students and staff;
   -- Pregnancy, vandalism, accident, and dropout rates involving students;
   -- The number of students and teachers assaulted, etc.
II. CRITICAL DIAGNOSIS (strategic analysis of key issues in data base)

1. **SWOT Analysis.** An example of the form for recording **strengths** and **weaknesses** in the internal environment and **opportunities** and **problems** in the external environment is recorded below.

   -- **Strengths** include those services, products, programs, and activities that the district currently provides well or performs an expected standard of measurement.

   -- **Weaknesses** include those services, products, programs, and activities that the district provides, performs poorly, or effects in a manner that fails to meet the expected standard of measurement. These are internal, controllable variables that have a negative impact and should be either corrected or avoided.

   -- **Opportunities** are areas in which favorable circumstances provide the potential for improving various aspects of the school district. Opportunities acted upon can potentially capitalize on strengths and convert weaknesses into assets.

   -- **Threats,** which may or may not be partially controllable, revolve around external conditions or obstacles that act as barriers to achieving the district's mission and goals.

<table>
<thead>
<tr>
<th>THE PRESENT</th>
<th>YEAR-ROUND SCHOOLS</th>
<th>THE FUTURE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strengths</strong></td>
<td><strong>Weaknesses</strong></td>
<td><strong>Opportunities</strong></td>
</tr>
<tr>
<td>Increases classrooms available for use.</td>
<td>Costs more per pupil to operate than 9-month schools (energy consumption, transportation, maintenance). Year-round schools operate at elementary level only; causes schedule problems for families with children attending at both elementary and secondary levels.</td>
<td>General public favors year-round schools and will tend to vote for other school funding because of perceived &quot;efficient use of tax dollars.&quot; Parents with young families may prefer year-round schools.</td>
</tr>
<tr>
<td>Taxpayers view year-round schools as efficient use of present facilities. Many suggest students remain more enthused; there appears to be less teacher burnout because of breaks through the year. Teachers and some parents believe retention of knowledge is better under this plan, although test scores don't validate this assumption.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### SWOT Analysis

<table>
<thead>
<tr>
<th>THE PRESENT</th>
<th>THE FUTURE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strengths</strong></td>
<td><strong>Opportunities</strong></td>
</tr>
<tr>
<td><strong>Weaknesses</strong></td>
<td><strong>Threats</strong></td>
</tr>
</tbody>
</table>

1. Diagnose Needs
STEP 4
INTEGRATED PLANNING

WORKSHEET

How will you diagnose needs?

THE SCHOOL SYSTEM ANALYSIS LAYS THE FOUNDATION FOR THE INTEGRATED PLANNING PROCESS.

1. As the first part of the School System Analysis, the Data Base is a comprehensive set of pertinent facts about the district.

2. The Critical Diagnosis is a strategic analysis of key issues in the Data Base.

3. Both are included in a School System Analysis handbook. The following suggestions are recommended for efficient planning:

-- Do not include supportive documents as part of the original text.

-- Keep the length of the handbook under 100 pages.

-- Avoid detailed expositions; use summaries of conditions.

-- Be thorough, but avoid including information twice.

-- Update the existing School System Analysis annually instead of developing a new one from scratch.

-- Be concise; avoid educational jargonese.

-- Use charts, diagrams, and tables to shorten the text and to facilitate interpretation.

-- Develop and use concise forms to highlight essential district information (Lewis, 1983:239).

USING THE SCHOOL SYSTEM ANALYSIS, PLANNING DECISIONS ARE BASED NOT ON WHAT IS DESIRED, BUT ON WHAT IS FEASIBLE DEPENDING UPON THE INTERNAL AND EXTERNAL ENVIRONMENTS.

1. Past performance is essential information for the analysis.

2. Possible threats to the school system are identified and dealt with.

3. Stakeholders' attitudes and expectations are recognized and considered depending upon their potential impact on the school system.

Summarize on the flow chart and time line at the end of this section.
II. CRITICAL DIAGNOSIS (strategic analysis of key issues in data base)

2. Analysis of Competitors. Competition to the school district should be evaluated in relation to such issues as enrollment, staff, programs, discipline, and budget caps. The following questions might be asked:

-- What is the impact of this competitor on the school district?
-- What strategy does the competitor use?
-- What are the competitor's strengths and weaknesses?
-- What action should be taken to reduce the competitor's impact?

3. Analysis of Stakeholders.

-- Stakeholders are those individuals, groups, or organizations who have an interest in the school system.

-- Their missions, objective, and concerns should be taken into consideration.

-- Internal and external groups include:

* Student groups
* Teachers
* Support Staff
* School Administration
* Professional Associations
* Board of Education
* Teachers Union/Associations (state and national)
* Other Unions
* State Department of Education
* Parents (supportive and irate)
* Citizen Groups
* Politicians
* Statesmen
* Social Service Agencies
* Chamber of Commerce
* Business Firms
* Corporations
* Local News Media
* Local Colleges and Universities
* Local, State, and National Government

(In each area of the Critical Diagnosis, surveys or questionnaires should be considered as a method for gaining valuable information. Seek professional guidance or examples concerning surveys in order to gain the most accurate information.)
How will you obtain support?

WINNING THE SUPPORT OF STAKEHOLDERS

1. Stakeholders are those individuals, groups, or organizations who have an interest in the school system.

2. Their missions, objectives, and concerns should be taken into consideration in an informal or formal manner.

3. Although the dominant stakeholders of an educational district are the citizens and parents, within these two groups are numerous other groups.

4. Review the list of stakeholders on page 97. Which three have the most positive or negative impact on the district?

5. Of those three, which ones are given adequate time and attention by school district top management?

6. Make a list of ten ways your school district could either utilize the services of or build better public relations with the local new media.

7. Of those ten, which five could be accomplished within the next six months? Which two could be started this month?

8. Make a list of ten key stakeholders that it would be beneficial to meet with in a one-to-one appointment. Set at least five appointments for the next two months before the week is over.
Definition: Establishes the major direction or mission of an organization.

Essence:

-- Determine what is best to do.
-- Focuses on who, what, why, and where among available choices.

Purpose: Gain competitive advantage.

Characteristics:

-- Handled by a task force.
-- Involves distinct risks, benefits, and commitment (time, money, effort).
-- Requires high-level endorsement.
-- Demands decisive action.
-- Changes the nature, purpose, or direction of an organization.

Examples:

-- The decision that a school system will initiate its own desegregation plan before being mandated to do so by court order.
-- The decision that a school system will develop year-round school scheduling as a viable alternative to the traditional nine month schedule, to more fully utilize facilities, and to partially address growth needs.

Strategic planning is a means of making tomorrow happen:

-- it focuses on broad policy issues facing an organization;
-- it assists us in reviewing what we are doing now;
-- it assists us in reviewing what we should be doing;
-- it assists us in reviewing why we should be doing it (Moscow, 1978).
An integrated approach to planning identifies strategies, long-range and short-range goals.

**GOAL SETTING**

**STRATEGIC (5-10 YEARS)**
- "Grand Design" or Major Direction
- What is our mission?
- Broad, general
- Top management most involved

**LONG-RANGE (3-5 YEARS)**
- Ways to achieve strategic goals
- More specific
- Top and middle management most involved

**SHORT-RANGE (1 YEAR)**
- Ways to achieve long-range goals
- Narrow focus
- Middle and lower management most involved
Shirley McCune, editor of Learning Trends, made the following observation concerning the analysis of facts all around us (1984):

The difference between the winners and the losers in the information society will be those who can figure out what to do with the information and those who can't.

Threats are the facts of future problems or weaknesses which potentially may have a serious negative impact on the school district if preventive measures are not taken.

The threat analysis chart below (see blank chart next page) identifies graphically those events or conditions and their relative impact on the school district (Lewis, 1983:289).

Each strength and weakness is in a sense also an opportunity or threat, the distinction between them being that opportunities and threats represent advantageous and disadvantageous conditions that could develop as a result of changes in strategy or the environment.
SYSTEM ANALYSIS
CRITICAL DIAGNOSIS

Probability of
Occurrence

100%

75%

50%

25%

0%

None
Low
Moderate
High
Catastrophic

THREAT ANALYSIS

Harmful Effect on the School System
1. The number of senior citizens is increasing.

By the turn of the century, 32 million citizens will be over 65; even now, two-thirds of school patrons have no children in school.

2. Family patterns are changing. There are more single parents and more latchkey children. In couples with children, both spouses commonly work. IRS records 13 distinct family patterns.

Many schools already find a majority of their students live in single parent families. Divorce is traumatic for students. There are 5000 to 6000 student suicides annually.

3. The number of minority students is increasing rapidly, particularly in urban areas.

One quarter of public school enrollment is now minority (N. Mex. = 57%, Texas = 46%, Cal. = 43%, and N.Y. = 32%). Immigration has recently added 13 million (mostly Asian and Mexican) people to the U.S. population. Projections are that by the year 2000, 53 U.S. cities will have become predominantly nonwhite.

4. The post-World War Baby Boom will "echo," and more 35- to 44-year old women will have babies.

As people mature who were born in the high birthrate period from 1945 to 1965, they will create an "echo" of offspring expected to peak in 1988 or 1989 (since many women delayed having a family until the last third of their fertility period).

5. Most jobs are now and will continue to be in information and service areas. The number of agricultural and industrial jobs will continue to decline.

Half or more jobs will be in the information sector (30 to 40% will be in service, 15 to 20% in industry, and 2 to 3% will be in agriculture). The average person will change jobs seven times.

6. Technology increasingly affects people's lives, with both good and bad results.
People face issues of genetic mutation, nuclear power use, animal to human organ transplants, rapid changes in communication and transportation, tradeoffs between ecological deterioration and progress (including jobs). Technological advances will force moral choices.

7. The likelihood is decreasing that this generation of youth will attain the same level of material comforts as their parents. Leisure time will increase. Satisfaction will be less linked to jobs.

Long-term unemployment may run from 6 to 10%. The work week may be pared to 35 hours. Interest in and commitment to jobs is likely to fall while employment in the home will increase.

8. The feminist movement will continue to acquire new interpretations and meanings. More women will join the work force, entering traditionally male occupations.

The problem of sexism in society will persist, as will work vs. family conflicts for females. Partners may increasingly share family and housekeeping roles.

9. Earth's civilizations are increasingly interdependent.

Conflicts (like the Arab-Israeli war that drove up oil prices) will have widely felt influence. Global conflict over economic disparity or ideological differences is possible. Vulnerability to totalitarianism is a concern. The centrality of religion in understanding cultural differences will play an important role.

10. American social norms and value structures will evolve.

Steadily and over a long period, social norms governing such issues as abortion, premarital sex, interracial marriage, and so on, will become more liberal. People will seek self-fulfillment and personal growth. Trust in big government and leaders in general will erode in favor of smallness, networking, and involvement. In recent years this trend has been countered by a significant conservative movement (Cawelti, 1985).

COMPARE THESE TRENDS WITH "MEGATRENDS AND MASTERPLANNING," (APPENDIX A OF DISSERTATION IN WHICH THIS HANDBOOK IS APPENDIX C).
THE UNDERLYING CONCEPT OF THE ISSUES MANAGEMENT PROCESS IS THAT IDENTIFYING ISSUES WHICH WILL AFFECT AN ORGANIZATION ENABLES ITS MANAGERS AND STAFF TO PARTICIPATE IN THE DEVELOPMENT OF THE ISSUE. THE INTENT (DESPITE ITS NAME) IS NOT TO MANAGE BUT RATHER TO PARTICIPATE IN THE RESOLUTION OF THE ISSUE.

A PRODUCTIVE AND INEXPENSIVE ISSUES MANAGEMENT PROCESS CAN BE SET UP ALONG THE FOLLOWING GUIDELINES:

1. Establish a group responsible for identifying issues which may affect the organization. This group serves as a radar function by monitoring events which it thinks may affect the organization.

2. Meeting at regular periods, the group should identify those issues according to an agreed upon set of procedures (see Banach, 1983:17; "Issues Management," 1984:1).

3. Provide regular briefings to senior managers and staff to expand their knowledge of issues which could affect the organization.

4. The essential function of an issues management process is to monitor and survey the organization's external environment rather than its internal strengths and weaknesses. By focusing on that external view, it is possible to continually identify and possibly affect issues which may change the organization.

5. At the outset, an organization has a number of options and choices concerning how the issue in question should be addressed.

6. As the issue continues to develop, increasing participation exists.

7. The options open to the individual organization significantly diminish as choices or decisions are forced on them by other participants.

8. Immediate issues in education include discipline, financial operations, merit pay, etc.

9. Emerging issues with a slightly longer lifetime include lifelong learning, alternative schools, or high-tech curricula.

10. Strategic issues are those which can be thought of as having an effect or a life span of five years or more (growth of the global economy, the development of biological sciences in relation to American economical and social structures, etc.)

11. Analyzing issues in this manner allows an organization to identify and determine those issues which are central to its well-being or only peripherally related to its future as an organization ("Issues Management," 1984:1).
How will you identify strategy?

THE PIECES OF THE PUZZLE

1. In formal planning, management runs on a perpetual track, asking specific questions and getting objective answers to each (Ellis, 1980:33):
   -- What are we?
   -- What is our environment?
   -- What do we want to be?
   -- How do we get there?
   -- How do we know when we've arrived?
   -- What are our strengths and weaknesses?
   -- What can we expect from what we are currently doing?
   -- How should we change what we are doing in order to do some things better?
   -- How are we performing?

2. A good manager not only plans, but he constantly reassesses those plans while remaining alert to opportunities.
   -- These opportunities are then evaluated against his objective assessment of the company's strengths and weaknesses.
   -- This results in a rational decision concerning whether or not to pursue the opportunity in the appropriate time frame.
   -- This process can be initiated only after a manager has asked himself the simple question: "What are we?"

3. After identifying strategies within the framework of your position, resources, and environment, they must be evaluated. Validate your strategies by asking some simple questions:
   -- Does the strategy make sense?
   -- Is the strategy viable?
   -- Is the strategy flexible enough to cope with environmental changes?

4. The most difficult step in strategic planning often is defining exactly what business your organization is in (Ibid.).

Summarize on the flow chart and time line at the end of this section.
FROM STRATEGIC TO SHORT-RANGE PLANNING

The way a planning program is implemented within a school system depends upon the knowledge, training, and experience of those involved in the process. To help steer clear of negative variables in strategic, long-range, and short-range planning, the following truisms are included (Lewis, 1983:23):

1. Planning is difficult.

2. There will be resistance to change.

3. Planning takes time.

4. Planning reveals and clarifies opportunities and threats.

5. Good planning focuses on major needs.

6. Planning is a training process.

7. Planning will improve communication.

8. Planning focuses on decisions about the future.

Use the above eight statements as a work sheet to generate discussion at a management skills workshop. Allow substantial time and discussion for each question. Be prepared to relate examples and an analysis of each one. At the same time, distribute copies of Goal Planning on page 100; discuss how one level of planning should lead to another.
Planning is a complex and integrated process of isolating and identifying individual developments that may shape the future. Out of this process, flexible action programs must be initiated to exploit the opportunities that have been uncovered. Adjustments must be made as actual events unfold, and plans must be continually monitored and updated (Ellis, 1980:26).

Action plans could be used as a motivating factor because time limits do motivate action. The time frame is an invaluable catalyst for this purpose.

The process of developing an action plan to reach an objective must be approached in a systematic manner by careful examination of the scope and sequence of each activity. Failure to do so could result in a waste of human and fiscal resources (Lewis, 1983:168).

The following questions should be analyzed in order to develop an action plan that will succeed in accomplishing the objective:

1. What vital steps are necessary to achieve the objective?

2. What priorities should be assigned to each step of the action plan?

3. What minor subactivities are necessary to support major activities for accomplishing an objective?

4. What method(s) or mean(s) should be employed to monitor the performance of person(s) or agency(s) who have a share in the responsibility for accomplishing the objective?
# Activity Timeline: Step 4

## Integrated Planning

<table>
<thead>
<tr>
<th>Action Step</th>
<th>*Person(s) Responsible Others Involved</th>
<th>Begin/Complete</th>
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COMMITMENT OF LEADERSHIP

1. The effectiveness of the planning process is the responsibility of the superintendent.

2. He delegates this responsibility to individual management team members in order to manage the process in the most effective manner.

3. The superintendent will benefit from assigning a planning coordinator or director to act as a catalyst to orchestrate the planning of others (Lewis, 1983:206).

4. The chief school officer is also responsible for assessing whether the central planning unit is having a positive or negative effect on individual planning units as well as on the planning units as a whole.

5. Ineffective planning will lead to wasted time and energy and will have a devastating effect on the total school district.

6. How to involve the community in implementing the planning process is a key decision the superintendent must make with board approval and support (page 72).

AN EFFECTIVE PLANNING PROCESS

Someone once said, "Long-range planning is more than the organization and analysis of information: it is a decision-making process." Because this occurs, the following four steps will be accomplished within a school system where long-range plans are made:

1. The decision-making ability of management team members will be improved.

2. The management team members' ability to function will be enhanced.

3. All key result areas of the school system (page 91) will be positively affected.

4. Student learning and growth will be increased (Lewis, 1983:245).
How will you implement your plan?

A MISSION MAKES IT HAPPEN

A school system doesn't really determine its mission; parents and other citizens make this determination:

1. Effective mission statements always proceed from the outside (the customer and the environment) to the inside (management's response to the customer's needs and wants).

2. This is prepared as a work sheet. With the first four steps to school system success in place, developing or redefining your district's mission statement will come naturally and will reflect the planned change you have been working to achieve within your district.

3. As with management skills and team building, be certain to obtain the support and commitment of every work team, beginning with the school board. Refer to those sections for specific procedures.

4. A thorough understanding of your school district's mission requires appropriate answers to three major questions:

   -- What is our present purpose? (why, what, whom, and where)

   -- How will the future affect us? (refer to the Threat Analysis and the SWOT Analysis)

   -- What should our purpose become? (Comparing internal capabilities with the competitive picture helps the organization determine what major changes should be made in the present mission statement.)

Proceed to develop, refine, or reaffirm your mission statement; remember that it is commitment, the human spirit, and a consensus of will which make it come alive.

Summarize on the flow chart and time line at the end of this section.
Leaders must understand the error potential in long-range planning and must pay close attention to the constant adjustment and fine tuning of the organization's goals and activities.

The performance of management can and should be measured against its planning strategies:

1. Did the things the strategy expected to happen in fact take place?
2. Were the goals on target in light of actual development?
3. Have the goals been attained?
4. Are expectations defined and spelled out?
5. Is there organized feedback from actual events pertaining to the expectations (Drucker, 1980:71)?

At present, no study exists that measures the positive effect of planning on the public education field. However, there are at least three major studies on business and industry that maintain that planning does make a difference in the quality of decision-making abilities of managers, as well as in productivity.

All of the activities of the previous stages have been accomplished to lead to increased student learning and growth, which is the bottom line in public education. First, the planning process enabled planners to make improved decisions, and second, it enabled them to function more effectively so that appropriate long-range goals, strategies, and short-range objectives could be analytically arrived at to bring about the desired results.

Any evaluation system that is designed to judge the effectiveness of the planning process should assess the sequential stages that lead to improved academic achievement. A gap or deficiency in any one of these stages will prevent the process from attaining the end result.
HUMAN PROBLEMS RELATED TO PLANNING

Although planning facilitates and expedites the decision-making process, produces better informed and trained administrators, and improves the morale and effectiveness of the staff on the whole, the most prevalent problem associated with developing strategic and operational plans remains human-related (Lewis, 1983:244):

1. School administrators, like other human beings, resist being changed.

2. Whenever an innovation is introduced into a school organization, new demands and new challenges are placed upon administrators.

A major problem that occurs when the planning process is first installed in the school district is the administrator's reluctance to devote sufficient time to the process and resentment at having to do so. Following are several reasons for this behavior:

1. Administrators' performance is evaluated on immediate accomplishment, not on what they are prepared to do in three to five years.

2. Their day-to-day responsibilities receive primary consideration, while everything else becomes of secondary importance.

3. Planning is often seen as an academic exercise because plans are often unused or severely modified by either the supervisor or unforeseen circumstances.

4. Planning constitutes a threat because it explores gaps, inefficiency and poor performance.

5. Planning can generate too much paperwork, taking valuable time away from the day-to-day operations of the school.

6. Another human-related problem in the planning process is the impact of change in terms of creative and intellectual demands.

7. The planning process requires a great deal of analysis, synthesis, and evaluation, which do not come easily to untrained minds (ibid.).

Summarize on the flow chart and time line at the end of this section.
STEP 4: INTEGRATED PLANNING

PLANNED CHANGE FLOW CHART

List the basic activities required to accomplish each phase.

1. Diagnose Needs
2. Obtain Support
3. Identify Strategy
4. Prescribe Action
5. Implement Plan
6. Evaluate Results
Use this time line to help you project how long it will take for _PLANNED CHANGE_ to proceed, Phases 1-6. This may be used as a worksheet or as a record of the actual time line for accomplishment.

Do not move from one phase to the next until the previous phase has been completed. Any incompleted phase will eventually become a weak link in the structure of your school system.
STEP 5

INCENTIVE PROGRAMS

5 Steps to Success

- Incentive Programs
- Integrated Planning
- Team Building
- Management Skills
- Group Culture
1. Organizations offer rewards; individuals offer performance.

2. In the exchange of rewards for performance, a relationship is born.

3. Organizations establish reward systems to document this relationship.

4. While two important purposes of a reward system are to attract and retain the most able individuals as members, an important third purpose is to motivate those members to high levels of performance.

5. Most incentive systems seem to do a good job of fulfilling the first two purposes, but they are often unsuccessful in motivating members to do more than what is considered satisfactory or merely acceptable.

6. In a nonperformance-based reward system, each individual is paid for routine performance, not for outstanding results.

7. From a three-dimensional view of a school system, routine performance generated under seniority or other nonperformance-based pay systems is simply not adequate.

8. In a complex, three-dimensional system, success can be achieved only if members are motivated to use all their talents and energies.

9. Establishing a system that exchanges different rewards for different levels of performance is a complex undertaking; it is not a simple matter of announcing to the membership that rewards will vary according to performance.

10. A fully-functioning, performance-based reward system is possible if and only if all the other four steps to success have accomplished their purposes.

11. The earlier steps establish the right conditions for a performance-based incentive program, which then allows the school system to tie compensation and other rewards directly to performance.

12. In essence, if a school system does not establish the proper conditions for an effective incentive program, it cannot use salaries, wages, bonuses, promotions, or any other form of compensation to motivate the membership to high performance (Kilmann, 1984a:229).
How will you diagnose needs?

The topic of job incentives is of interest to all group workers. Using the strategy for this link of planned change (numbered above), research and discuss job incentives with co-workers. Write your impressions below concerning how to feasibly foster workable incentive programs (monetary and nonmonetary) within your school district. Also consider the brief outline on the previous page in your discussion and analysis.

Are the first four steps of 5 Steps to Success already functioning within your school system? Are there any areas which need special attention before you can implement an incentive program? What needs to be done?

Are you considering other forms of incentives as well as monetary compensation?

Summarize on the flow chart and time line at the end of this section.
1. Individuals have been offered numerous rewards in exchange for their membership and high performance.

2. These rewards can be divided into two groups: intrinsic and extrinsic.

3. Intrinsic rewards are those reinforcements an individual experiences from performing his assigned work. For example, if the job is interesting, exciting, and challenging, the individual experiences pleasure from his assigned work.

4. Extrinsic rewards are given formally by the organization rather than occurring naturally in the work setting. Salary, bonuses, paid vacations, fringe benefits, and expense accounts are examples of extrinsic rewards.

5. How well rewards are linked to results affects the level of performance in the organization.

6. Pay as a motivator not only satisfies basic needs but provides purchasing power for a wide range of goods and services. It is a symbol of success and an indicator of social status.

7. Monetary pay is the most important and most flexible extrinsic reward to both the individual and the organization. (Kilmann, 1984a:233; Genck, 1985).
How will you obtain support?

The topic of job incentives is of interest to all group workers. Using the strategy for this link of planned change (numbered above), research and discuss job incentives with co-workers. Write your impressions below concerning how to feasibly foster workable incentive programs (monetary and nonmonetary) within your school district. Also consider the brief outline on the previous page in your discussion and analysis.

What kinds of extrinsic rewards are being considered? How extensive is your research in identifying alternative methods?

Fill out a SWOT Analysis (page 95) for each of the monetary incentives listed in item 4 on the previous page.

Summarize on the flow chart and time line at the end of this section.
MEASURING PERFORMANCE

1. Pay and other forms of compensation cannot be linked to performance if performance cannot be measured in a specific manner.

2. There is an ongoing debate concerning whether a person's contribution to the organization can be measured objectively or subjectively.

3. In most cases, measures are considered objective when hard numbers based on a well-formulated system of counting are available.

4. Objectivity is more apparent when specific quantities of value added can be measured.

5. Although an objective measure of performance is often available at the organization level, it is often more difficult to construct such measures at the subunit level where the work is performed.

6. The more the performance assessment takes place away from the individual level, the more the link between performance and reward is weakened. Members have difficulty seeing how their own efforts contribute to return on investment at the organization level.

7. No matter how perfectly the organization is structured, objective measures of performance cannot capture all the necessary contributions required of members for long-term organizational success.

8. Only from a one-dimensional view of the world do objective measures appear to present the whole picture. From a three-dimensional viewpoint, below-the-surface aspects of organizational life must be considered, assessed, and rewarded as well (Kilmann, 1984a:235).
How will you identify strategy?

The topic of job incentives is of interest to all group workers. Using the strategy for this link of planned change (numbered above), research and discuss job incentives with co-workers. Write your impressions below concerning how to feasibly foster workable incentive programs (monetary and nonmonetary) within your school district. Also consider the brief outline on the previous page in your discussion and analysis.

Identify those jobs in which performance can be measured in a specific manner. What are those jobs within your school system where identifying performance is more difficult?

Discuss with co-workers how group culture, hidden assumptions, and the human psyche affect equity in compensation (see three dimensional thinking, Chapter 1). How does your new adaptive culture help to make incentive programs more feasible to implement?

Summarize on the flow chart and time line at the end of this section.
1. Following are five of the seven stages outlined by Kilmann (1984a: 243) for empowering a performance-based incentive program which can be successful by involving everyone throughout your school system:

-- Stage One: Forming a Collateral Design not only affects everyone in the school system, but it is rooted in some very basic assumptions about what motivates people. A collateral structure is used to design the incentive program, involving perhaps 30 to 50 people throughout the system.

-- Stage Two: Reviewing the Types of Incentive Programs involves all members of the collateral structure in a review of the whole topic of incentive programs, including all alternative possibilities.

-- Stage Three: Forming Groups Around Alternative Incentive Programs involves all members divided into small groups to generate ideas about different kinds of incentive programs. The 30 to 50 representatives form three to five conclusion groups.

-- Stage Four: Analyzing Assumptions occurs as "C-groups" from the collateral structure debate contradictory yet plausible assumptions about human nature and performance and how to tie the two together.

-- Stage Five: Designing the Detailed Incentive Program formulates the various aspects of the program in detail. Necessary specifics are compiled and objective measures of performance are established.

2. During this time, one-to-one meetings between managers and subordinates should be conducted. Relative priorities of tasks and objectives should be agreed upon, and skill improvement areas should be identified (Kilmann, 1984a:243).
How will you prescribe action?

The topic of job incentives is of interest to all group workers. Using the strategy for this link of planned change (numbered above), research and discuss job incentives with co-workers. Write your impressions below concerning how to feasibly foster workable incentive programs (monetary and nonmonetary) within your school district. Also consider the brief outline on the previous page in your discussion and analysis.

Is support for each stage obtained before proceeding? Is adequate time and attention being given to each stage?

Are relative priorities of tasks and objectives being agreed upon as managers and subordinates meet one-to-one? Are skill improvement areas being identified?

Summarize on the flow chart and time line at the end of this section.
<table>
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<tr>
<th>Action Step</th>
<th>*Person(s) Responsible Others Involved</th>
<th>Begin/Complete</th>
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**INCENTIVE PROGRAMS**

**STEP 5**

**ACTIVITY TIME LINE:**

4 Prescribe Action
STEP SIX: IMPLEMENTING THE NEW INCENTIVE PROGRAM

1. The new incentive program should be shared with the rest of the organization. Several open forums should be provided so that all members have an opportunity to hear and discuss all aspects of the proposed incentive program.

2. The process by which the system was developed should also be shared so that all members understand the basic components and assumptions of the new program.

3. During these meetings, issues might be raised that were not recognized in the collateral structure. While the process used was a very comprehensive one, it still was conducted by a very small percentage of the entire organization.

4. This is the time to test out the new incentive program and be especially open to whatever comments are given. The comments will help refine the program and gain a broader base of support and commitment.

5. As a result of all the inputs from the membership, the collateral groups should modify the incentive program and conduct its implementation (Kilmann, 1984:248).
STEP 5

INCENTIVE PROGRAMS

WORK SHEET

How will you implement your plan?

The topic of job incentives is of interest to all group workers. Using the strategy for this link of planned change (numbered above), research and discuss job incentives with co-workers. Write your impressions below concerning how to feasibly foster workable incentive programs (monetary and nonmonetary) within your school district. Also consider the brief outline on the previous page in your discussion and analysis.

Do members feel they have adequate opportunity to hear and discuss all aspects of the proposed incentive program? Do all members appear to understand the process by which the program was developed?

Have you received adequate comments to refine the program? Are the collateral groups involved in modifying the incentive program and implementing it?

Summarize on the flow chart and time line at the end of this section.
Stage Seven: Evaluating the New Incentive Program

1. Does the newly designed and implemented incentive program accomplish the three purposes of attracting, retaining, and motivating employees? Various surveys and opinion polls can be used to answer this question, as well as provide additional information about the system.

2. By cycling between periodic performance reviews and frequent counseling sessions, managers can provide each subordinate with the best setting for both assessment and improvement of job skills and performance.

   -- The process of scheduling and conducting these two different meetings takes place in four phases: (a) establishing expectations for evaluation and learning, (b) scheduling performance reviews, (c) scheduling counseling sessions, and (d) cycling between evaluation and learning.

When the 5 Steps to Success are each operational, members receive extrinsic rewards for performing well in their newly adapted school system under a new management style and according to a new culture. Combined with the intrinsic rewards they experience since the earlier steps have been implemented, a credible incentive program is available for everyone. If the school system has made use of all the information and expertise at each step, it will be managing most of its important problems to the best of its ability (Kilmann, 1984a:248).

Now the school system can solve many complex problems. The Ongoing Cycle of Planned Change can be conducted at any of the steps as new problems surface—as long as group workers are open to three-dimensional thinking.
How will you evaluate results?

The topic of job incentives is of interest to all group workers. Using the strategy for this link of planned change (numbered above), research and discuss job incentives with co-workers. Write your impressions below concerning how to feasibly foster workable incentive programs (monetary and nonmonetary) within your school district. Also consider the brief outline on the previous page in your discussion and analysis.

In addition to performance reviews for evaluation, are frequent counseling sessions helping workers to increase job skills and performance?

Are your school system workers becoming more open to three-dimensional thinking? How does this more open view by workers help your system to solve complex problems?

Summarize on the flow chart and time line at the end of this section.
STEP 5: INCENTIVE PROGRAMS

PLANNED CHANGE FLOW CHART

List the basic activities required to accomplish each phase.

1. Diagnose Needs
2. Obtain Support
3. Identify Strategy
4. Prescribe Action
5. Implement Plan
6. Evaluate Results
TIME LINE

Use this time line to help you project how long it will take for PLANNED CHANGE to proceed, Phases 1-6. This may be used as a worksheet or as a record of the actual time line for accomplishment.

Do not move from one phase to the next until the previous phase has been completed. Any incompleted phase will eventually become a weak link in the structure of your school system.
EPILOGUE:

A Commitment to School System Success

Nobody ever climbed a mountain by looking at it.

--George Dubow

Those who succeed and do not push on to greater failure are the spiritual middle classers. Their stopping at success is the proof of their compromising insignificance. How pretty their dreams must have been! Only through the unattainable does man achieve a hope worth living and dying for—and so attain himself.

--Eugene O'Neill

It is necessary; therefore, it is possible.

--G.A. Borghese

Think in anticipation, today for tomorrow, and indeed, for many days. The greatest providence is to have forethought for what comes. What is provided for does not happen by chance, nor is the man who is prepared ever beset by emergencies. One must not, therefore, postpone consideration till the need arises. Consideration should go beforehand. You can, after careful reflection, act to prevent the most calamitous events. The pillow is a silent Sibyl, for to sleep over questions before they reach a climax is far better than lying awake over them afterward. Some act and think later—and they think more of excuses than consequences. Others think neither before nor after. The whole of life should be spent thinking about how to find the right course of action to follow. Thought and forethought give counsel both on living and on achieving success.

--Spanish Jesuit Baltasar Gracian
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