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A model for critiquing plans for implementation of educational reform initiatives in public school districts. (Volumes I and II)

Pearce, Deborah, Ph.D.
The Ohio State University, 1991

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A MODEL FOR CRITIQUING PLANS FOR
IMPLEMENTATION OF EDUCATIONAL REFORM INITIATIVES
IN PUBLIC SCHOOL DISTRICTS
VOLUME I

DISSERTATION

Presented in Partial Fulfillment of the Requirements for
the Degree Doctor of Philosophy in the Graduate
School of The Ohio State University

By

Deborah Pearce

* * * * *

The Ohio State University
1991

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## LIST OF TABLES

<table>
<thead>
<tr>
<th>TABLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Problem Statement Questionnaire</td>
<td>242</td>
</tr>
<tr>
<td>2. Implementation Plan Questionnaire</td>
<td>247</td>
</tr>
</tbody>
</table>
### LIST OF FIGURES

<table>
<thead>
<tr>
<th>FIGURES</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Form of Integrated Model</td>
<td>26</td>
</tr>
<tr>
<td>2. Organizational Elements</td>
<td>30</td>
</tr>
<tr>
<td>3. Integrated Model</td>
<td>31</td>
</tr>
<tr>
<td>4. Organizational Elements</td>
<td>131</td>
</tr>
<tr>
<td>5. Variables Involved in the Implementation Process</td>
<td>193</td>
</tr>
<tr>
<td>6. Form of the Integrated Model</td>
<td>235</td>
</tr>
</tbody>
</table>
TABLE OF CONTENTS

ACKNOWLEDGEMENTS ........................................... ii

VITA ............................................................ iii

LIST OF TABLES .................................................. v

LIST OF FIGURES .................................................. vi

CHAPTER PAGE

I. GENERAL INTRODUCTION

Introduction ................................................. 1
Background of the Problem .................................... 7
Statement of the Problem ...................................... 13
Purpose of the Study .......................................... 16
Research Questions ........................................... 18
Conceptual Assumptions ....................................... 19
Theoretical Framework ......................................... 25
The Contingency Perspective .................................. 28
The Theory of Inquiry ......................................... 31
Importance of the Study ........................................ 33
Definition of Terms ............................................ 34
Scope and Limitations of the Study ......................... 34
Outline of the Study ........................................... 37

II. REVIEW OF LITERATURE

Introduction ............................................... 39
Section One - Major Concepts of the Study ................. 41
The Meaning of Educational Reform ......................... 41
Educational Reform in the 1980’s ............................ 45
Implementation of Educational Reform ....................... 57
Organizational Change ......................................... 81
Section Two - Theoretical Bases of the Model ............... 89
The Contingency Perspective .................................. 89
Methodology for the Social Sciences ......................... 104
The Theory of Inquiry ......................................... 111
Summary ....................................................... 126
Section Three - Elements of the Contingency Model 129
   General Overview ....................... 129
   Technology ................................ 132
       Generic Questions .................. 147
   Structures ................................ 147
       Generic Questions .................. 156
   Actors ................................... 156
       Generic Questions .................. 180
   Task Definition ........................... 180
       Generic Questions .................. 231

III. METHODOLOGY

    Introduction ................................ 234
    Description of Research Methodology .......... 236
    Test One - Content Validity .................. 237
       Selection of Jury ..................... 238
       Data Collection and Recording .......... 240
       Data Analysis .......................... 252
       Methodological Assumptions .............. 253
       Limitations ............................ 254
    Test Two - Construct Validity ................ 256
       Selection of the Case .................. 262
       Application of the Model ............... 265
       Data Collection and Recording .......... 266
       Methodological Assumptions .............. 278
       Limitations ............................ 282
    Summary .................................. 283
CHAPTER I

GENERAL INTRODUCTION

Introduction

In 1977, I was directly involved in the design and development of a system of magnet schools for the Montclair School District in New Jersey. The magnet plan was a comprehensive revision of educational programs and a restructuring of the district to integrate schools on a voluntary basis. As Director of Funding and Development, I was responsible for the production of documents defining the magnet programs and describing implementation plans. These proposals were chiefly developed as applications for federal funding under Title VII. These documents detailing the magnet strategy provided specific accounts of the goals, objectives, structures and processes prescribed for the magnet schools.

During the first year of implementation, I was appointed principal of one of the key schools in the Montclair magnet system. For two and one-half years as principal of the school I was responsible for the realignment of organizational structures, staff roles and curriculum to implement the new magnet program.
In 1981, the Superintendent of the Montclair Public Schools was appointed Superintendent of the Wake County School District in North Carolina. Dr. Walter L. Marks, was selected for this position as a result of his success implementing magnet schools for desegregation. The Wake system is a county-wide district centered in Raleigh, North Carolina. The district encompasses 800 square miles with rural, suburban and urban populations. It included 85 schools with a student population of 55,000 in 1981.

In the Wake County administration, I served as Assistant Superintendent for Curriculum and Instruction, with responsibility for program design and implementation for magnet schools. The implementation effort involved changing organizational structures, staff roles and curriculum for 34 schools over a one-year period. The plan defining the system-wide reorganization and educational programs was finalized in a document presented to the board in January 1982.

The implementation initiative was guided by this comprehensive plan. This reform program was a massive system change affecting more than 30,000 students, involving staff in 34 schools, requiring massive transportation, personnel transfers, curriculum development, staff development, facilities modifications, materials and equipment acquisitions. The orchestration of this massive change required competent and timely response in all sectors of the district organization.
As a result of this intense experience in Wake County and the prior experience in Montclair, I became interested in formulating a model for managing change appropriate to the district level and the school level that would be conceptually broad and dense enough to help administrators direct and manage systemic change.

While studying the literature from various sources to develop this change model, by coincidence, I was appointed to positions within the New Jersey Department of Education involving the critique and design of plans to reform urban school districts. Districts included: Newark, Paterson, Orange, Hoboken, Camden, Jersey City and others. These systems, suffering a multitude of problems including low student achievement, high drop-out rates, poor attendance, low teacher attendance and inadequate curriculum, were required to submit corrective action plans to remedy problems to the New Jersey State Department of Education.

In the various roles in which I served, I became aware that there was no standard method for analyzing the quality of plans submitted. Further, plans tended to be atomistic, proposing discrete actions to remedy separate problems. For example, student absenteeism would be treated in isolation from student achievement issues.

In the main these corrective action plans were constructed on a framework designed to satisfy accountability criteria. Emphasis was given to stating activities,
resources, time schedules and personnel responsible for conducting activities. This approach, borrowed from the management by objectives tradition, does not focus attention on the utility of activities as means for achieving objectives. Further, the value of stated objectives is not scrutinized in this approach. Moreover, the linkages between separate objectives are not apparent in this mapping of events. In summary, two difficulties emerged as problems in the review of these planning documents: (1) the lack of a conceptual model or method for critiquing the quality of corrective action plans as statements of means; (2) and the loss of a sense of the whole direction of the change strategy through the reductionist perspective of the accountability model.

My interest in the conceptual and practical problems arising from a lack of method for reviewing plans and the limitations of existing conventions for designing planning documents influenced the emerging study. From a general concern for a method to direct and manage system-wide change initiatives, the study shifted to a specific interest in the analysis of planning documents to assess strategies for effecting change.

As the study was narrowing in focus, I was appointed Associate Superintendent for Educational Services, for the Richmond Unified School District in northern California, fall 1987. The Board of Education had recruited Dr. Marks as
Superintendent to reform this urban district using the magnet school concept as the overall strategy for system change.

The Richmond Unified School District is an urban district with a student population of approximately 30,000, with high ratios of minority youth from diverse ethnic groups. The district is highly unionized with major management prerogatives usurped through contractual agreements. The superintendent recommended a system-wide plan to address longstanding problems of high suspension rates, low attendance, high drop-out levels and low achievement through a curriculum driven reform initiative. This reform initiative was developed into a defined strategy for system change in a planning document entitled "A System for Choice."

This comprehensive plan was presented to the Board of Education January, 1988, and approved in February, 1988. In the fall of the 1988-89 school year, 22 schools were implemented as "specialty schools." In the 1989-90 school year, 25 additional schools were restructured and by 1990-91 the remaining 2 schools implemented specialty school programs. Over a three year period all district schools were incorporated into the "System for Choice." The specialty school types are models which restructure school organizational operations and curriculum.

The plan for the "System for Choice" included broad and intensive staff development, curriculum development, facilities modifications, materials and equipment
acquisitions. The effort to implement these programs required a massive shifting of budget priorities at the school level, displacement of staff, hiring of new full and part-time personnel and revision of procedures for purchasing materials and equipment. Moreover, significant changes in teacher roles and working conditions required extensive and intensive impact bargaining with the teachers' union. Of the three major system-wide changes I had experienced, the Richmond Unified District effort was the most difficult to effect.

The work in Richmond, Raleigh and New Jersey shaped the form and content of this study because as I was involved in broad system reforms it became increasingly apparent that a theoretical framework for effecting radical change in an urban district is a necessity. The planning model must be more than a convention enhancing organizational efficiency. The many problems and organizational complexities of urban districts dictate the need for a planning model which can embrace multiple factors influencing implementation of reform proposals.

In summary, these experiences confirmed my sense that in districts engaged in broad system reforms, implementation depends upon orchestration of activities at all levels of the organization and that radical educational change is organizational change. Thus a perspective that minimizes system-wide factors can inhibit school level implementation. For example, the recent enthusiasm for the effective schools
orientation will only lead to disappointment if sponsors of change ignore the powerful influence wider organizational factors exert on school level implementation. At the opposite pole is the position that external political factors are the chief constraints to change. Obviously external factors do influence the shape of reform initiatives; however the rise or fall of implementation efforts depends substantially upon the internal action of the district as an organization.

Therefore, the proposed model captures planned actions at level of the school, central management and policy levels so that planners can map and trace internal mechanisms constructed to effect change. In essence, the model is designed to rationalize organizational action to provide a more holistic analysis of implementation plans. Finally, the model provides a framework for estimating the utility of activities as means, the value of objectives as ends and the logic of linkages between objectives.

Background of the Problem

The special concern of this study is relevant at this time because of the current drive for educational reform. The prevailing climate of reform at national and state levels has generated a flowering of reform proposals promoting improved educational standards, elevated student achievement, increased student attendance and advanced curriculum offerings. The reform movement of the 80's contrasts with the reform movement of the 60's in that it was not generated and controlled by
Washington; it grew from a populist consensus of parents, employers and elected officials.¹

The locus for the institutionalization of reform imperatives has been centered in the authority of states. Through legislated and regulatory requirements, districts have been coerced and/or persuaded to comply with reform initiatives. Possibly the most extreme case of state intervention in district level performance is found in the elaborate state monitoring system established by the New Jersey Department of Education in 1984. In that system every district was monitored on a five-year cycle with 52 standards serving as criteria for district certification. Failure to achieve state certification lead to increasingly intensive levels of state review culminating in "state take-over."

The New Jersey intervention model was not limited to state control of district fiscal matters; it also usurped governance of the district and administration of educational programs as well. This comprehensive reform initiative mandated minimums for student achievement, student attendance, teacher attendance, and curriculum documents. Not surprisingly, districts consistently failing to achieve state certification were urban systems.

This results-oriented reform movement pressured districts to develop policies and programs to achieve the required

improvements. Generally districts were free to design and develop specific strategies, but this was no simple matter. Large urban districts which were the primary targets for reform are complex organizations operating under multiple constraints and limitations, some of which were imposed by the state itself. Other constraints were embedded in contractual agreements which limited or eradicated management prerogatives to a degree that would appall the average person.

The following excerpt from the New Jersey Department of Education's review of the Hoboken district describes a typical limitation imposed by contractual agreements affecting the district's capacity to monitor and control instructional programs at the school level.

The board of education's contractual agreement with the Hoboken Education Association places unusual restraints on the effective evaluation of instructional programs. The agreement regulates procedures for teacher evaluation requiring that principals give one week's notice prior to conducting a formal evaluation of instruction. The contract indicates that a poor evaluation will result in a re-evaluation. These terms limit significantly the district's ability to assess and manage the implementation of programs. As manager at the school site the principal is restricted by terms of the agreement in monitoring programs and in initiating remedial action.

The evaluation instrument is built on a point system for many items some of which are barely related to quality of instruction. It appears that some teachers could achieve an acceptable score by amassing quality points for items not related directly to instructional performance. For example, while 48 points are required for 'a passing evaluation,' an individual could achieve 16 points for working cooperatively with administration and staff on criteria such as:
assumes assignments faithfully and carries out fully. 
attends staff meetings and participates. 
upholds and enforces school rules 
attends in-service program....

An additional 20 points might be gained for effort to conduct one’s self in a proper manner.

...In summary, the reviewers found that limitations of the evaluation process and the construction of the evaluation instrument severely to monitor, control and improve instructional practice.  

Another example of restrictions which thwart common sense relations between principals and school staffs is taken from the Richmond Unified School District’s negotiated agreement. Under "Article 15 Evaluations," the agreement with the United Teachers of Richmond stipulates that permanent certificated employees shall only be evaluated every other year. The process requires mutual agreement between the evaluator and teacher concerning the elements to be evaluated. Evaluation elements shall be limited:

...to no more than two (2) subject areas with no more than two (2) goals and two (2) objectives for each goal. At least one of the subject areas to be evaluated shall be reading, language arts or mathematics... Permanent employees in secondary

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schools will be evaluated in one subject area with no more than two (2) objectives for each goal.³

The evaluator may not place any negative comment or judgment in the evaluation unless at least three (3) observations of at least fifteen (15) minutes have preceded the evaluation. Finally, if a teacher receives a negative evaluation he/she is entitled to at least one (1) additional observation, conference and written evaluation.

These examples are not unusual or atypical limitations built into contracts of urban districts. These are limitations which throw reasonable organizational control out of ready reach of administration. These are structures embedded in the institution which prevent inspection of operations and discourage appropriate corrective action. If these kinds of restrictions were applied to industrial production or corporate service delivery, quality control would be next to impossible.

In addition to limitations imposed by negotiated agreements, the state itself establishes structures which reduce districts' ability to effect change. For example, states establish fixed class sizes for special education programs. At the same time states do not necessarily provide funds sufficient to pay for special classes. In the Richmond district approximately twenty-five percent (25%) of special

education funding is drawn from the district's general fund. Thus both the structure of programs and the allocation of funds are predominantly controlled by the state.

The Commission on Public School Administration in California summarized the pressures on school district managers:

The unnecessary codes and regulations that govern state and federal educational programs fill countless bookshelves. The school bureaucracy at all levels attunes itself to the never-ending completion of yet another form, forgetting the highest priority of all: the education of our children.

The system that exists is beyond failing - it is in danger of suffocating from its own weight.

Unions and management don't bargain enough about improving education. Rather, they bargain too much about work rules and endless restrictions that sap the energies of both teachers and administrators, who should be focusing instead on improving instructional practices and effectiveness.

Simply put, school administrators at all levels are strangling in a web of regulations. There is little breath left.¹

Finally, some districts are severely impacted by inappropriate and sometimes illegal and criminal interference in the governance of school systems. At this writing a member of the Newark Board of Education in Newark, New Jersey, has been indicted for receiving payments from district staff for

¹ Association of California School Administrators, Commission of Public School Administration and Leadership, Summary: Education Today, "Return to Greatness: Strategies for Powerful Improvements in Our Schools" (Sacramento, 1988), p. 11.
administrative appointments. Political interference in the operation of school districts in these cases is not the textbook variety of the "politics of education" meaning the influence of "interest groups." The kind of political interference experienced by many urban districts is based in the economic interests of those who would benefit from favored treatment through contracts and jobs. Urban districts are big businesses susceptible to corruption as well as political influence.

In summary, the reform movement generated by popular consensus and enforced by state mandates is centered in the local district. In the main, urban districts with their dismal records are primary targets for reform. These districts suffer a multitude of plagues and are often bounded by restrictions imposed through contractual agreements, state regulations and political interference. For these districts plans of reform must be cohesive, deliberate and comprehensive strategies that account for internal and external factors influencing implementation efforts. The proposed model for critiquing implementation plans is offered as one tool for crafting such strategies.

Statement of the Problem

The recent history of educational reform movements provides ample evidence of failed implementation efforts. The common wisdom in the 70's attributed that failure to resistance on the part of those who would be changed.
However, later studies indicated that other factors contributed to the defeat of innovation. Fullan (1982) examined existing implementation research and concluded that failure to establish objective arrangements and to change attitudes and behaviors contributed to the collapse of implementation efforts. Fullan identified factors which influenced attempts to establish these objective arrangements and to affect attitudes and behaviors:

A. Characteristics of the Change
   1. Need and relevance of the change
   2. Clarity
   3. Complexity
   4. Quality and practicality of program (materials etc.)

B. Characteristics at the School District Level
   5. The history of innovative attempts
   6. The adoption process
   7. Central administrative support and involvement
   8. Staff development (in-service) and participation
   9. Time-line and information system (evaluation)
   10. Board and community characteristics

C. Characteristics at the School Level
   11. The principal
   12. Teacher-teacher relations
   13. Teacher characteristics and orientations

D. Characteristics External to the Local System
   14. Role of government
   15. External assistance.

---

The thrust of the argument for the need for a model to critique planning documents rests on the research of Fullan and others. That research consistently indicated that numerous factors influence the failure of implementation efforts. One of these factors is lack of clarity defining the intended change.

Fullan defined lack of clarity as diffuse goals and unspecified means for implementing change. He noted that, "Problems related to clarity have been found in virtually every study of significant change (e.g. Aoki et al., 1977; Charters & Pellegrin, 1973; Miles, 1978; Simms, 1978; Weatherly, 1979)."

Fullan's straightforward definition masks conceptual and logical difficulties embedded in the idea of clarity. While Fullan treats clarity as a factor separate from complexity, it does not seem possible to be clear about the goals and means for implementing change without drawing the change in all of its complex relations. Thus clarity in defining the change requires that plans incorporate comprehensive and explicit descriptions of goals and means. In fact, the goals and means of the plan constitute the whole change. In other words, the goals and means are the change.

Beyond the difficulty of establishing clarity about complex relations ranging across and between organizational levels, the notion of clarity suggests clearness of statements

"Ibid., p. 57."
about simple facts and abstract ideas. Here is a great difficulty. The educational institution is established to achieve social values - to elevate the mind and spirit - to prepare the young for the world of tomorrow - to develop good citizens and so on. These worthy aims are not matters of fact; they are values subject to the scrutiny of judgment. These values are translated into goals, objectives and actions an implementation strategy - a plan. To establish clarity in a plan, the text must indicate the logical connection between broad values and concrete actions. In a sense the plan maps a line of argument tracing the logic between the proposed good and the projected activities.

Planning frameworks that emphasize scheduling of events, staffing resources and time lines do not display the complexity of broad educational reform initiatives. What is needed is an analytical method which exposes the logic and the complexity of the change strategy in the plan. The model proposed here is designed to reveal the complexity of the implementation strategy. Thus the model leads inquiry into the meaning of the change from broad social values to a concrete program of action.

**Purpose of the Study**

This study proposes a model for critiquing planning documents for the implementation of educational reform proposals in public school systems.
Critique is a methodology used in theory development for the social sciences, i.e., political science, psychology, sociology, anthropology and history. As a method critique is a process of close examination of subject matter to uncover meaning. In education the field of curriculum studies has used critique as methodology to determine deeper meanings conveyed in the schooling process and curriculum design.

The field of educational administration has largely ignored critique as a methodology for theory development. Academic studies in educational administration are generally grounded in traditional empirical approaches favored by the physical sciences. The model proposed in this study structures a method for critiquing subject matter (planning documents) proper to the field of educational administration. The purpose of this study is to describe, explain and demonstrate a model for critique within the field of educational administration. It is hoped that a thorough presentation of the methodology will advance research in the field of educational administration and provide a bridge to the practitioner on the "firing line."

Specifically, the critique is constructed in a theoretical framework to capture the logic and reveal the meaning of implementation plans. The model is designed to assess the quality of implementation plans by mapping linkages between separate objectives, examining the value of
stated objectives and questioning the utility of activities as means for achieving objectives.

In summary, the purpose of this study is twofold: (1) to describe a theoretical model that displays elements of the change strategy embedded in a plan; and (2) to describe a process for assessing the value of a plan as a statement of means.

Research Questions

The study is constructed to describe, explain and demonstrate a model to critique plans for the implementation of educational reform proposals. The model is proposed to have value as an instrument to reveal the logic and meaning of a documented plan. The critical questions to be addressed by the study concern the merit of the model as a tool for exposing and examining the change strategy embedded in the plan:

1. Does the integrated model structure questions that disclose elements of an organizational change strategy?

2. Does application of the integrated model expose the elements of the organizational change strategy that are given in planning documents?

3. Does the application of the integrated model indicate elements of the organizational change strategy which are not clear — vague, ambiguous or abstract in planning documents?

4. Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?
5. Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

The study is designed to respond to these research questions by applying two tests of validity to the integrated model. A test for content validity is structured to assess the validity of indicators for the model and a test for construct validity is structured to demonstrate that the construct of the model reveals the elements of an organizational change strategy in an implementation plan for a school district. The test for content validity addresses research question 1; the test for construct validity provides data to respond to research questions two, three, four and five.

**Conceptual Assumptions**

These statements are assumptions in that they stand as conceptual building blocks for the construction of the integrated model. They are not given as unexamined assumptions of the study. The content of each of these premises for the model is summarized here and elaborated on in Chapter II of the study.

The model proposed is built on a set of assumptions derived from separate but related fields of study. The primary assumptions are listed below. While the assumptions stand as separate blocks, they are logically linked to form
the foundation for the model proposed. They are sequentially related with each prior assumption serving as the base for succeeding assumptions.

Following the summary list, each assumption is treated separately. A brief explanation is provided to clarify the meaning of the general statements and propositions in the context of this study.

1. Educational reform is a case of educational change.

2. Educational change is a case of organizational change.

3. The structuralist perspective emphasizing the idea of wholeness, transformation and self-regulation is an explanatory framework for understanding organizational change.

4. Systems theory, built on a structuralist framework, explains organizational change as the result of the interaction of subsystems striving together to survive in an uncertain environment.

5. The contingency perspective, a subset of systems theory, hypothesizes that "fit" between and among critical subsystems accounts for organizational effectiveness.

1. Educational reform is a case of educational change.

   Educational reform suggests broad change, a revision of goals and/or a realignment of values.

   Educational reform is substantial change in the system while innovation is change designed to improve the status quo.

Two types of educational reform may be discerned: programmatic and systemic. Programmatic reform targets
21

curriculum and instructional programs; systemic reforms focus on authority relations and distribution of power and resources. The 80's reform movement may be characterized as programmatic.

2. **Educational change is a case of organizational change.**

   Change is both a product of the organization and a transformation; shift, reconstruction of the organization itself.

   Educational change in this context refers to reform enacted in the public school system. While the goal of the reform initiative may specify outcomes and results, i.e., improved student achievement, the organizational processes and procedures adopted to effect the change constitute change(s) in the organization itself. Thus every proposal for educational reform is a case of organizational change.

3. **The structuralist perspective emphasizing the idea of wholeness, transformation and self-regulation has utility as an explanatory framework for understanding organizational change.**

   Structuralism is the theoretic orientation underlying all systems theory. The basic premise of the structuralist perspective is that a pattern, a set of relations governs the direction of the change process. These patterns may be discovered and represented symbolically in mathematical formulas or in language. While the interactive relations
between subsystems in the organization may not be known, they are assumed to exist.

Two contrasting structuralist views of organization have dominated organizational theory - the rational model and the natural systems model. While the rational model posits the organization as a rationally designed and controlled entity and the natural systems model emphasizes the impact of human factors, both models assume that structures - regularities in relations of elements - govern organizational operations. Discovering the rules which pattern these relations is the object of theoretical interest in a structuralist perspective.

4. Systems theory built on a structuralist framework, explains organizational change as the result of the interaction of subsystems striving together to survive in an uncertain environment.

James D. Thompson (1967) integrated the rational and natural systems emphases using the Simon-March-Cyert formulation as the basis for his theoretic explanation. In this view the organization as a whole is a problem solving entity striving to survive and to establish determinateness in an uncertain environment. In order to establish rationality, the organization defines the limits of the situation and makes decisions within "bounded rationality." This view of the organization is derived from general systems theory. It is widely accepted as a useful explanatory model for studies of organizational change.
5. The contingency perspective, a subset of systems theory, hypothesizes that "fit" between and among critical subsystems accounts for organizational effectiveness.

The contingency perspective is based on the Thompson formulation; however it is built on the premise that "fit" between and among organizational subsystems explains the effectiveness of the organization.

Central to a structural contingency theory is the proposition that the structure and process of an organization must fit its context (characteristics of the organization's culture, environment, technology, size, or task), if it is to survive or be effective.7

In contrast to the idea of "fit" as a natural evolutionary process, the term is used here to suggest managerial selection through which decision-making processes account for the control of "fit" between subsystems and the environment. While control is limited, it is purposefully directed to achieve organizational effectiveness. The mechanisms of control are established through subsystems of the organization with levels of authority exerting control, prescribing limits and types of discretion to dependent subsystems.

Research indicates that good "fit", the congruence between organizational subsystems and environments as a determinant of effectiveness, has not been verified. The

Peters and Waterman study argued that certain relations between and among organizational subsystems account for corporate excellence. However, due to methodological difficulties determination of what constitutes good fit is still a debated issue.

It is a core assumption in the design of the model that organizational subsystems are interrelated but that the "good" fit between subsystems is held up to question and not assumed. For example, a plan may stipulate that a curriculum committee - a structure - will be established to perform a certain task, - the development of a curriculum document. Such a structure to achieve this task is conventional practice in school systems. However, the model directs inquiry into the goodness of fit between the task to be achieved and the structure applied. It should not be assumed that this structure is "fit" for the task even if it corresponds to conventional practice.

This need to critique projected interactions is important because studies do indicate that organizations imitate models in their environment - the "isomorphic tendency." In this way organizations come to resemble each other. This copy cat syndrome may occur in different ways spurred on by regulations of external agencies or selection of managerial personnel from a homogeneous pool of candidates. The model for critiquing planning documents should direct examination of projected changes in the organization to determine the rational bases
for modifications in structures, technologies, social relations and tasks. Further, the inquiry should raise questions about placid conformance to traditional practice and to regulatory requirements. Passive acceptance of "given" constraints to change is also a limitation on the rationality of implementation plans.

In summary, the assumptions that are the foundation for the construction of the model concern: the identification of educational reform as an instance of organizational change; the explanation of organizational change as the product of systems operations; and the need for good "fit" among subsystems to effect organizational change. Based on these assumptions, the model is developed to examine the content of planning documents to discern the nature of the organizational change proposed in the reform initiative; to map the systems operations influenced and influencing the change; and to study the "fit" between and among operations to determine the value of the plan as a means to an end.

**Theoretical Framework**

The construction of the theoretic framework for the model was built on prior assumptions concerning the nature of educational change in a local school district. It was assumed that educational reform is a type of organizational change, that the implementation of change will create change in the structure of the organization. Therefore, the model for critiquing plans to effect change should capture the movement
and shifting of structures in the organization. For this reason contingency theory which focuses on organizational structure was used as a theoretical framework for the model.

The proposed model integrates two theoretic formulations. John Dewey's theory of inquiry describes a method for conducting the critique of planning documents; a contingency model serves as the basis for conceptualizing elements of the change described in planning documents. In a sense the contingency model for organizational change is embedded in the theory of inquiry structuring the focus of the critique on critical elements of organizational change. The relation between the integrated models may be represented visually as a form within a form as indicated in Figure 1.

![Figure 1](image)

**Figure 1. Form of the Integrated Model**

A major emphasis in Dewey's formulation of the theory of inquiry is the significance and formative value of a generalization - a hypothesis which serves as the end-in-view.
The end-in-view in the case of implementing educational reform proposals is a particular instance of organizational change. But if the projected organizational change is the end-in-view, then the end-in-view, the change, must be drawn in clear lines. The whole picture of the change with all its parts must be developed with clarity. However, as the end-in-view is drawn a decision is made concerning those points which are central and significant and those which recede into the background. As the end-in-view is a particular case of organizational change, the generalization that dictates which points are dominant and which are subordinate is a hypothesis that describes organizational change in general. Thus, a model which conceptualizes organizational change is proposed as the guiding general hypothesis for the conduct of the inquiry.

The conceptual model of organizational change provides a set of categories for sorting information from planning documents. These categories correspond to key variables which interact and constitute organizational change. The contingency framework only provides a pattern - a conceptual model for mapping data from plans. The method for conducting the critique of content is derived from Dewey's theory of inquiry. The whole model integrates these two theoretic formulations. The contingency view serves as the basis for conceptualizing elements of the plan; the theory of inquiry
provides a method for judging the plan as a hypothesis for the reconstruction of a problematic situation.

The Contingency Perspective

The contingency perspective grew from earlier formulations about the nature of organizations and organizational change. The underlying premise of the contingency theory is derived from a structuralist point of view. These key ideas form the structuralist viewpoint: the idea of wholeness; the idea of transformation; and the idea of self-regulation. Piaget summarized the structuralist orientation:

...we may say that a structure is a system of transformations. Inasmuch as it is a system and not a mere collection of elements and their properties, these transformations involve laws: the structure is preserved or enriched by the interplay of its transformation laws, which never yield results external to the system nor employ elements that are external to it. 

As applied to the study of organizations the structuralist perspective can focus to different depths of organizational structure. On the surface of the organization, structures i.e., management and technical subsystems, are visible and interacting in obvious ways. This surface structure is referred to as "global structuralism." Below the surface structures are deeper interacting structures which

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account for change processes. This depth of the structuralist perspective is called "analytic structuralism." The contingency perspective adapted for the proposed model utilizes both these levels of analysis to form a mapping of the deeper structuring of the organization's overt structures.

James D. Thompson (1967), borrowing concepts from Parsons and Simon-March-Cyert, identified three overt structural levels interacting in the organization: the institutional level; the managerial level; and the technical level.

In this view, every formal organization contains a suborganization whose 'problems' are focused around effective performance of the technical function... The primary exigencies to which the technical suborganization is oriented are those imposed by the nature of the technical task.

The second level, the managerial, services the technical suborganization by (1) mediating between the technical suborganization and those who use its products... and (2) procuring the resources necessary for carrying out the technical functions.

Finally, in the Parsons formulation, the organization which consists of both technical and managerial suborganizations is also part of a wider social system which is the source of the 'meaning' legitimation, or higher level support which makes the implementation of the organization's goals possible.*

The deeper analytic structuralist perspective for the proposed model is adapted from Leavitt's (1973) mapping of interactive structures in the organization: task definition; actors; technology; structure.

Roughly speaking, task refers to organizational raisons d'être - manufacturing, servicing etc. including the large number of different, but operationally meaningful, subtasks which may exist in complex organizations.

By actors I mean mostly people, but with the qualification that acts usually executed by people need not remain exclusively in the human domain.

By technology, I mean technical tools - problem solving inventions like work measurement, computers, or drill presses. Note that I include both machines and programs in this category, but with some uncertainty about the line between structure and technology.

Finally, by structure, I mean systems to communication, systems of authority (or other roles) and systems of work flow.10

Leavitt mapped organizational elements to suggest their interactive relationship as indicated in Figure 2.

![Figure 2. Organizational Elements](image)

The proposed model maps these global and analytic structures on a grid. The grid provides cells for cataloging

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information contained in plans for implementing change in this organization. Figure 3 displays the integration of analytic structures and overt structural levels of the organization.

Figure 3. Integrated Model

While the model provides a framework for clustering elements of a plan in categories so that the change strategy is displayed, the process of critique - judgment of the value of the plan - requires that the relations between parts and the whole be raised to question.

The Theory of Inquiry

The contingency model serves as a conceptual framework for critiquing planning documents. The model orders the plan into categories that correspond to variables influencing
organizational change processes. The plan stands as a hypothesis indicating that if the stipulated organizational arrangements are enacted the desired change will occur. The process of critique is used to examine the developing hypothesis prior to implementation. Dewey’s theory of inquiry has been selected as the method for conducting the critique.

Dewey’s theory of inquiry has been chosen as a method for the process of critique because it encompasses three aspects of judgment: estimates of empirical validity; analysis of logic; criticism of embedded values. These three ways of knowing and thinking about social subject matter are each appropriate to judging the contents of plans to implement educational reform proposals. These three forms of judgment from traditions of normal science, analytic philosophy, critical science and phenomenology can be integrated through Dewey’s theory of inquiry.

Dewey’s theory is constructed as a method for assessing the utility of means for resolving a problematic situation. In this method, assessment of facts is only significant to the extent that knowledge of facts contributes to the resolution of a problematic situation. Dewey emphasizes the importance of examining the generalization that serves as the hypothesis about the resolution of a problematic situation. That generalization is the conceptual framework that structures the hypothesis. The generalization can contain value assumptions as well as factual matter. As a result, the values embedded
in the hypothesis should be examined. The whole inquiry is a process of judgment and not a determination of factual matter.

Since Dewey's formulation is capable of embracing the three ways of understanding social subject matter, it is proposed as a method for conducting the critique of planning documents for the implementation of educational reform proposals. This capacity to use empirical knowledge, logical analysis and criticism of values in the course of inquiry is required in the assessment of the quality of plans. As indicated in the statement of the problem section, educational reform proposals address broad and sometimes vague goals which are social values. Plans are statements of means for accomplishing these goals. But are they? It is important to know if plans are feasible; it is more important to judge the value of plans as means for achieving goals.

Dewey's framework has utility for this kind of inquiry just because it integrates ways of knowing and judging the range of subject matter contained in plans to implement educational reform proposals.

**Importance of the Study**

The model proposed in this study is offered as a contribution to the practice of educational administration and to the development of theory about planned organizational change. In addition to practical and theoretical purposes the model is designed to achieve, it is hoped that the model will have impact on the effective implementation of educational
reform, especially in large urban districts. Those districts targeted for reform operate under severe constraints which can make them organizationally dysfunctional. The model is offered as a tool for describing and evaluating the complex elements and interactions involved in the implementation of change initiatives in those organizations so that implementation efforts are improved.

Definition of Terms

Many of the major referents used in this study are complex, vague and ambiguous terms. Each is defined briefly in this section. The meaning of each term is explained more thoroughly in Chapter II with citations from research and literature in related fields of study and through clarifying examples and counter examples.

Educational Reform - Educational reform denotes change initiatives which aim to reconstruct the alignment of educational values and goals.

Educational Change - Educational change refers to all planned change initiatives in school districts including minor modifications and major reconstructions.

Implementation of Planned Educational Change - Implementation of planned educational change refers to the process for carrying out or effecting a change initiative.

Clarity of Planning Documents - Clarity of planning documents refers to the logical and complete definition of encoded implementation plans.

Organizational Change - Organizational denotes a transformation, shift, a reconstruction of the organization.
**Structure** - Structure refers to the pattern of interrelated parts forming an organization.

**Scope and Limitations of the Study**

This study addresses the broad problem of developing effective implementation strategies for educational reform proposals in public school systems. The particular interest of the study is the construction of planning documents as one aspect of the implementation process. The subject is further narrowed to a study concerning critique of planning documents as a single event within the whole course of the implementation process.

The proposed model is a heuristic device to enhance the clarity of planning documents describing educational change initiatives. Clarity of planning documents refers to the logical and complete definition of encoded implementation plans. The model is designed to address the limited problem of lack of clarity as a factor in failed implementation efforts. The model is designed as an instrument to improve clarity in plans for educational change in public school districts.

This study does not suggest that clear planning documents insure successful implementation efforts. Numerous factors can account for failed or partially successful change initiatives. However, because the model has the capacity to capture factors significant to implementation efforts, it does
allow planners to anticipate obstacles to success and to project remedies.

The model does not account for the level of determination and tenacity that may be required of leaders in the implementation of change. It does not eliminate unanticipated consequences of change within and outside the organization. It does not guarantee the accuracy or validity of projected activities as means to achieve ends. The model is only a tool to inform judgment in the practical art of designing educational change in school districts.

The model provides a technical device to sort the content of plans and to estimate the relationship of elements of the change strategy. The model does not address the role of stakeholders, (Cobb and Eder, 1983), management of conflict, (Deutch, 1973), structures of power, (Mintzberg, 1983), formation of norms and values, (Bolman and Deal, 1984) nor the dynamics of educational change, (Zaltman, Florio and Sikorski, 1977). The model does not explore these factors which influence the impetus for change nor the processes which shape the nature of the change. In short, the model is an instrument to be applied midpoint in the change process. It is not intended as a measure of forces affecting the adoption of change, nor does it structure the institutionalization of change. The model is only offered as an instrument to rationalize the implementation phase of a change process within a school district.
Outline of the study

The following outline indicates the subject matter contained in each of the chapters of the dissertation.

CHAPTER I GENERAL INTRODUCTION

- Introduction
- Background of the Problem
- Statement of the Problem
- Purpose of the Study
- Research Questions
- Conceptual Assumptions
- Theoretical Framework
- Importance of the Study
- Definition of Terms
- Scope and Limitations of the Study
- Outline of the Study

CHAPTER II REVIEW OF LITERATURE

- Introduction

- Section 1: Major Concepts of the Study
  - The Meaning of Educational Reform
  - Educational Reform in the 1980's
  - Implementation of Reform Proposals
  - Organizational Change

- Section 2: Theoretical Bases of the Model
  - The Contingency Perspective
  - Methodology for the Social Sciences
  - The Theory of Inquiry

- Section 3: Elements of the Contingency Model
  - General Overview
  - Technology
  - Structure
  - Actors
  - Task Definition
CHAPTER III METHODOLOGY

- Introduction
- Description of Research Methodology
- Test One - Content Validity
- Test Two - Construct Validity
- Summary

Chapter IV FINDINGS, ANALYSIS AND EVALUATION

- Introduction
- Section One - Research Question One
  - Description of Test for Content Validity
  - Analysis of Data
- Section Two - Research Questions Two, Three, Four, Five
  - Description of Test for Construct Validity
  - Analysis of Data
  - Findings for Research Questions
- Summary

CHAPTER V SUMMARY, CONCLUSIONS, RECOMMENDATIONS

- Summary of Chapter I; II; III; and Findings from Chapter IV
- Conclusions and Recommendations
CHAPTER II

REVIEW OF LITERATURE

Introduction

This study addresses the broad problem of developing effective implementation strategies for educational reform proposals in public school systems. The particular interest of the study is the construction of district planning documents as one aspect of the implementation process. The subject is further narrowed to a study concerning critique of planning documents as a single event within the whole course of the implementation process.

While the study concerns this limited phase of the implementation process, the subject is not simple. It is conceptually dense and theoretically complex. The subject of the study is laden with conceptual difficulties because the major referents are complex, vague and ambiguous terms. To clarify these concepts each term is examined in light of related literature, research and theoretical perspectives. To establish the meaning of these terms each is separately explained in Section One of this chapter.
The subject is additionally complex because the proposed model for critiquing plans integrates two theoretic frameworks: contingency theory and Dewey's theory of inquiry. The integrated model indicates aspects, parts, elements of the organization which are significant objects for critique; the process of critique is a method, a protocol, a procedure for conducting the inquiry. Section Two provides an explanation of the theoretical bases for the proposed model.

The section reports and summarizes significant aspects of the contingency perspective explaining its place in the context of organizational studies and major features of the contingency view of organizational change. Then the review describes and summarizes Dewey's theory of inquiry as a method for forming judgments. The method is described in the context of other epistemological traditions and in relation to the subject of implementation of educational reform efforts.

Section Three examines each of the four elements of the model: technology, structure, actors, and task definition. While the elements of the model are drawn from a contingency perspective, literature from a range of studies is used to explain the meaning of each factor. A set of generic questions for each element is derived from the contributions of the literature. These questions serve as the starting point for a critique of a district plan to implement and educational reform.
"Educational reform" is a vague and ambiguous term suggesting substantial change in educational practice. The term is examined here to establish with some precision the meaning of the term as it is used in this study.

Educational reform stands as a special case of planned educational change. Educational change is a global concept used to describe several forms of change. Rich (1979) distinguished between the concepts of educational reform and innovation which are related but different forms of planned educational change. Rich defined innovation as a new idea, method or device introduced deliberately to improve educational practice. The concept of reform implies a shift in norms; an innovation may not. An innovation is offered as a more efficient way to achieve ends which fit established goals and values. Thus, an individual could be an innovator without being a reformer. In contrast, reform suggests a revision of goals and/or a realignment of values. Reform proposals may contain a number of innovations.

...every programmatic reformer is an innovator - and much more, since he goes beyond merely introducing one or more innovations by developing an organized plan for change which may embody, among other things, various innovations which have been organized coherently to achieve new goals.
Thus, both the scope and intent of programmatic reform differs from innovation.¹

The literature concerning educational change frequently uses the terms: change, reform and innovation interchangeably. The failure to distinguish between these concepts can result in confusion. When innovative practices merely modify educational delivery systems supporting traditional goals and values, these practices are not reform measures. They strengthen the status quo. If these innovations are taken as signs of substantive change in goals and values, the results may disappoint and mislead.

Popkewitz (1982) argued that educational reform is merely ritual resulting in the maintenance of the status quo. Popkewitz supported this case by citing implementation of an educational innovation, the Individually Guided Education program which featured a management system for mastery learning. This management system was strictly a device to improve efficiency of instruction - an innovation. Popkewitz observed that schools which implemented the program modified it to conform with community beliefs and expectations. He wrongly concluded that this case provided a good example of the ways in which "reform serves as legitimating ritual...by focusing attention on 'scientific' rules and procedures rather than the underlying institutional structures in which schools

We must conclude, therefore, that the activity of reform is dramaturgy. The rituals, language styles, and ceremonies can create a feeling for both professionals and public that things are getting better, that professionals are competent, and that the social organization of schooling is progressive and responsive. 

Popkewitz and other commentators argue that reform efforts ultimately serve the interests of the power elite and that they are not truly reforming. In this view the function of educational institutions is the transmission of the dominant culture to preserve existing political and economic systems, (Althusser, 1971; Bourdeui and Passeron, 1977; Bowles and Gintis, 1976; Giroux, 1981; Apple, 1980; and Anyon, 1981).

These critics claim that the educational institution is owned by political, social and economic interests which prevent substantive change. They maintain that true reform exists only as an ideal. They argue that change initiatives merely masquerade as reform. In this view true reform is conceived as systemic change in which fundamental structures of social and economic relations are reordered. However, if educational reform is taken to mean broad and substantive change which realigns values and goals then two types of


3 Ibid., p. 12:
educational reform may be distinguished, these are programmatic and systemic changes.

Programmatic reform refers to curricula and programs used on or influencing instruction. Systemic reform pertains to authority relationships and distribution and allocation of power and resources.

In summary, the term educational reform refers to change initiatives which aim to reconstruct the alignment of educational values and goals. These change initiatives may target educational programs or systemic relations. In either case reform suggests broad and substantial change. The term does not apply to change efforts which merely tinker with or adjust existing conditions as in the case of innovation.

Innovation denotes change which improves existing practice in the service of established goals and values. While reform proposals may include numerous innovations, an innovation does not stand as a case of educational reform.

The existence of educational reform as a social phenomenon is disputed by critics who claim that pronouncements of reform constitute a public deception. They disclaim the existence of true reform on empirical grounds claiming that educational institutions remain remarkably the same despite change initiatives. This sameness is the result of resistance to change structured by powerful social and

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economic forces which act to preserve the status quo. Change initiatives merely serve to legitimate institutions which maintain the interests of the power elite, according to these commentators.

The sameness of educational systems is hardly a disputed claim in discussions of educational reform. However, the underlying causes for the stability and unchanging quality of public education are widely disputed. The view suggested here is that educational reform is difficult to effect not merely because organizations and their members are resistant to change, not only because political, economic and social interests protect the status quo, but because broad and substantial change involves intricate and complex transformation within the organization.

Educational Reform in the 1980's

Remembrance of the past decade recalls general dissatisfaction with educational quality and student performance. There was general agreement about the nature of the problem and measures to correct the problem. State policy makers enacted regulations to increase standards for student performance and to insure competency in the teaching profession. While earlier reform initiatives in the 60's and 70's addressed the problem of unequal access to educational opportunities, the movement of the 80's sought to improve the quality of American education.
Chester E. Finn summarized the contrast between the reform movements of the 70’s and in the 80’s:

...across the land the reform agenda itself has been entirely rewritten in the course of the past decade. The foremost educational problem that the nation now seeks to solve is that the typical product of the typical school does not possess satisfactory intellectual skills or sufficient knowledge, must less sound values and work habits. Although we haven’t abandoned our concern for equal access, it has become painfully clear that the schooling to which we have been trying to provide access is inefficient and unproductive.5

The alarm signalling the decline of American schooling was set off in a series of reports chief among them "A Nation at Risk: The Imperative for Educational Reform," released in 1983 by the U.S. Department of Education. The report claimed:

If an unfriendly foreign power had attempted to impose on America the mediocre educational performance that exists today, we might well have viewed it as an act of war."6

The report provided recommendations for improving mediocre performance of educational institutions including more rigorous requirements for high school graduation, a longer school day and year, improved preparation and pay for teachers. The alarm sounded by this report was answered by a


virtual landslide of reports, regulations, policies issued by agencies, and academicians.

Since 1983, states promulgated more regulations concerning education than in the prior 20 years. For example, more than 700 state statutes affecting the teaching profession i.e., certification standards, proficiency testing, and academic preparation, were enacted between 1984 and 1986. William Chance found that 275 education task forces were established and 18 books and national reports were disseminated by 1986. Chance reported that the action agenda from these organizations and papers required higher standards for graduation in 43 states, higher college admissions standards in 17 states, statewide student assessment programs in 37 states, teacher competency tests in 29 states and changes in teacher certification requirements in 28 states.

Common strands in the reform initiatives concerned issues relating to improved curriculum and instruction. Wyatt (1984) summarized the emphases of these programmatic reform proposals.

(1) that schools return to the "basics";
(2) that more courses be required for high school graduation;

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8 William Chance "..the Best of Educations" (Denver: Education Commission of the States, 1988).
(3) that higher standards of performance be achieved;
(4) that the school day be reorganized;
(5) that federal support of schools be maintained, along with state and local control."


In his review of reform reports, Gross (1983) concluded that despite some minor disagreements, the reform proposals constituted an overwhelming consensus in support of improved teaching and learning. This consensus surfaced at a time when education was in crisis in urban sectors. In 1983, Gross reported a 45 percent drop out rate in New York City schools. Finn (1983) noted this pattern of failure and the public perception of that failure.

....evidence has in recent years been bountiful. It ranges from sagging test scores, to growing

street-corner platoons of semiliterate, unemployable members of the underclass, to the discovery by private and public employers that they cannot find workers with the requisite skills and knowledge, to articles and television documentaries on the parlous condition of the educational system, to careful studies—such as those regularly conducted by the National Assessment of Educational Progress—showing deterioration in the reasoning and analytic prowess of high school students, to massive international comparisons of educational attainment.10

Finn observed that the impetus for change in this wave of reform differed from the preceding generation in three respects: (1) the movement was not generated, financed and channelled centrally through Washington; (2) the drive for change is pressing for improved standards and quality of education, rather than pushing for equal access and opportunity in education; (3) the mobilization for change is centered in a populist consensus comprised of self-interested parents and employers and elected officials rather than the "leaders of the education profession and ..... the 'liberal consensus'."11 Response to the reform agenda consisted of increasing adoption of higher standards for student achievement in states and communities. These standards were incorporated in policies enacted by state legislatures, governors, elected boards of education, and citizens committees and were not generated by "school professionals,


11 Ibid., p. 19.
panels of educational experts, or the faculties of teacher colleges.\textsuperscript{12}

In addition to establishing standards for student achievement and raising graduation requirements, states and communities were imposing new requirements for teacher certification.

...the new requirements characteristically insist that candidates demonstrate actual intellectual attainment or pedagogical prowess, such as achieving a minimum score on the National Teachers Examination or by displaying classroom confidence in evaluations conducted during an apprenticeship or probationary period.\textsuperscript{13}

Finn reported an "astonishing number" of states were designing comprehensive school improvement strategies. In the state of Florida the Commission on Secondary Schools included in its reform measures teacher education and certification, graduation requirements, funding, and testing programs. The state of Alaska designed its reform program to address issues such as the role of the principal as educational leader, the distribution of time over the school day assigned for teaching academic programs. The Minnesota Citizens League recommended comprehensive restructuring of elementary and secondary programs.

In the state of New Jersey the legislature established a broad system of district assessment for ten critical

\textsuperscript{12} Ibid., p. 14.

\textsuperscript{13} Ibid., p. 16.
performance standards. Every five years each district was to be monitored by the state to earn state certification. Those districts failing to meet state standards including stipulated levels of basic skills performance were placed into successive levels of intense monitoring and state intervention. The ultimate state intervention in failing districts was state take-over. The following excerpt from the New Jersey's Plan To Intervene In Deficient School Districts is provided to give an overview of this design for educational reform.

The New Jersey State Department of Education's comprehensive monitoring process, implemented in January 1984, is designed to ensure that students in all New Jersey school districts receive the educational opportunities guaranteed by law. While most New Jersey public school districts have successfully achieved certification, a handful of districts have so far been unable to meet state standards. New Jersey is committed to meet state certification standards. However, the state must also be prepared with a comprehensive and systematic response to those few districts that are unable to achieve certification on their own. Therefore, the State Department of Education devised a strategy for intervention in school districts that repeatedly fail to meet state certification standards.

The following two-part plan calls for state intervention and possible takeover in districts that prove unable to deliver a thorough and efficient system of education:

1. A Level III monitoring process, which includes a systematic examination process during which experts review the district's deficiencies and direct local officials how to correct them. The Level III process is a district's last opportunity to correct local problems at the local level; and
2. The establishment of a state-operated school district, which is a plan for the state takeover of those few districts that repeatedly fail to correct long-standing deficiencies.\textsuperscript{14}

The New Jersey plan for state takeover uses structural change to remove the people who operate failing districts. The legislature empowers the commissioner to remove the chief school administrator, central office staff and the board of education. A state-operated district would then function under a state appointed superintendent. In 1989 the Jersey City School District was taken over by the New Jersey Department of Education. The reform proposals contained policy and program implications that would impact educational practices.

Finn observed that the underlying assumption in the majority of reform proposals is an expectation that a common curriculum should serve as the foundation for uniform learning objectives.

Though they are not generally cast in terms of curricular content, in fact such assumptions can only be successfully put into practice through the functional equivalent of a common curriculum for all students...if the notion of 'standards' is to have any meaning it must be related to criteria; in order to have criteria, one must specify the content and sequence of the learning that is to be gauged; once one has specified content and sequence, one has in effect prescribed curriculum; and once one has stipulated that the standards are

to be uniform, one is committed to a curriculum that is 'common' in its essentials...\(^{15}\)

While the establishment of a common curriculum is not the primary intention of many reform measures, the results-oriented proposals drew districts into curriculum revision to align content with test requirements.

Timar and Kirp observed that reform policies required strategies at the organizational level of the school.

The success of reform policies depends on the organizational features of individual schools; schools shape policies as much as policies shape schools. Recognizing the importance of organizational culture, policy researchers have also learned that while specific policies may not be important determinants of school improvement, the strategies that states adopt do make a difference in reform efforts.\(^{16}\)

Thus the implementation of comprehensive reform proposals contained implicit requirements for major adjustments in organizational task, activities, processes and structures at the local district level.

It should not surprise us that when educational reform is undertaken by governors, legislators, and citizens groups, its elements will typically consist of the tools and materials most familiar to them; laws, mandates, regulations, checklists, constraints on the use of certificates, and other benefits already conferred by government. They do not start with the curriculum and work outward;

\(^{15}\) Finn, Jr., "The Drive for Educational Excellence Moving toward a Public Consensus," p. 21.

\(^{16}\) Timar and Kirp, "Educational Reform in the 1980's...," p. 506.
they begin by stipulating results and insisting that others work inward.\textsuperscript{17}

This inward work is a process of decision-making at the district and school levels. The process is directed toward a strategy that promises to achieve the results mandated by reform proposals and/or stipulated by state regulations. The strategy stands as a plan for the implementation of reform proposals. The translation of reform measures into action involved modifications in existing procedures within district organizations.

In summary, the 80’s reform movement drove for programmatic change. It differed from the movement of the ‘60’s which pressed for systemic change in the distribution of resources and power relations. The outlines of reform were given in numerous proposals and mandated state requirements. However, the task of designing plans to implement reform proposals was delegated to local boards of education and their administrators. The implementation process involved adjustments in organizational functions and procedures directly and indirectly related to the reform proposal.

As the reform movement of the 80’s progressed to the 90’s, concern about student performance, attendance and the drop out rate became a continuing theme of elected officials at federal, state, and local levels. The chorus of complaints

\textsuperscript{17} Finn, Jr., "The Drive for Educational Excellence Moving toward a Public Consensus," p. 22.
included business and corporate types and the ordinary citizen. George Bush in his presidential campaign stated his intention to become the "Educational President." Lauro Cavazos, former Secretary of Education, initiated a national call to establish "parent choice" as the reform strategy that would address the needs of diverse populations and develop a spirit of creativity and entrepreneurship in public schools.

Thus began a shift from programmatic reform to systems reform in which power relations would change among constituent groups. Parents would be empowered, the power of districts and schools to contain clients would be limited. Parents could choose to send their children outside their neighborhood boundaries, an escape route from deficient schools would be opened.

At the same time that "parent involvement" was espoused at the federal level, the N.E.A. propounded the case for teacher control over change within schools. Mary Hatwood Futrell, former N.E.A. president, argued the case for teacher control of reform at the school level:

Every attempt at reform that dilutes the authority of the classroom teacher dilutes the quality of instruction in our nation's classrooms. Teachers cannot hope to prepare students for a world of perpetual flux if they themselves are condemned to static, externally imposed conceptions of effective pedagogy. Teachers cannot hope to prepare students for the Information Age if they themselves are condemned to organizational structures derived for the Industrial Age. Teachers cannot hope to ready students for responsibility within a participatory
democracy if they themselves are condemned to an autocratic bureaucracy.  

Thus over the decade the reform movement shifted from a programmatic to a systemic emphasis. The late 80's produced a set of proposals to establish new power and authority relations in school districts.  

The ultimate target for change is now the school as an organization. Proposals to modify the organization, to change structured relations in the organization are now grounds for debate. Whether proposals represent the interests of parents and the community or the interests of teachers and their unions, the bottom line rests on the issue of the organization of the school as the locus for change.  

Finally, the most important lesson from school reform efforts is that we need a new theory of institutional reform. This new theory proposes that reform must focus on improving the health and competence of schools as organizations. Though simple, it has profound implications for redefining the roles and responsibilities of just about everyone connected with schools, including teachers, administrators, professional organizations, policy makers, colleges and universities, and within the latter, schools of education.

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Implementation of Educational Reform Proposals

The following section provides an overview of research concerning efforts to implement educational change and a summary of specific studies examining factors contributing to failed change initiatives.

The implementation of educational reform measures is an instance of educational change. A body of research concerning the processes of educational change has developed only in recent years.

Remarkably, it is only in the last twelve years (since about 1970) that we have come to understand how educational change works in practice. In the 1960's educators were busy developing and introducing reforms. In the 1970's they were busy failing at putting them into practice. Out of this rather costly endeavor (psychologically and financially) has come a strong base of evidence about how and why educational reform fails or succeeds. Much of this evidence is very recent and is dispersed in a variety of published and unpublished sources, not yet comprehensively brought together. 20

Fullan observed that research on educational change covers three broad phases of the change process: initiation that process which yields adoption of a proposal to change; implementation - that process through which change is put into practice; institutionalization - that process in which a change becomes an accepted routine within a system. While each of these phases is a discrete moment within the change

process, the direction of the process is not strictly linear. Modifications and adjustments in programs may occur at each phase of the process.

The special interest of this study concerns formal plans for the implementation of change within a school district. Thus the subject refers to and anticipates the implementation phase of the change process. The history of implementation initiatives indicates that the process is complex and difficult.

The short history of implementation research is not pleasant. It shows that planned change attempts rarely succeed as intended. As some old sayings go, 'There's many a slip 'twixt the cup and the lip,' and 'The road to hell is paved with good intentions.'

Fullan attributed the difficulty of implementing educational change to the fact that the process involves not only technical change but social change as well. For him, effecting educational change requires the reconstruction of objective meaning (techniques) and subjective meaning. As a general statement failure to implement educational reforms is the result of failure to establish objective arrangements and to reorient individuals' attitudes and behaviors to new practices.

\[\text{\footnotesize \cite{21}}\]
Factors which inhibit or advance the implementation process are characteristics of the proposed change, the system and its environment. Fullan defines these factors as:

A. Characteristics of the Change
1. Need and relevance of the change
2. Clarity
3. Complexity
4. Quality and practicality of program (materials etc.)

B. Characteristics at the School District Level
5. The history of innovative attempts
6. The adoption process
7. Central administrative support and involvement
8. Staff development (in-service) and participation
9. Time-line and information system (evaluation)
10. Board and community characteristics

C. Characteristics at the School Level
11. The principal
12. Teacher-teacher relations
13. Teacher characteristics and orientations

D. Characteristics External to the Local System
14. Role of government
15. External assistance

Plans which specify factors to be taken into account for implementing educational change would describe these with clarity, covering the full range and relation of elements contributing to the end result. Thus such plans would provide clear, comprehensive and explicit statements defining the goals and means for effecting the intended change. Fullan defined lack of clarity as diffuse goals and unspecified means for implementing change. He observed that, "problems related to clarity have been found in virtually every study of

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22 Ibid., p. 56.
significant change (e.g., Aoki et al., 1977; Charters & Pellegrin, 1973; Miles, 1978; Simms, 1978; Weatherly, 1979)." Fullan noted that while there is need for clarity, its meaning is subtle and often what is provided is false clarity.

False clarity,...occurs when change is interpreted in an oversimplified way; the proposed change has more to it than people perceive or realize. 24

A comprehensive statement embraces the full range and complex relations of elements. Fullan defined complexity as the difficulty and extent of change required to implement the proposed program.

The actual amount depends on the starting point for any giver individual or group, but the main idea is that any change can be examined in regard to the difficulty, skill required, and extent of alterations in beliefs, teaching strategies and use of materials. 25

Rosenblum and Louis (1979) studied divisibility as a factor affecting the implementation of complex district-wide change. They found that districts which scored high on implementation had differentiated components of the change into discrete elements.

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23 Ibid., p. 58.
24 Ibid., p. 58.
25 Ibid., p. 58.
Fullan also addressed the issue of explicitness as a factor in the design of change proposals.

To make innovations highly explicit at the development stage may mean that they are inappropriate for most of the variety of settings in which teachers operate. For many problems, the situational knowledge of teachers is essential to decisions about the specific form of change (see Connelly & Elbaz, 1980; Huberman, 1980; Roberts, 1980). On the other hand, to leave innovations specified results in great confusion about what to do in practice.26

Thus Fullan's well documented study of educational change indicated that clarity, comprehensiveness and explicitness in program design are significant to the success of implementation efforts. In this study the term, clarity, is used to include the ideas of complexity, explicitness and comprehensiveness. The term, clarity, in this context refers to clarity of a plan, not merely a single element of the plan.

Ultimate responsibility for the implementation of educational reform is vested in the administrators of local school districts. The success of reform measures requires that administrators institute strategies to effect the implementation of reform proposals. The record of past implementation efforts in school systems suggests that designing effective implementation strategies is not only a complex and difficult task but that often much touted innovations have not been implemented.

26 Ibid., p. 62.
Concern for the adequacy of program planning at the district level was expressed by practitioners attending a Harvard sponsored symposium concerning the reform proposals of the 80's.

Are we as practitioners going to be invited to help design these reforms? Or are we going to have them dumped on us for implementation? My fear is that the latter will happen unless we insist upon a role that is not secondary. All too often we are asked to implement programs that have little chance of succeeding as they are designed. Educators should not be so thrilled by this current focus on education that we lose sight of the fact that once programs are in place we are the people who will be held accountable long after politicians and bureaucrats have moved on.37

Barranco enumerated administrative changes and school changes needed to set the stage for the implementation of reform proposals. In addition, he cited anticipated barriers to success:

1. Failure during the implementation stage
2. Lack of commitment on the part of the school
3. Vague or ill defined goals
4. Lack of sufficient funding
5. Inadequate teacher input in curriculum planning38

These obstacles to change fit within Fullan's categories of factors affecting implementation and echo the findings of studies of change initiatives in the 60's and 70's.


38 Ibid., p. 10.
Interest in the implementation process emerged in the 1970’s. Prior to that period, the focus of much of the literature on change had centered on the adoption and diffusion of innovations (Kritek, 1976). The issue of the implementation process as a subject for research emerged after Goodlad and Klein (1970) noted failures in the implementation of innovative projects across a range of schools and districts.

Goodlad and Klein had observed over 150 classrooms in 67 schools in 26 school districts. Their conclusions were not optimistic.

A very subjective but nonetheless general impression of those who gathered and those who studied the data was that some of the highly recommended and publicized innovations of the past decade or so were dimly conceived and at best, partially implemented in the schools claiming them. 29

Kritek reported that the absence of literature on the implementation process was not limited to the field of education. The social sciences in general had failed to generate research on this aspect of the change process. Pressman and Wildavsky (1973) noted the dearth of literature in the social sciences on implementation processes.

There is (or there must be) a large literature about implementation in the social sciences - or so we have been told by numerous people. None of them

can come up with specific citations to this literature, but they are certain it must exist.\textsuperscript{30}

Kritek observed that the work of Bennis, Benne and Chin (1969) subsumed discussion of the implementation process under chapters concerning implementation and resistance. As a body of literature on the implementation process began to develop, the research spread in three directions. The first of these, social-psychological orientation focused on issues and problems facing practitioners implementing ideas (Smith and Keith, 1971). The second, political science perspective targeted the issue of constraints and supports in the political domain affecting implementation (Mazmanian and Sabatier, 1983). The third direction was toward evaluation of the implementation of innovative programs.

Kritek analyzed existing studies grouping findings under categories bearing relation to the implementation process: setting goals, planning, user roles, administration. He drew conclusions culled from studies and observations related to the implementation categories.

Planners and implementors need to attend to statements of ends and means, avoiding abstract or overly ambitious objectives, and they need to be ready to incorporate user input into goal re-formulation. A tendency not to consider the complexities of implementation has to be checked. Resources should be objectively assessed and a reserve held back to deal with the unanticipated problems that will most certainly arise during

to implement an innovation which, if not removed, may make it impossible for them to carry it out.

Individuals in organizations are in large part dependent upon their formal leaders to overcome these obstacles and they may not remove, or even be aware of, these constraints.

Members who are initially favorable toward organizational change may later develop a negative orientation to an innovation, and therefore, be unwilling to implement it as a consequence of the barriers and frustrations they have encountered in attempting to carry it out.32

The researchers reasoned that if the implementation of an innovation failed in a setting in which members were not resistant to the change, then the proposition elaborated in the literature would be placed in doubt. Further, the intensive inquiry of the case study would disclose other variables as obstacles to change. Gross et al., studied the implementation of a new definition of the role of teacher. The innovation was intended to convert the traditional teacher role to that of a catalyst. The catalyst role, described in a document developed by the designer of the innovation, was found to consist of prescriptions for the behavior of children with only vague reference to anticipated teacher behaviors. The role definition had to be inferred from the design document. A sampling of role descriptors included in the document demonstrates this point.

To allow children to discover the intrinsic delight of successful employment of their own intellectual and aesthetic energies at whatever level those energies are or can become capable of operating.

To encourage children to become increasingly self-motivated and increasingly responsible for their own learning and education.

In addition to providing a set of objectives intended to describe the new teacher role, the designer had identified assumptions that served as the basis for the planned change. According to the researchers' analysis, these were not logically linked to role descriptors. In the main, assumptions referenced expectations for children. Gross et al., concluded that five barriers prevented the implementation of the catalyst role in the project studied.

1. teachers' lack of clarity about the innovation
2. their lack of the kinds of skill and knowledge to conform to the new role model.
3. the unavailability of required instructional materials
4. the incompatibility of organizational arrangements with the innovation
5. lack of staff motivation

The researchers found that the first four conditions were present from the beginning stage of the implementation effort. The fifth, lack of staff motivation, emerged during the final

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33 Ibid., p. 11.
34 Ibid., p. 122.
stage of the implementation process. To determine factors present throughout the implementation process, researchers probed teacher perceptions at three intervals during a one year-time span. Of the ten teachers involved in the project and questioned through interviews and questionnaires, only four could identify the analogy of "guide or supporter" for the catalyst role and these four could not state specifically what the terms meant in relation to behaviors.

Gross et al., concluded that the role of catalyst should have been prescribed in reference to teacher behaviors in the design document. They suggested that teachers should have been able to describe actions appropriate to the new role. Resistant attitudes to the role definition emerged, due at least in part to the lack of clarity in the role prescription. The attitude of teachers toward the project is reflected in the comments of one teacher:

...they (the administration) were sidestepping the main issue; I don’t think anyone has a clear idea of what the innovation is all about; no one, not Williams, (the administrator), would let them (the pupils) come in and just move around after a couple of days. It’s the vagueness of how far things should go, like the amount of noise in the classroom or the amount of noise on the stairs, we should tolerate.38

Charters and Pellegrin (1973) analyzed four case studies of differentiated staffing for the Center for the Advanced Study of Educational Administration. The researchers found

38 Ibid., pp. 128-129.
that the innovation studied was defined in ambiguous and abstract language. The differentiated staffing project was sponsored by a federal agency and the project description, a proposal, emphasized educational benefits to be achieved through the project. This document which served as the design for the project provided little information about the nature of the innovation to be implemented. The researchers concluded that the language of the document gave little direction for action.

Rank-and-file members of the teaching staff are not necessarily clear as to what the project is all about, nor are they likely to find much guidance in the generalities of the funding proposal or other official documents of the project.36

Charters and Pellegrin identified twelve factors contributing to failed implementation in the four cases studied. Of these, three refer directly to lack of specificity in descriptions of the project.

The gross unclarity in conceptualization and definition of what the schools are attempting to implement through change projects.

The heavy reliance on structural change (writing job descriptions, changing titles, altering organizational units) in the belief that appropriate behavior changes will automatically follow.

The fallacious assumption that a statement of general abstract program values will easily be translated into new and appropriate behavior patterns at work."

The researchers concluded that the translation of general values and objectives prescribing new behaviors is a complex and difficult process. They cited Ralph Linton's observation that explicit role definition is critical to implementation of planned change. Linton had surveyed the history of planned change at society and community levels. He determined that failures were due, in part, to a lack of prescriptive explicit behavioral directives for realizing the values and goals of programs. Linton observed that planners often were satisfied to develop sketches or outlines of intended programs and left the task of completing the picture to others.

Nearly all social planners have begun by constructing a skeleton system of ideas and values, designed to give the new society esprit de corps and a united will, and have trusted individuals who accepted these for the working-out of the minutiae of behavior that would be compatible with the system.38

Linton found that where new forms of society were successfully effected, the plans for the new forms contained concrete rules stipulating behaviors.

37 Ibid., p. 12.

Carpenter-Huffman et al., (1974) analyzed the failure of performance contracting projects in the early 1970’s. Their study, conducted for the Rand Corporation, examined federally funded projects in several sites, concluding that lack of courage to change organizational arrangements to accommodate innovation contributed to failed implementation efforts. Administrative "trepidation" was given as a factor contributing to failure.

Boat rocking is very close to drowning. Instead administrators cling to their established ways: fixed schedules for the school year and for classes, line-item budgets, state mandated textbooks, the Education Code. It is often impossible to fit an unconventional program into such highly structured procedures."

While the authors conceded that pre-packaged innovations do not take into account the complexity and specificity of school settings, administrators, they note, are confronted with a multiplicity of decisions as an innovation moves toward implementation. The researchers concluded that the intricate connections between and among interacting elements must be accounted for in the design of an implementation plan.

Instruction is seldom viewed in a total-system context with materials, equipment, teaching procedures, and teacher training regarded as linked components of an overall system to achieve common objectives. Unless relationships among the various components of an instructional system are

explicitly recognized, attempts to improve one component will have little or no effect.\textsuperscript{40}

Carpenter-Huffman et al., contended that often innovations which are judged ineffective have not in fact been implemented.

There is considerable evidence that many supposed educational changes have never actually taken is, although the school district has announced the adoption of some new innovation, it has not actually been implemented at the classroom level.\textsuperscript{41}

The authors concluded that instructions for using innovations are almost always inadequate and rarely defined in specific details. They attributed this lack of explicit direction to "straw clutching" and "wishful thinking" of people involved in planning for implementation. They suggest that decision-makers need guidance to facilitate skill in thorough planning for project implementation.

Carpenter-Huffman et al., summarized factors affecting innovation efforts using three general categories: social behavioral barriers; systemic barriers, and informational barriers.

1. Social behavioral barriers
   a. Ingrained patterns of behavior that conflict with major changes in operating procedures.
   b. Lack of professional incentives to sponsor and implement change.

\textsuperscript{40} Ibid., p. 11.

\textsuperscript{41} Ibid., pp. 11-12.
c. Lack of competitive market forces compelling change.

2. Systemic barriers
   a. Difficulty in adapting proposed changes to existing school operations.
   b. Difficulty in trying new approaches in a sufficient variety of realistic circumstances.
   c. Failure to consider the school system as an integrated whole.
   d. Failure to develop new approaches to treat requirements for implementation fully.

3. Informational barriers
   a. Lack of credible information on relative advantage.
   b. Lack of sufficiently detailed information to guide implementation. 42

While these researchers did not claim that adequate planning can guarantee success, their findings indicated that failure to provide adequate plans for project implementation contributed to failed implementation efforts. The Carpenter-Huffman analysis attributed lack of adequate planning to lack of knowledge, timidity on the part of school people and lack of time dedicated to the planning process.

In another study of failed implementation efforts, Paul Lauter (1968) analyzed the collapse of the Adams-Morgan Community School Project in the District of Columbia Public School System. The project was designed to incorporate university cooperation, community control, team teaching, open-ended curriculum and nongraded structure. Lauter's study was published a year after the project had begun its

42 Ibid., p. 18.
implementation. Lauter reported that the board of education had turned control of the project school and the project over to Antioch College and a Community Advisory Committee. The board's memorandum authorizing this control did not state clearly the terms of shared authority for the project. Another memorandum issued by the college, but never formally approved, detailed the shared authority relationship as a decision-making process operating "within a policy of consensus."

The rather different pictures these documents convey reflect on one of the fundamental problems of the Adams-Morgan Project: people with very disparate views and interests agreed to certain words on a page without revealing or perhaps recognizing, that they assigned various meanings to the words.43

Lauter, the project director, described various obstacles and difficulties that complicated the process of implementing the innovation. Discussing the new elementary curriculum to be instituted, he stated that there had been little thought given to the nature of the innovation. In an amusing, but sad comment, Lauter reported the process:

Although a community "curriculum committee" had begun meeting, its discussions became increasingly diffuse and dominated by a white minority, some of whom neither had children in the school nor were willing to do much beyond attending meetings irregularly. The initial promise of intense

community interest in curriculum rapidly evaporated. The resources of the College were six hundred miles away and mostly on vacation. We proceeded in haste and by instinct."

To facilitate the aims of the project, packaged materials were purchased. The curriculum and instructional strategies were described to teachers during a three week summer institute just prior to the opening of school.

The ensuing effort to implement the program was fraught with problems, tensions and conflicts exacerbated by confrontations on issues related to race. The author concluded that the root of failure of the project (at least as it was initially conceived) was the failure to "work out" the issues of community participation, teachers' attitudes and preparation, classroom organization, curriculum and roles of outside agencies.

Louis M. Smith and Pat M. Keith (1971) reported the innovation attempted in the "Kensington Elementary School" in a lower middle class suburb of a school district in the Ohio River Valley.

The program exemplified the new elementary education of team teaching, individualized instruction, and multi-age groups. A broad strategy of innovation - the alternative of grandeur, the utilization of temporary systems, and

"Ibid., p. 236."
minimal prior commitment was designed and implemented."

The program was designed to develop pupil maturity, internal motivation and productive competence. The researchers observed that results did not indicate achievement of the program's objectives. They concluded that organizational structures and processes inhibited the implementation of the program design.

Smith and Keith framed their study in a social science perspective with concepts from systems theory. Their analysis traced the patterns of conflict resulting from resistance to the innovation generated by the community. They followed changes in the program design implemented in reaction to conflict over school policies. Finally, they recorded the transition to a conservative administration and the defeat of the innovation.

The researchers adapted Selznick's (1949) concept of official doctrine for their term, "formal doctrine."

We have come to use the term 'formal doctrine' to represent the complex combination of a point of view that is visionary, that is highly conscious, and that is codified... The doctrine includes an elaborated system of concepts, spelling out the entire structure of means and ends within an organization."


"Ibid., p. 21.
Smith and Keith included certain prescriptive statements in the concept of formal doctrine: the program mandate, the institutional plan, the facade and the educational specifications for the facility. The mandate was the superintendent’s directive memorandum; the institutional plan was the principal’s concept paper defining the program. The facade was a public information statement explaining the program to the community. In addition, the educational specifications provided formal statements describing the educational program projected for the school. An additional document, a written proposal for funding contained a program description for the Kensington Elementary School.

The researchers were interested in answering a series of questions about the implementation process. These questions included some concerning plans for program implementation. Smith and Keith found that design documents were rife with abstract and vague terminology. For example, the educational specifications document contained vague language describing the program planned for the facility.

1. a program flexible enough to provide for individual differences of pupils.
2. schedules arranged according to the needs and interests of each pupil.
3. guidance of pupils into experiences of successful living."

"Ibid., p. 30."
The researchers analyzed the content of official doctrine statements concluding that the abstract language of these documents failed to communicate clear directions for action. The documents which served as a blueprint for the program did not prescribe relationships between elements of the program. This lack of clarity resulted in confusion, conflict and miscommunication among project participants.

...the doctrinal functions of internal communication and orderly flow of directives did not occur at Kensington. The abstractness of the formal doctrine even when these abstractions were specified...still could not communicate."

Michael Fullan and Alan Pomfret (1977) reviewed studies concerning the implementation of innovative programs in school systems. They analyzed fifteen studies which measured implementation efforts, to establish the determinants of implementation. The researchers concluded that factors affecting implementation were determined by characteristics of the innovation, strategies, characteristics of the adopting units.

A. Characteristics of the Innovation
1. Explicitness (what, who, when, how)
2. Complexity

B. Strategies
1. In-service training
2. Resource support (time and materials)
3. Feedback mechanisms
4. Participation

" Ibid., p. 52."
C. Characteristics of the Adopting Unit
1. Adoption process
2. Organizational climate
3. Environmental support
4. Demographic factors

D. Characteristics of Macro Sociopolitical Units
1. Design questions
2. Incentive system
3. Evaluation
4. Political complexity**

Fullan and Pomfret's findings agreed with findings of other implementation studies in that they concluded that lack of explicit descriptive statements to capture the complexity of innovations was a factor in failed implementation efforts. The categories devised by Fullan and Pomfret vary little from the later Fullan formulation previously cited. The researchers' findings reiterated the conclusions of other studies that lack of clarity, comprehensiveness and explicitness in plans for implementing change is a factor in failed implementation efforts.

In summary, the body of research concerning implementation has only developed over the last two decades. The literature follows three main interests: (1) a social psychological orientation focusing on issues and problems facing practitioners; (2) a political science orientation targeting the issue of constraints and opportunities in the political domain affecting implementation; (3) a research

orientation centering on the evaluation of implementation initiatives.

The subject of this study is oriented to the resolution of problems facing practitioners and to the evaluation of the implementation of change initiatives. Both of these interests are addressed in the model proposed for critiquing planning documents for the implementation of educational reform proposals.

As stated above, the implementation process is one of three phases in the change process: initiation, implementation, and institutionalization. While there are distinct stages in the process they are not sequenced in a strictly linear direction. Thus, an arrangement required during the implementation phase may alter the content of the adopted concept of the innovation. Moreover the routinized form of the reform program may vary from the program design constructed for implementation. The proposed model establishes a linking point between the initiation and the implementation phases of the change process.

The sum of research concerning implementation provides ample evidence that failure of implementation initiatives has been due in part, to a failure to establish clear, design statements. As Fullan observed educational change involves the reconstruction of objective and subjective meanings. But these meanings are anchored in the particular situation of the school district involved in change, the characteristics of the
change and the district’s environment. Therefore, a model which has general value, which captures the goals and means for enacting the proposed change will not only account for the technical and human components for a specific program in a specific district situation, but will define these clearly, comprehensively and explicitly.

Organizational Change

The proposed model casts the issue of planned educational change as a case of organizational change. This section of the review traces the development of organizational theory with emphasis on the structuralist view of organizational change. Following the broad discussion of organizational theory, the review examines contingency theory which derives from this structuralist perspective. The contingency view of organizations in change is the theoretical ground for the model proposed in this study.

The technical and human components appropriated for the implementation of educational change are incorporated within the boundaries of the school district as an organization. Even in those cases in which the district reaches out to gather resources from the environment to implement change, those resources are acted upon and processed through the district’s organizational operations. It is obvious that the process of enacting change is performed by the organization. However, the significant point is that not only is the effected change a product of the organization, the change is
a transformation, a shift, a reconstruction of the organization itself. Thus every proposal for educational reform, programmatic or systemic, is a case of organizational change.

Concepts of organizational change are derived from prior theories about the nature of organizations. These in turn are the offspring of systems of beliefs about the nature of man and the world. While consideration of this vast field of developed thought is beyond the scope of this review, the conceptual bases for the model are provided to clarify the beliefs and assumptions which govern the design of the proposed model.

In the widest sense the model is derived from a structuralist perspective. Structuralism is an explanatory system which posits a set of beliefs about the nature of existence. Three key concepts characterize the structuralist view: the idea of wholeness; the idea of transformation; and the idea of self-regulation.

...we may say that a structure is a system of transformations. Inasmuch as it is a system and not a mere collection of elements and their properties, these transformations involve laws: the structure is preserved or enriched by the interplay of its transformation laws, which never yield results external to the system nor employ elements that are external to it.50

Piaget argued that structures are not constructed by human consciousness but human thought is responsible for developing forms which symbolically represent structures.

The discovery of structure may, either immediately or at a much later stage, give rise to formalization. Such formalization is, however, always the creature of the theoretician, whereas structure exists apart from him. Formalization sometimes proceeds by direct translation into logical or mathematical equations, sometimes passes through the intermediate stage of constructing a cybernetic model, the level of formalization depending upon the choice of the theoretician.51

The concept of wholeness conveys that the whole is not the aggregation of separate elements; the whole is constructed by laws which govern elements of the whole. The laws are not reducible to a one-to-one association of the elements. The structuralist view adopted for the proposed model is that of operational structuralism in which the relation among elements is the central factor in the concept of wholeness.

In other words the logical procedures or natural processes by which the whole is formed are primary, not the whole, which is consequent on the system's laws of composition, or the elements.52

The second notion, transformation, suggests that structures are not static. The laws governing transformation are themselves both structuring and structured.

51 Ibid., p. 5.
52 Ibid., p. 9.
...laws of the whole...constitute the origin and direct the flow of change. Such laws are both structured and structuring: that is, they allow a dynamic between part and part, part and whole. In that dynamic change is a necessary consequence.  

The third concept about structures is that they are self-regulatory. Self-regulation is that process by which the whole maintains itself. Thus structures account for transformation and for the maintenance of the system as a whole.

The structuralist view influences a wide field of interests.

Little falls outside its orbit as it addresses itself to linguistics, anthropology, literature and literary criticism, and the rest of the expressive arts, psychiatry, psychology, architecture, and the physical and natural sciences, social science, mathematics, Marxism, philosophy, and certainly education.

Piaget concluded that the broad definition of structuralism encompasses all the social sciences.

By the definition of structure proposed...all the social sciences yield structuralist theories since, however different they may be, they are all concerned with social groups and subgroups, that is, with self-regulating transformational totalities. A social group is evidently a whole; being dynamic, it is the seat of transformations; and since one of the basic facts about such groups

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54 Ibid., p. 6.
is that they impose all sorts of constraints and norms (rules) they are self-regulating."

Piaget identified two applications of the structuralist perspective drawing important distinctions between them. Global structuralism explains the social whole as emerging from the union of components. Further, and more significant for understanding the bases for the proposed model, "‘global’ structuralism holds to systems of observable relations and interactions, which are regarded as sufficient unto themselves." In contrast analytic structuralism seeks to identify and to explain the structure of relations which account for the observable, empirical phenomena.

...whereas ‘global’ structuralism holds to systems of observable relations and interactions, which are regarded as sufficient unto themselves, the peculiarity of authentic (analytic) structuralism is that it seeks to explain such empirical systems by postulating ‘deep’ structures from which the former are in some manner derivable.

Thus while conflicting theories explaining social wholes may be structuralist in orientation, that orientation may differ in the level of depth probed and in the nature of the relations posited. This difference in the application of the structuralist method is significant to understanding the varieties of structuralist formulations explaining

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55 Piaget, Structuralism, p. 97.
56 Ibid., p. 98.
57 Ibid., p. 98.
organizational operations. Further, this difference in method is central to understanding the conceptual framework for the model proposed in this study.

The structuralist perspective has influenced the development of organizational theory and in particular theory concerning organizational change. Gouldner (1959) identified two fundamental models explaining organizations: the rational model and the natural systems model. Rational models include: the scientific management model defined by Frederick W. Taylor; the bureaucratic model developed by Max Weber; the administrative management model introduced by Henri Fayol. The conceptualization of the organization as a natural system is credited to Chester Barnard. The distinctive feature of the natural systems formulation is its recognition of psychosocial elements as factors in the functioning of the organization.

While the rational model posits the organization as a rationally designed and controlled entity and the natural systems model emphasizes the impact of human factors, both models assume that structures - regularities in relations of elements - govern organizational operations. Discovering the interaction of structures, is the object of theoretical interest.

In summary, the interest of this study centers on the pattern of organizational structures and operations which are shifted to effect change in the organization. The view
adopted for construction of the analytic model is that organizational change at the implementation stage is subject to the scrutiny of reason, that key structures interact in ways that are within limits knowable and predictable. The underlying idea for the design of the model is derived from the Simon-March-Cyert view of organizations as socio-technical systems in search of certainty within the limits of bounded rationality.

What emerges from the Simon-March-Cyert stream of study is the organization as a problem-facing and problem-solving phenomenon. The focus is on organizational environment which does not fully disclose the alternatives available or the consequences of those alternatives. In this view, the organization has limited capacity to gather and process information or to predict consequences of alternatives. To deal with situations of such great complexity, the organization must develop processes for searching and learning, as well as deciding. The complexity, if fully faced, would overwhelm the organization, hence it must set limits to its definitions of situations; it must make decisions in bounded rationality (Simon, 1957).

Simon explained the notion of bounded rationality.

We live in what might be called a nearly empty world-one in which there are millions of variables that in principle could affect each other but most of the time don't...Perhaps there is actually a very dense network of interconnections in the world but in most of the situations we face we can detect only a modest number of variables or considerations that dominate."

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Given the structuralist perspective, the object of interest examining organizational change is the discovery of the rules determining the pattern of relations of organizational structures. Thompson observed that in the Simon-March-Cyert view the governing press is the need to solve problems and the dominant mode is a process of searching, learning and deciding to solve problems. Thus the model is structured to examine the definition of the problem addressed in the implementation plan to discern the elements and components of the construct driving the plan.

Built on the premise of the March-Simon-Cyert view of organization, the model is constructed to expose the reasoning given implicitly or explicitly in the implementation plan. In this sense, the model may be classified as a "rational model." However, it is important to note that the term, "rational" should not be taken as synonomous with bureaucratic structuring of the organization. The model is not designed to force plans to fit within a "hyerrationalized" organizational entity. Rather, the model is constructed to raise to consciousness the logic of the problem formulation and the strategy proposed to resolve the problem.

Section Two - Theoretical Bases of the Model

The Contingency Perspective

The contingency perspective which serves as the conceptual foundation for the proposed model, is derived from Thompson's elaboration of the Simon-March-Cyert theoretic formulation. The contingency perspective projects the organization as a set of interacting subsystems: psychosocial, technical, structural and managerial. Kast and Rosenzweig (1973) summarized the major ideas generally held by contingency theorists concerning the characteristics of the organization.

(1) a subsystem of its broader environment; and
(2) goal-oriented-people with a purpose; comprised of
(3) a technical subsystem - people using knowledge, techniques, equipment, and facilities;
(4) a structural subsystem - people working together on integrated activities;
(5) a psychosocial subsystem - people in social relationships; and coordinated by
(6) a managerial subsystem - planning and controlling the overall endeavor.61

Research in the field of organizational theory has been guided by the contingency perspective for more than twenty years. Meyer et al., (1978) noted the central position contingency theory holds in managerial literature.

Schoonhoven (1981) observed that the number of textbooks formulating constructions derived from contingency theory is indicative of the wide acceptance of the contingency perspective (e.g. Kast and Rosenzweig, 1974; Tosi and Carroll, 1976; Galbraith, 1977; Hellriegel and Slocum, 1978).

The contingency perspective received its impetus from Thompson’s (1967) admonition to attend to constraints and contingencies within and beyond the boundaries of the organization. The contingency model has generated theories expanding on its framework: the McKinsey 7-S framework (Pascale and Athos, 1981); Theory Z (Ouchi, 1981); the eight characteristics that fit together in excellent companies (Peters and Waterman, 1982); and elaborations of Leavitt’s (1973) model for designing organizations for change (Galbraith, 1982).

The models which have emerged from the contingency orientation vary in their emphases but all are set in the same basic premises. Drazin and Van de Ven (1985) argued that the underlying premise of the contingency perspective is the belief that "fit" between and among organizational variables i.e. structure, technology, human, accounts for effectiveness or the organization.

Contingency theory differs from other organizational theories in the form of its propositions. Drazin and Van de Ven note a distinction between congruent and contingent propositions. Fry and Schllenberg (1984) clarified this
distinction stating that in a congruent proposition a simple unconditional association is hypothesized among variables in the model. The contingent proposition poses a conditional association for two or more variables with a dependent result. Drazin and Van de Ven summarized this point.

Central to a structural contingency theory is the proposition that the structure and process of an organization must fit its context (characteristics of the organization's culture, environment, technology, size, or task), if it is to survive or be effective.62

Drazin and Van de Ven examined the concept of "fit" as it is used in contingency models and concluded that the term is applied with three different shades of meaning. They identified these three definitions of "fit" as: selection, interaction and systems. Each view of "fit" shifts the meaning of the contingency perspective.

The first of these meanings, the selection emphasis, appears in two forms: natural and managerial. Natural selection implies that fit is the "result of an evolutionary process of adaptation that insures that only the best performing organizations survive, (Hannan and Freeman, 1977; Aldrich, 1979; Comstock and Schroger, 1979; McKelvey, 1982)."63 The natural selection perspective claims an


63 Ibid., p. 516.
isomorphic relationship between context and structure to exist in surviving organizations. (A more detailed review of the isomorphic tendency is presented following the general overview of the contingency perspective.)

The second meaning of the term, "fit" managerial selection, also carries the notion of the appropriate fit between subsystems as critical to the effectiveness of the organization, but the term extends the concept of rightness of fit to the elements of the larger environment of the organization.

Most organizations (or subunits) are constrained in choosing or adopting the structural patterns that reflect their particular circumstances. No matter what level of organization is examined, there is usually a more macro-level that imposes, at least in part, uniform practices and prescriptions on the more micro-level (Di Maggio and Powell, 1983).“

Drazin and Van de Ven observed that the macro-level of the organization imposes rules on the micro-level by either establishing rules uniformly without regard for the context of the micro-level or by instituting switching rules which enable the micro-level to respond to situational variations. Thus the macro-level limits the freedom and discretion of the micro-level. These switching rules, or contingency programs define the designs of subunits. These programs fall into three modes: systemized, discretionary, and developmental.

“ Ibid., p. 517.
For example routine production units in an organization are normally structured in a systemized mode, service units in a discretionary mode, and R&D units in a developmental mode (Van de Ven and Delbecq, 1974).65

Drazin and Van de Ven argued that for purposes of theory development, the selection approach to fit is promising if researchers distinguish between imposed rules which structure subunits and those "particularistic" rules which emerge "naturally" at the subunit level.

The third meaning attached to the term, "fit", emphasizes the effect of the interaction of context and structure on outcome. The orientation of the interaction approach is toward an explanation of variations in organizational performance as an effect of the interaction of structure and context. This perspective takes its orientation from studies of the interaction of elements in nature which interact to effect crop yields. The interaction hypothesis is drawn from Ashby’s (1956) concept of requisite variety which posits organizational adaptability as an effect of the reflected environmental complexity on the structure of the organization.

Studies constructed to evaluate the interaction hypothesis (Negandhi and Reimann, 1972; Child, 1974; Khandwalla, 1974; Van de Ven and Ferry, 1980) yield mixed results. Drazin and Van de Ven claimed that mixed results may derive from methodological problems. Among the methodological

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65 Ibid., p. 515.
problems applying the interactive hypothesis, is the
difficulty of distinguishing between elements of the
organizational context.

Schoonhoven (1981) identified lack of clarity in
terminology as an obstacle in designing empirical tests of
contingency propositions.

The lack of clarity is substantially due to the
ambiguous character of the 'theoretical'
statements. Statements from contingency theorists
and researchers suggest that a particular structure
should be 'appropriate for' a given environment
(Thompson, 1967), that organizations are more
successful when their structures 'conform' to their
technologies (Woodward, 1965: 69-71), that an
organization's internal states and processes should
be 'consistent with' external demands (Lawrence and
Lorsch, 1969), that organizations should attempt to
maximize 'congruence' between technology and their
structure and adapt their structures to 'fit' their
technology (Perrow, 1970: 80), that technology and
structure need to be properly 'aligned'
(Khandwalla, 1974: 97)..."

The terminology is unclear and the specific form of the
expected interaction is not clear. Schoonhoven (1981) argued
that the interactive proposition can mean that effectiveness
is likely when two factors i.e., technological uncertainty and
professionalization are present. It can also mean that there
is a value of structure for each value of technology.
Schoonhoven labels this construct as a "matching" or
"maximizing" theory. This hypothesis posits that for every,

"Claudia Bird Schoonhoven, "Problems with Contingency
Theory: Testing Assumptions Hidden within the Language of
Contingency "Theory,"
Administrative Science Quarterly 26
(September 1981): 350-351."
"There is a unique value at which the variable Y is maximized and that deviations in either direction from the unique value reduce the value of Y." Schoonhoven's analysis provides clear evidence of the methodological difficulties which blur the meaning of contingency interactive formulations.

Drazin and Van de Ven advocated the systems approach to contingency theory. They argued that the systems approach which incorporates the concept of equifinality, and interprets fit as "feasible sets of equally effective alternative designs with each design internally consistent in its structural pattern and with each set matched to a configuration of contingencies facing the organization."

Drazin and Van de Ven used pattern analysis to interpret organizational design which is often constructed around conflicting constraints and contingencies confronting the organization (Ford and Slocum, 1977; Child, 1977).

The organizational implications of each contingency are unlikely to be the same and are often in conflict with each other. As a result, trade-off decisions begin to emerge, and attempts to respond to multiple and conflicting contingencies are likely to create internal inconsistencies in the structural patterns or organizations."

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"Ibid., p. 350.

"Drazin and Van de Ven, "Alternative Forms of Fit...," 30: 521.

"Ibid., p. 521.
The systems approach to fit proposes an ideal type against which the organizational design is matched. The closer the organizational design matches or fits the pattern of the ideal type, the higher the expected performance; the more the organizational design deviates from the pattern of the ideal type the lower expected performance.

...the systems approach maintains that two basic choices confront the organizational designer: (1) to select the organizational pattern of structure and process that matches the set of contingencies facing the firm, and (2) to develop structures and processes that are internally consistent.70

Drazin and Van de Ven commented that the three notions of fit: selection, interaction and systems approaches are not necessarily contradictory and/or mutually exclusive. The model proposed for the critique of plans for the implementation of educational reform proposals links the notion of fit from the managerial selection approach and the system's notion of matching the proposed design against an ideal type.

An aspect of the managerial selection approach as a form of the contingency perspective is the isomorphic tendency. Isomorphism is defined as a "constraining process that forces one unit in a population to resemble other units that face the

70 Ibid., p. 521.
same set of environmental conditions." Hannon and Freeman (1977) elaborated on the concept of isomorphism claiming that the process of management selection through which design choices are accomplished, operates through decision-making that is normative, mimetic or rational. Management decisions may function according to norms which are limited by the perceived range of choices and these restricted perceptions are the results of the isomorphic tendency.

While isomorphic change may often be mediated by the desires of managers to increase the effectiveness of their organizations, we are more concerned with the menu of possible options that managers consider than with their motives for choosing particular alternatives. In other words we freely concede that actors' understandings of their own behavior are interpretable in rational terms. The thesis of isomorphism addresses not the psychological states of actors but the structural determinates of the range of choices that actors perceive as rational or prudent.73

DiMaggio and Powell identified two types of isomorphism: competitive and institutional. Hannon and Freeman (1977) described competitive isomorphism as a system that responds to market competition, niche change, and measures of fitness. DiMaggio and Powell argued that this classification does not fully account for the politics and the ritual that characterize modern institutions. They cited Kanter's (1972)


72 Ibid., p. 149.
view of institutional isomorphism which offered an explanation for the tendency toward sameness among organizations. DiMaggio and Powell identified three methods which produce institutional isomorphic change.

(1) coercive isomorphism that stems from political influence and the problem of legitimacy;

(2) mimetic isomorphism resulting from standard responses to uncertainty; and

(3) normative isomorphism, associated with professionalization.

Coercive isomorphism is the product of pressures brought to bear on organizations by organizations upon which they depend. These pressures may occur in the form of force or persuasion. In the case of educational reform, these may be mandated by government i.e., special education requirements, (Meyer et al., 1981). Legal and technical pressures which shape the structures and processes of organizations. The expansion of the pressures from external organizations in a given field. The organizational responses conforming to imposed requirements shift organizational structures into patterns which are not necessarily fit to technical task requirements, (Meyer and Hannan, 1979).

At the same time, organizations are decreasingly structurally determined by the constraints posed by technical activities, and decreasingly held together by output controls. Under such

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73 Ibid., p. 150.
circumstances, organizations employ ritualized controls of credentials and group solidarity.\textsuperscript{74}

This observation refers to the tendency of organizations such as the state to impose processes and structures on dependent organizations. It does not describe the imposition of results by external organizations on dependent organizations. For example, the state of New Jersey mandates levels of performance for student and staff attendance, and student achievement in the basic skills, as criteria for district certification. This imposition of results upon dependent organizations is not typical. More common is the requirement that dependent organizations conform to structural and process requirements. For example, the state may stipulate the size of special education classes, processes for evaluating special education students, and the certification of special education teachers without establishing minimum standards for the educational results of the special education program.

Coercive isomorphism may occur in less obvious ways, Swindler (1979) described the pressures on free schools to develop hierarchical structures to function in relation to organizational structures within the school district and outside agencies.

The mimetic process of institutional isomorphism involves imitative modeling by which organizations tend to replicate

\textsuperscript{74} Ibid., p. 151.
the structures and processes of organizations which are viewed as successful. Meyer (1981) argued that the organization of a newly emerging nation is easily predicted by the shape of the structures of neighboring nations.

Normative pressures yielding organizational change are based in the process of professionalization. DiMaggio and Powell (1977) and Collins (1979) as the basis for their view that professionalization serves as the source for norms which influence the process and structure of organizations.

Two aspects of professionalization are important sources of isomorphism. One is the resting of formal education and legitimation in a cognitive base produced by university specialists; the second is the growth and elaboration of professional networks that span organizations and across which new models diffuse rapidly.75

DiMaggio and Powell argued that the training of professionals creates a "pool of almost interchangeable individuals," who have a similar orientation. March and March (1977) observed in their study of school superintendents in Wisconsin, that their backgrounds and orientation were so similar that they found that further career advancement was random and unpredictable. Their conclusions regarding the patterns of orientation of professionals are found in studies by Hirsch and Whisler, (1982); Cicourel, (1970); Williamson, (1975); Ouchi, (1980); Collins, (1979); Kanter, (1977); Williamson, (1975). The socialization of professionals occurs

75 Ibid., p. 152.
in the formal training of the university and through informal and formal processes at the work site.

DiMaggio and Powell emphasized the point that institutional isomorphic processes whether they emerge from coercive, mimetic or normative bases, proceed "in the absence of evidence that they increase organizational efficiency."76 This is not to say that this phenomenon is directed against organizational efficiency. Indeed the similarity of organizations may ease transactions between and among organizations. However, this conformity does not insure that results are achieved more efficiently than they are achieved in more deviant organizations.

To the extent managers and key staff are drawn from the same universities and filtered on a common set of attributes, they will tend to view problems in a similar fashion, see the same policies, procedures and structures as normatively sanctioned and legitimated and approach decisions in much the same way.77

The process of isomorphism by which organizations tend to replicate the structures of organizations in their field, whether through coercive, mimetic or normative influences, is a factor which can serve as an obstacle to technical rationality. Those structures and processes which legitimate the organization may or may not be fit to achieve organizational tasks. The dysfunction of educational

76 Ibid., p. 152.

77 Ibid., p. 153.
institutions, particularly large urban systems which are ineffective and inefficient when judged by standards of productivity such as student achievement, may be due in part, to structures and processes forged in the interests of legitimacy and not linked to the primary technical task of educating students.

In summary, structuralism serves as the conceptual foundation for the proposed model for critiquing plans for the implementation of educational reform proposals. Structuralism is an explanatory system claiming that the whole of an entity is not the aggregation of its parts; that structures which constitute relationships between and among elements account for processes of change and stability. This view has influenced the social sciences and has affected the development of organizational theories.

Contingency theory derives from the integrative theory developed by Simon-March-Cyert and elaborated by Thompson. The contingency perspective projects the organization as a limited set of interacting and related subsystems: technical, psychosocial, and managerial. These subsystems interact with each other and with the larger environment.

The overarching function of the organization through its subsystems is the reduction of uncertainty and the attainment of determinateness in the pursuit of goals. The underlying premise of the contingency view is that congruency of fit between subsystems, the whole, and the environment accounts
for organizational effectiveness. However, this common sense notion is not proven by research, in part because the logical and real distinctions between the subsystems is difficult to establish.

On the other hand, the contingency view built on the concept of fit, can be used to explain the sameness, the homogeneity of institutions. The isomorphic tendency is the pattern of response by which organizations modify to resemble organizations in their field. The replication of form and processes may serve to legitimate institutions rather than to improve technical performance.

In fact, the dysfunction of large urban districts may be explained, in part, by the isomorphic tendency limiting the universe of perceived alternative choices and replicating forms from the larger field which do not match the problems encountered in urban settings.

The theoretical perspective of the contingency model proposed is that: organizations operate under the limitations of bounded rationality; the organization is a sociotechnical system in which major subsystems interact; the organization's design is the result of managerial selection of alternatives within the universe of perceived environmental constraints and opportunities.

The model developed in this study is built on a generalization derived from contingency theory that organizational change is effected through the interaction of
sybsystems. The model is designed to scrutinize implementation plans to discern the explicit or implicit intentions expressed in planning documents concerning the interaction of variables of organizational design.

It should be emphasized that the impetus for change in the organization may not originate within the organization. The nature of the change to be adopted by the organization may be determined by influences in the political, cultural, economic environment of the organization (Cobb and Eder, 1983; Ravitch, 1983). Certainly in the case of school district organizations, the history of the reform movement indicates a consistent pattern of change initiated by forces external to the institution.

The model proposed here uses a contingency perspective to rationalize complex plans for implementation of educational reform measures in school districts. It is intended as a device, a tool for identifying and estimating the strategy for change given in planning documents; it is not intended as a model which captures all processes and influences which shape the direction of change in the organization.

Methodology for the Social Sciences

The concern for methodology to clarify meaning in the fields of the social sciences was the focus for a special edition of Partisan Review (1984). In that publication,
Daniel Bell traced the threads of thought which run through the "turn to interpretation" now surfacing in the social sciences.

Interpretation is one of the oldest forms of human inquiry. In traditional religious thought it goes under the name of exegesis. No statement stands alone, for there are always multiple meanings to myth, parable, or scripture. Rabbinic exegesis (taken over by medieval school men and Dante) identified four levels of meanings...Pershat, Remez, Derash, and Sod - the literal, allegorical, homiletic, and mystery.7

The modern version of exegesis, the critical explanation of the meaning of words and passages, appeared under the name of hermeneutics. Schlesiermacher, and later Dilthey introduced the concept of verstehen, or understanding as the method of inquiry proper to the social sciences. This tradition has been carried more recently through the work of Hans-Georg Gadamer and Paul Ricoeur.

Bell explained the turn to interpretation as a movement away from empiricism with its dependence upon "naive" observation and its search for "laws" and ordered relations.

The turn to interpretation, in the broadest cultural sense, signifies the turn of the social sciences - or of those practitioners of this art - from the models of the natural sciences and their modes of inquiry, to the humanities. But it is also part of a glacial shift, in that there are those who also argue that the natural sciences themselves have lost their 'privileged status' as being the mode of inquiry for 'objective' truth and

are becoming more like all other modes of inquiry and subject to all its itching diseases."

In this case the proposed model is method to direct the interpretation of social phenomena. Models to explain social phenomena must account in some way for man's conceptualizations as a factor in constructions of objective reality. This issue of the role of perceptions, ideas, concepts as intervening factors in man's knowing objective reality - truth - has been and remains a central problem not only for the social sciences but for the physical sciences as well. For this reason, this section of the review summarizes different perspectives on the problem of knowing as background to the selected perspective for the process of inquiry proposed here.

The normal science tradition holds that objective reality untainted by man's subjective constructions can be ascertained through methodology which protects conclusions from the biases and prejudices of the scientist. Normal science methodology is designed to determine lawlike regularities controlling relationships with the expectation that this knowledge enables prediction and control.

This approach, borrowed from the physical sciences has proven problematic when applied to social phenomena. Critics challenge assertions of strict objectivity. Bernstein (1978) noted practical problems in controlling experimentation;
uncertainty of prediction as a result of the complexity of human phenomena.  

In contrast, the phenomenological perspective treats social reality as predominantly comprised of man's subjective constructions. Phenomenology takes the position that theory about social reality must explain the structures which constitute the subjective state of man. This position challenges the normal science approach asserting that normal science does not explain man's capacity to order the world of experience through logic and conceptualization. These powers exist prior to and account for the method of science itself.

The phenomenologist argues that theory to explain social phenomena must focus on the source of social meaning, the inner mind that structures reality. Alfred Schutz (1967) stated that theory should explain the ways in which social reality is constituted in everyday life. To explain human action, theory must formulate categories that can account for the way man establishes intersubjective reality. For Schutz, the necessity for addressing subjective reality does not relieve the theorist of the obligation to produce theory that can be tested for objective truth.

As reported by Bernstein (1978), Husserl pressed the position further than Schutz. He condemned all forms of naturalism, claiming that the methods of the natural sciences

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cannot unveil subjectivity and intersubjectivity. Husserl called for a radical turn in thinking about the every day world and the world of science. The theorist is to turn away and look back at the whole of experience as an enigma, to rid him/herself of the taken-for-grantedness of experience.

Husserl argued that as normal science translates reality into mathematical formulations, it creates the impression that the mathematical construct is reality. But the mathematical formulation cannot frame the Lebenswelt, the actual world experience, the every day life world. Phenomenology then obtains theory from a rigorous examination of the ways in which man's consciousness frames the meaning of the every day life experience. The essence of the examination process is a questioning of the taken-for-granted world of meanings. Husserl directed attention to those aspects of life experience which are assumed, not thought about, as the least known and most significant focus for theory.

Language is the linking process that discloses the intersubjective reality. It is through language that man breaks out of the present moment to reflect upon the past and to project the future. Since language is the medium that enables man to establish the intersubjective world, phenomenology directs that theory draw from language, the underlying constructs that give meaning. Theory should discover what man tells himself about the world in order to understand the world.
Whereas normal science and phenomenology are directed toward the discovery of truth about social reality, critical science interprets and critiques social phenomena. While empiricism and phenomenology attempt to remain neutral, critical science assumes values about the way the world should be.

Theory, for a critical scientist, must provide an interpretation of social and political reality. Critical science adopts the classical Greek concept of theory whereby it is a path to wisdom. The power of theory is its ability to enlighten and to free man. Through theory man achieves insight into the social structures and patterns which control and limit his freedom. Theory discloses the framework of power relations to those who are constrained by its grip. Theory exposes the large and small phenomena which function to perpetuate the oppression of an underclass. As these phenomena are brought to consciousness, the exploited class will mobilize to change social arrangements that limit freedom. Critical science embraces a notion of theory oriented to practical action.

The critical scientist takes social reality: organizations, bureaucracies, institutions, groups as objects for study. The theorist inquires into the structures or rules which condition the roles of actors, the dispersement of rewards and sanctions, the investment of authority and power,
the impact of technology, as they function to serve the values of the status quo.

Critical science seeks to uncover and disclose the ideology that forges social reality.

The systematic sciences of social action, that is economics, sociology and political science, have the goal, as do the empirical-analytic sciences, of producing nomological knowledge. A critical social science, however, will not remain satisfied with this. It is concerned with going beyond this goal to determine when theoretical statements grasp invariant regularities of social action as such and when they express ideologically frozen relations of dependence that can in principle be transformed. To the extent that this is the case, the critique of ideology, as well, moreover, as psychoanalysis, take into account that information about lawlike connections sets off a process of reflection in the consciousness of those whom the laws are about. Thus the level of (non-reflective) consciousness, which is one of the initial conditions of such laws, can be transformed. Of course, to this end, a critically mediated knowledge of law cannot through reflection alone render a law itself inoperative, but can render it inapplicable.81

Embedded in critical science are values which inform all its inquiries. Man is defined as having the potential to be autonomous, reasoning and free. Critical science takes the view that man can gain freedom through his reason and that free men in community can live the reasoned life. Such an optimism is found in Marxist analysis, a major strand of the critical science tradition. The dynamics of social conflict are the conditions necessary to the resolution of the class

struggle. Not only is man seen as reasoning, but he is also defined by his intentionality. His is the power to act through the revelation of reason.

The pre-eminent role of values in critical science contrasts with the neutral position of natural science and phenomenology. Neither of these perspectives claim to know what the world of man should be. Critical science takes the view that values are always embedded in theoretical perspectives that claim to be value-free, that to remain neutral is in fact to serve the interests of the status quo.

The Theory of Inquiry

It has been shown that conflict exists about the adequacy of theory to explain social phenomena. Three theoretic orientations have been noted: positivistic empiricism, phenomenology and critical science. This study proposes that John Dewey's theory of inquiry embraces much of the truth advanced by each of these orientations. Dewey's position, it will be argued, recognizes the significance of material conditions as components of reality while maintaining the function of mind ordering reality. Dewey attempted to dissolve distinctions that separate the logic of theory from the action of practice. He accounted in his theory for the power of reflection in man's determination of means and ends-in-view.

Dewey's theory of inquiry is appropriate as a method for critiquing plans because it is oriented to the practical,
because it captures factual and conceptual matter, because it is a method to structure problem solving rather than a method to determine truth. A plan is a map of future actions based upon conceptual and factual knowledge of a problematic situation. The plan is a selection of actions which are based on implied or explicit propositions and hypotheses about what will work to change the problematic situation. The proposed model is designed to increase clarity, comprehensiveness and explicitness of planning documents. The contents of the plan which need clarification, elaboration and specificity are those propositions and hypotheses which underlie the plan. As these are uncovered and examined through the systematic process of critique, the contents of the plan will gain greater clarity, comprehensiveness and explicitness.

Dewey proposed that declarative propositions either of facts or principles are not the ends of thought. Rather, they are means for the ends of practical action. The object of thought is the resolution of the problematic and the facts of the case are gathered in the service of the end-in-view. The result of inquiry is not a pronouncement of what is, but a warranted assertion, a hypothesis about the reconstruction of a problematic situation.

Dewey developed a view of the process of inquiry which can integrate the emphases of the perspectives of empiricism, phenomenology, and critical science. He stated that the selected emphases of different formulations are derived from
a whole pattern of inquiry. Attributing greater significance to either form or matter in the process of knowing yields distorted theoretic explanation.

They will not be criticized then, on the ground that they violate all conditions of inquiry as means to attaining knowledge, but on the grounds that the selections are so one-sided as to ignore and thereby virtually deny other conditions which give those that are selected their cognitive force and which also prescribe the limits under which the selected elements validly apply.\(^2\)

Differing perspectives view distinctions between form and matter as central to their formulations. Thus while traditional empiricism emphasizes matter as the significant source of knowledge, rationalism posits that forms determine the matter of knowledge. Dewey criticized traditional empiricism and rationalism as typical cases of selective dependence on either form or matter as the basis for knowledge.

Empiricism in all its varieties has insisted upon the necessity of perceptual material in knowledge; historical rationalism has held that only conceptual subject matter is capable of providing knowledge in its full sense.\(^3\)

Dewey maintained that these two ways of knowing are functional divisions of labor within one process of inquiry. He criticized the empiricist construction of the immediately


\(^3\) Ibid., p. 516.
perceived as consisting of separate, unconnected, unrelated "atoms" of experience. In Dewey's view the immediately perceived is an extensive qualitative situation. The emergence of distinct qualities within the situation is dependent upon observational operations which are a function of the whole process of inquiry which integrates conceptual and perceptual matter.

Dewey traced the dualism between mind and matter to Mill and Kant. Whereas Kant confirmed the necessity of perceptual conceptual matter for knowledge, he attributed the source of these to two different and distinct sources.

In consequence, Kant was not only compelled to have recourse to an artificial mechanism to bring two entirely different kinds of subject-matter into connection with one another, but to conclude (given his premises) that the perceptual material, while necessary, gets completely in the way of knowledge of things as they "really" are, so that everything which can claim to be knowledge is but of phenomenal appearance.**

Dewey credited popular positivism for uncovering concepts for which no experiential confirming evidence can be found. As a derivative of traditional empiricism, popular positivism reflects the traditional scorn for general ideas and for theories that are not merely summaries of established facts.

Its logic has no recognized place for hypotheses which at a given time outrun the scope of already determined "facts," and which indeed, may not be

** Ibid., p. 518.
Dewey suggested that the history of science has typically held theories which provided directive force but were not capable of direct verifiability, such as the conservation of energy and evolutionary development. The power of these theoretical hypotheses lay in their force for directing new observations and revealing new problems.

In summary, Dewey concurred with the perspectives of traditional empiricism and the rationalistic schools in that they each highlight a significant aspect of reality. However, the former with its emphasis on reality as material substance and the latter with its emphasis on mind as the source of reality both missed the point that Dewey stressed - the correlational functions of these ways of knowing, with knowing serving as the basis for action.

The traditional empiristic theory reduced them, (suggestions), ...to mental copies of physical things and assumed that they were per se identical with ideas. Consequently, it ignored the function of ideas in directing observation and in ascertaining relevant facts. The rationalistic school, on other hand, saw clearly that "facts" apart from ideas are trivial, that they acquire import and significance only in relation to ideas. But at the same time it failed to attend to the operative and functional nature of the latter. Hence, it treated ideas as equivalent to the ultimate structure of "Reality." The insight, however, was radically distorted because perceptual and conceptual contents were supposed to originate from different

**"Ibid., p. 519."**
sources and thus required a third activity, that of synthetic understanding, to bring them together.*6

While Dewey criticized the practice of traditional empiricism as a system for generating theory concerning social subject matter, he did maintain that inquiry into social phenomena must satisfy the conditions of scientific method of normal science. He stated that social inquiry can serve as a method for judgment of social practice. These judgments have as their end, the "reconstructive transformation" of a problematic subject matter. He contrasted the developed methodology of medical practice with the gross observational methodology of the social sciences.

The lesson, as far as method of social inquiry is concerned, is the prime necessity for development of techniques of analytic observation and comparison, so that social situations may be resolved into definitely formulated problems.*7

In practice, social inquiry has been guided, he stated, by the assumption that facts are "out there" and that they should be observed and organized to provide the basis for generalizations. The objective orientation of scientific inquiry is presumed to require that evaluation procedures should not affect the selection of facts to be observed. Dewey counters that assumption, stating that elimination of

*6 Ibid., p. 111.

*7 Ibid., p. 494.
moral blames and approvals does not warrant the elimination of all evaluations.

(Moral evaluations) are not evaluative in any logical sense of evaluation. For they are not even judgments in the logical sense of judgment. For they rest upon some preconception of ends that should or ought to be attained. This preconception...reduces inquiry...to the truncated and distorted business of finding out means for realizing objectives already settled upon.

Evaluation does enter in the process of fact selection as an end-in-view serves as a hypothesis which orders the existential materials, (facts) to serve as means. Further, the end-in-view as the controlling hypothesis, is not merely given but is formed through a process of evaluation.

In all fields but the social, the notion that the correct situation is already given and that it only remains to find the facts that prove it is so thoroughly discredited that those who act upon it are regarded as pretenders.

Further, Dewey criticized the practice of social theorizing for the assumption that facts alone yield warranted generalizations. A generalization serves as a hypothesis and is a prerequisite for selecting and ordering facts. The generalization is prior to observation.

...no generalization can emerge as a warranted conclusion unless a generalization in the form of a hypothesis has previously exercised control of the

** Ibid., p. 496.**

** Ibid., p. 497.**
operations of discriminate selection and (synthetic) ordering of material to form the facts of and for the problem.  

The hypothesis, the end-in-view serves to discriminate and to evaluate the selection of factual data. Inquiry requires that facts are selected and evaluated as facts of the case. This is a process of appraisal. The end-in-view serves as a guide in determining and controlling inquiry.

Dewey criticized social inquiry that borrows the techniques of observation and record from the physical sciences but overlooks the logical conditions which give observational measures their force. In relation to this point Dewey provided a justification for social inquiry which addresses the practical.

He began his justification by considering the problems of social inquiry. The first of these is the institution of problems. Dewey maintained that social inquiry should attempt to solve problems, to yield projected consequences.

In fine, problems with which inquiry into social subject matter is concerned must, if they satisfy the conditions of scientific method, (1) grow out of actual social tensions, needs, "troubles"; (2) have their subject matter determined by the conditions that are material means of bringing about a unified situation, and (3) be related to some hypothesis, which is a plan and policy for existential resolution of the conflicting social situation.  

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90 Ibid., p. 498.
91 Ibid., p. 499.
Another issue Dewey considered among problems of social inquiry is the determination of facts. A problematic situation is resolved by the interaction of existential conditions. Therefore, facts need to be assessed for their dual functions as obstacles to resolution or as resources to transformation of the problematic situation. Existing conditions operate negatively or positively in relation to the end-in-view. But these conditions are not fixed, they are in the process of change. The purpose of observation of conditions is to identify intervening actions which will result in consequences to resolve the situation, the end-in-view.

Every social phenomenon, however, is itself a sequential course of changes, and hence a fact isolated from the history of which it is a moving constituent loses the qualities that make it distinctively social."\(^\text{2}\)

Propositions determine the sequence of events, the facts to be taken account of, but as these facts are understood in terms of general propositions they lose their unique particular existence as historic facts. This movement of events of the constituent facts of the case means that there are many possible interpretations in the abstract.

The meaning is that any problematic situation, when it is analyzed, presents, in connection with the idea of operations to be performed, alternative

\(^{2}\) Ibid., p. 501.
possible ends in the sense of terminating consequences. 93

While the physical sciences attempt to resolve situations, they do not have the difficulty that social inquiry has in that the interaction of constituent elements to resolve social situations requires organized association of people who will enact the operations.

Further, Dewey maintained that values play a problematic role in the inquiry process if they are imported into the inquiry process without themselves being inquired into.

Social inquiry, in order to satisfy the conditions of scientific method, must judge certain objective consequences to be the end which is worth attaining under the given conditions. 94

Dewey gave three logical conditions of conceptual subject matter in the process of social inquiry.

(1) the status of theoretical conceptions as hypotheses (2) have a directive function in control of observation and ultimate practical transformation of antecedent phenomena, and which (3) are tested and continually revised on the ground of the consequences they produce in existential application. 95

Fact finding procedures are factors in determining problems and providing data to test hypotheses. Dewey

93 Ibid., p. 502.
94 Ibid., p. 503.
95 Ibid., p. 506.
attributed the failure of progress in social sciences to the separate and disconnected activities of fact finding and establishing theoretical ends.

The immature state of social inquiry may thus be measured by the extent to which these operations of fact finding and of setting up theoretical ends are carried on independently of each other, with the consequence that factual proportions on one side and conceptual or theoretical structures on the other are regarded as final and complete by one or the other school. 96

Dewey warned that directing conceptions tend to become assumptions which go unexamined. He suggested that acceptance of conceptual frameworks is the most significant fault in social inquiry, as it was practiced. In addition, he expressed concern that these formative conceptions should be structured into explicit formulated propositions. It is only through this propositional formulation that concepts are translated in terms of consequences. The consequences of operations defined in propositions provide the test for conceptual frameworks. Without this reality testing, ruling concepts are justified by reference to custom, tradition, or special interests.

While Dewey agreed with critics of the social sciences that social subject matter is not easily subjected to the experimental method of science, he believed that it should be.

96 Ibid., p. 507.
For (1) it represents the adoption of one of a number of alternative conceptions as possible plans of action, and (2) its execution is followed by consequences which, while not as capable of definite or exclusive differentiation as in the case of physical experimentation, are none the less observable within limits, so they may serve as tests of the validity of the conception acted upon."

Dewey was emphatic that the logic of social inquiry is fundamental to practice. Social inquiry is relevant to the formulation of genuine problems, discriminating facts, ordering facts, testing hypotheses. In addition, Dewey stated that understanding facts is an aspect of the determination of relations among facts.

The particular set of relations which is relevant to the problem...has to be determined. Relevant theoretical conceptions come into play only as the problem in hand is clear and definite; that is theory alone cannot decide what set of relations is to be instituted or how a given body of facts is to be understood."" 

The consequences of the interrelating operations give significance to the component parts, entities, facts. The determination of working or operating relations can only be tested in practice.

....only as social facts are related together and hence understood, on the basis of their connection with differential consequences that are effected by definite plans or dealing practically with the phenomena: - the plans, once more being hypotheses

97 Ibid., p. 509.
98 Ibid., p. 511.
directive of practical operations, not truths or dogmas."

In summary, Dewey concurred with the perspectives of traditional empiricism and rationalism in that they each recognized significant aspects of reality. However, the former with its emphasis on reality as material substance and the latter with its emphasis on mind as the source of reality both missed the point that Dewey stressed - that the knowing serves as a basis for action and is not an end in itself.

Dewey argued that traditional theory, empiricistic and rationalistic, held that propositions are only declarative or enunciative of that which is said to exist. In contrast, Dewey asserted that declarative propositions, either of facts or principles, are means for projecting an end-in-view. They serve in judgments of practice and are not ends in themselves. Inquiry has the practical function to change conditions antecedent to the inquiry which are problematic. The transformation of the inquiry occurs as the antecedent situation is resolved. The process of ascertaining the facts of the case, determining the truth of relations of meanings, is subordinated to the end-in-view, which is the unification and integration of the antecedent situation.

The position taken here holds, on the contrary, that declarative propositions, whether of facts or of conceptions (principles and laws) are intermediary means or instruments (respectively

"Ibid., p. 512."
material and procedural) of effecting that controlled transformation of subject-matter which is the end-in-view and final goal of all declarative affirmations and negations.¹⁰⁰

According to Dewey, inquiry has a practical function to change conditions antecedent to the inquiry. The transformation occurs as the antecedent situation is resolved. The process of assessing the facts of the case, determining the relations of meanings, is subordinated to the end-in-view which is the resolution of the problematic situation.

The intellectual question is what sort of action the situation demands in order that it may receive satisfactory objective reconstruction.¹⁰¹

The issue of the deliberation process is the existence of a new situation. The judgments of what to do to better the situation are instrumental, intermediary judgments, influenced by factual determinations of declarative propositions. The significant characteristic of deliberation as a process, is the institution and study of alternative courses of action and their consequences. The role of hypothetical propositions is functional in determining and assessing the projected consequences of action. For example, taxonomies are only valuable as they serve to enable inquiry; they have no value in themselves.

¹⁰⁰ Ibid., p. 160.
¹⁰¹ Ibid., p. 161.
...in the actual work of science taxonomic disjunctions are so regularly treated as purely instrumental devices as to lose all independent standing. It would hardly be an exaggeration to say that emphatic regard for taxonomy exposes a given worker to something approaching contempt on the part of scientific workers in more advanced fields.\textsuperscript{102}

Dewey noted that each proposition of the inquiry serves as a means for deciding action. Specialists in particular fields work from an established set of alternative propositions; these function as tools do for the artist.

\textsuperscript{102} Ibid., p. 171.
Summary

In summary, the implementation of educational reform proposals is a social phenomenon and as such it is subject to the theoretical problems which have troubled inquiries into social phenomena in general. Conflict over theory proper to inquiry into social subject matter has impeded progress in conceptualizing the field. Theoretic orientations: empiricism, phenomenology, critical science, do not separately provide direction for practice.

Thought, according to Dewey, is oriented to action, to consequences, and is not an end in itself. Judgments of practice yield warranted assertions which guide man's action in the world. The rules or "laws" which govern this social action are the result of repeated interactions which become conceptualized and serve thereafter as principles. So it is with the rules of logic. For Dewey, they are not given a priori, but are conceptual principles derived from experience, expressing relations of meaning.

The model for critiquing planning documents takes the contingency perspective and the Parson's construction of organizational levels as the conceptual mapping for the process of critique. Dewey's theory of inquiry serves as the pattern for examining the planning document which is conceptually screened by the organizational framework. That pattern consists of study of the problem addressed by the plan - the antecedent situation; examination of the proposed -
solution the end-in-view; scrutiny of the proposed actions to achieve the end - means. The organizational matrix guides the inquiry into the plan to identify points of vagueness, incompleteness and imprecision across the whole field of the organization. While the matrix serves as a conceptual mapping, Dewey's formulation directs the pattern of the inquiry to penetrate the depth of meaning in each of the component parts of the plan.

The purpose of critique has been examined in the context of the larger issue of methodology appropriate for the social sciences. The problem of integrating conceptual and factual elements was considered as a factor in positivistic, phenomenological and critical science approaches to "knowing" objective reality. Dewey's theory of inquiry was explained as method for integrating conceptual and factual matter not to determine truth or objective reality but as a basis for solving problems. Dewey argued that the object of thought is not truth but a warranted assertion concerning the resolution of an indeterminate situation.

The model for critiquing planning documents for the implementation of educational reform proposals uses an organizational framework as the conceptual mapping for a process of inquiry. The process of inquiry guides the examination of the plan to assess the definition of the problematic situation, the formulation of the solution and the statements of means. While the organizational mapping limits
and defines the scope of the inquiry, the pattern of inquiry controls the sequence and the depth of the critique.
Section Three - Elements of the Contingency Model

General Overview

The model proposed is designed to serve as a mapping device to trace the logic of plans developed for the implementation of educational reform proposals. As a mapping device the model can serve as a structure for developing planning documents and as a screening mechanism for critiquing the logic of developed plans. For purposes of this study, the model is used as a conceptual framework for critiquing plans developed to guide the implementation of educational reform proposals.

The model casts four organizational variables: task, structure, technology and actors into a frame against three organizational levels of control: the institutional level, the managerial level and the technical level. The mapping of these organizational variables in relation to organizational levels of control yields a grid indicating points of inquiry for assessing the clarity, comprehensiveness and explicitness of implementation plans. (Figure 3)

The model brings into focus key elements which are factors in the organizational change process. As a conceptual framework for critique, the model discloses the change strategy embedded in a developed plan. Not only should the strategy for change surface through the screen of the model, but the perspective of the model should lead inquiry into the premise of that strategy and into possible alternatives to
that strategy. The model should clarify the tasks of organizational levels, the structuring of those levels to achieve tasks, the technology applied to accomplish tasks and roles of actors defined to perform tasks.

The view of the organization incorporated in the model is adapted from Harold J. Leavitt’s scheme for understanding organizations in change.

Roughly speaking, task refers to organizational raisons d'être - manufacturing, servicing etc. including the large number of different, but operationally meaningful, subtasks which may exist in complex organizations.

By actors I mean mostly people, but with the qualification that acts usually executed by people need not remain exclusively in the human domain.

By technology, I mean technical tools - problem solving inventions like work measurement, computers, or drill presses. Note that I include both machines and programs in this category, but with some uncertainty about the line between structure and technology.

Finally, by structure, I mean systems to communication, systems of authority (or other roles) and systems of work flow.103

Leavitt mapped organizational elements to suggest their interactive relationship as indicated in Figure 4.

![Diagram of Organizational Elements](image)

Figure 4 Organisational Elements

The model is designed to capture the functions of organizational variables defined by Leavitt for each of the three organizational levels identified by Thompson. Thus the model serves as a logical map of the organizational terrain. While each of the variables is conceptually distinct, one cannot define the variables operationally without reference to other variables. As a result, the descriptions and explanations of the variables contain some repetitions.
Technology

The term, technology, as used in this study, signifies the full range of techniques employed to achieve ends. The term refers to operations, materials and knowledge serving as means to accomplish organizational tasks. This concept of technology emphasizes the scope of technique and reflects Ellul’s (1964) belief that technique consists of the ensemble of practices by which resources are used to achieve values. Technology serves ends as means; however, means can become ends in themselves.

The influence of technology on organizations was marked by Veblen and Marx; the pattern of influence was described by Toynbee (1956), Mead (1955), Dubin (1958), and Stinchcombe (1965). While it is now commonly recognized that technology shapes the organization, Hunt (1973) observed that as late as 1964 technological variables had not been built into organizational theory. Contributions in this area emerged from the work of Bell (1967), Perrow (1967), Harvey (1968), Whyte (1969) and Pugh and Hickson (1969).

That technology is a significant influence shaping organizations is accepted as a broad generality. However, analysis of the contributing concepts and empirical testing of the impact of technology on structure, have yielded mixed

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results. Fry (1982) identified five different definitions for the term, technology as it has been applied in studies:

(1) Technical complexity (Woodward, 1965)
(2) Operations technology and operations variability (Hickson, Pugh and Pheysey, 1969)
(3) Interdependence (Hrebiniak, 1974)
(5) Manageability of raw materials (Mohr, 1971)

These are not contradictory constructs; rather each view emphasizes an aspect of technology. While it is beyond the scope of this review to detail each of these constructs, the review gives an explanation of these emphases as they are incorporated in the perspective of the model.

A key insight that spurred formulations about technology's function in the organization was Perrow's categorization of routine and nonroutine processes.

He stresses a kind of 'cognitive' conception of technology working as a system of cues (that may vary in clarity) which signal the initiation of performance routines (that also may vary in their degree of explicit 'programming' and involve provision for handling exceptions that may be procedurally more or less routinized. The notable feature of this construction is that regardless of how this construction is that regardless of how complicated or elaborate, a system may be viewed as technologically routine to the extent that:

(1) The signals that initiate its processes are unambiguous;
(2) The performance processes so cued are programmed; and

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(3) When faced with exceptions not covered by regular performance routines, search processes and problem-solving methods are programmed.\textsuperscript{106}

Perrow's conception of types of technology was characterized by Hunt as a cognitive construction. Integrating Perrow's construct with Miller, Galanter and Pribham's (1960) cybernetic model of problem solving, Hunt concluded that, "...technological complexity is a function of the frequency with which problems (exceptions) confront organizational operations and the practical difficulty and degree of individual discretion or judgment required in resolving or finding solutions to them."\textsuperscript{107}

Using Miller, Galanter and Pribham's construct, Hunt concluded that regardless of the material used, the concrete complications of a technology, the complexity of technology is due to the degree of routinization, integration, or mechanization. For example, operations which require the cooperation of diverse units of the organization may not be easily integrated and are therefore technologically complex.

We may say, that the technological complexity is a function of the frequency with which problems (exceptions) confront organizational operations and the practical difficulty and degree of individual discretion or judgment required in resolving or finding solutions to them.


\textsuperscript{107} Ibid., p. 171.
discretion or judgment required in resolving or finding solutions to them.\textsuperscript{108}

Thompson (1967) defined technology as those instrumental activities which are believed to be capable of achieving desired ends. Two criteria are applied to determine technical rationality: instrumental and economic criteria. The instrumental criterion assesses techniques for capacity to achieve ends; the economic criterion estimates the relative cost for the use of the technology. Thompson observed that the economic criterion has been stressed and the instrumental criterion has been deemphasized in the literature.

Thompson distinguished three types of technology: long-linked, mediating, and intensive. Long-linked technology is characterized by serial interdependence; instrumental actions performed in a linear sequence. Educational activities at the technical level are frequently framed in a sequential order resembling long-linked technology. However, it is often not certain that action "$A$" is necessary as an immediate prerequisite to action "$B". Educational practices are frequently set in sequences that suggest that prior steps are requisite to achievement in subsequent steps. But these cases should be carefully scrutinized because formalized practice marked by strict sequences may have little instrumental value and in fact little economic utility. For example, it is commonly accepted practice that districts adopt and use text

\textsuperscript{108} Ibid., p. 171.
book series for teaching reading and mathematics. This is in part due to the "necessary" sequencing of skills instruction during the elementary grades. The use of published series is both an example of long-linked technology and mediating technology.

Thompson defines mediating technology as organizational methodology which standardizes treatments for clients. Standardized methods are developed to establish categories which sort the clients, allowing the organization to complete transactions with numbers of individuals. Particular treatments customized for each client would prevent the organization from exchanging goods and/or services with the many.

Standardization makes possible the operation of the mediating technology over time and through space by assuring each segment of the organization that other segments are operating in compatible ways. It is in such situations that the bureaucratic techniques of categorization and impersonal application of rules have been most beneficial. (Weber, 1947; Merton, 1957)\(^{10}\)

Standardized texts in reading and mathematics were originally established to correspond with grade groupings. The entire grade was provided instruction through one text. In time this practice proved inefficient as grades did not cluster uniform achievement groupings. As a result, complex management systems for grouping students within each class

\(^{10}\) Thompson, *Organizations in Action*, p. 17.
have become common practice in elementary school classes. Further, multiple groupings within classes have aroused concern about the amounts of instructional time allocated for groups. Techniques such as the use of published texts have become so embedded in practice that they are taken-for-granted aspects of the organization. The application of the model which raises to question technologies proposed or assumed for implementation, should surface questions about instrumental and/or economic value of accepted techniques.

Educational organizations typically use mediating technologies in reporting systems, pupil records, standardized tests, etc. These technologies provide criteria for determining and establishing categories of students. These categories then serve to group students for treatments purportedly fitting their types. The model identifies mediating technologies designed to achieve educational purposes and it assesses the processes of classification and the treatment proposed. For example, districts have policies and procedures for identifying and classifying special education students. This process uses supposedly standardized methods to identify these students. However, educational treatments may not be clearly different from treatments applied to non-classified students. In fact, on close examination, treatments may vary only in the structuring of instruction in small groupings.
Thompson defines intensive technology as the application of a variety of techniques according to feedback from the object under treatment. This is a customized technology fit to the special requirements of the case. The technique involves access to specialized skills which are then applied as the object indicates.

The development of military combat teams, with a multiplicity of highly skilled capacities to be applied to the requirements of changing circumstances, represents a shift toward the intensive technology in military operations (Janowitz, 1959).110

It is common practice in school districts to establish committees to accomplish a specific task or to solve a particular problem. For example, an implementation plan may propose the creation of a committee of teachers to develop a curriculum project. It will be supposed that teachers have special expertise because they specialize in a given discipline or because they know the response of students to various instructional techniques.

Thompson differentiated three types of technology: long-linked, mediating, and intensive; these types are distinguished by structural variations in their operations. Thompson’s construction is a form of operations technology meaning the equipping and sequencing of activities of the

110 Ibid., p. 18.
workflow. Workflow refers to the production and distribution of output.

Hunt identified three component aspects of technology: operations, materials, and knowledge. Materials technology, a concept developed by Perrow, signifies actions an individual performs upon an object when the work sequence is driven by the nature of the raw materials inherent in the object. Note that this concept is implicit in Thompson's explanation of intensive technology but differs in that Perrow's concept does not include the necessity for combined and simultaneously applied expertise of a number of agents. Perrow's concept of materials technology can be applied to the work of an artist who alone performs operations in response to the materials at hand.

Knowledge technology refers to the number of exceptional cases encountered in the work process. While Perrow viewed the ability to understand the raw material as dependent upon the nature of the raw material itself, Hickson, Pugh and Pheseay (1969) distinguished between the object itself and the knowledge needed to perform operations on the object.

Hunt noted that Thompson's classification of technology was based on the through-put or conversion process. In Hunt's classification, through-put or conversion processes fall under the category of operations technology. Hunt observed that

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input and output systems as well as through-put processes can be used as the basis for categorizing technologies. However, Hunt argued that the linkage or connection between input, through-put, and output is a sequence of technology.

...the operations by which inputs - raw materials are introduced into a system describe a technology and the same is true on the output (product) side. This fact, plus the other consideration that conversion processes in an organization must be relative to the input and output to and from the system (e.g. knowledge of the raw materials and product specifications) strongly suggest that the input-conversion-output cycle represents a single basic technological sequence or organizational substrate.112

The technologies used to convert inputs, through-puts and outputs comprise the "basic endogenous operational properties," according to Hunt. These operational processes are distinguished from structure. Emphasis here is on the concept of operations, functions as distinct from structure which depicts a framework of relations between and among organizational elements. This distinction is particularly significant as the two concepts are central to the proposed model. Depicting the structure of the organization is analogous to taking a still photograph of the patterns of relationships of elements at a given point in time. In contrast, the concept of technology as a process encompassing operations, materials and knowledge captures the motion of the

112 Ibid., p. 165.
organization. Both of these perspectives are merely different views of organizational phenomena.

Applying these key ideas about technology, the model structures inquiry into the kind of technology projected in the plan. The nature of the technology is assessed by determining: type - long-linked, mediating, intensive; values - instrumental, economic; operations, materials, and knowledge demanded by the technology. Of course the value of the technology can only be judged in light of the task to be accomplished.

For example, a district might propose to implement a program to improve student attendance by using an automated phoning system with a pre-recorded message to communicate student absence to parents. While the use of computer technology to communicate may save resources in time, energy, and money - economic value, the technique may have low instrumental value. In fact, the technique may exacerbate school problems. The technology, a standardized method for dealing with students is a mediating technology. However, the technique may increase alienation of students and parents, contributing little to solving the problem of student absenteeism. This is a case in which the technical process may have impact on the structure of relations. The pattern of relations established through impersonal technology in a situation which warrants close personal knowledge of students may have negative effects on the organization as a whole.
The case indicates the linkage between technology and structure. The model indicates that adjustments and modifications will occur in other variables whether they are intended or not anticipated by planners. In short, as a technique is proposed the model directs inquiry into possible adjustments in each of the other system variables. Further, the model directs inquiry into the impact of change on each of the variables for each of the organizations's levels.

The distinction between structure and technology is conceptual, as has been stated above. In experience these subsystems interact and merge. The model drives the inquiry to both capture the interaction between these interconnected variables and to assess their relationship for a particular situation.

We should hardly be surprised to find a good deal of interdependence in these relationships. Indeed, the expectation is implicit in the now common characterization of organizations as sociotechnical systems.\footnote{Ibid., p. 166.}

Hunt observed that it is the problem solving task, not the material technology, which poses difficulties for the organization, and that Perrow claimed that the management of exceptions to programmed routine operations is relegated to the structure of the organization. As technical operations become uncertain, the pattern of related elements (structure) is, or should be, modified to absorb the non-programmed
techniques. This shift to restructuring to manage exceptional cases is a familiar practice in school organizations. For instance, disciplinary matters are generally handled at the classroom level. However, in cases of unmanageable student behavior, it is common practice to forward such students to the administrative level.

...the decisive structural determinants are apt to be associated with the handling of exceptions to task programs. The frequency of such exceptions, of course will not be unrelated to material technology, but it still may not parallel it closely - very complicated material technologies may for instance, be highly programmed. But, in any event the more crucial consideration would seem to be the importance of exceptions to the viability of the organization and how these exceptions can be handled by it.114

The implication of this conceptualization for critiquing plans is that educational organizations beset by "exceptions" to routine programs i.e., discipline, attendance, student achievement, should account for structures sufficient to manage the so called exceptional cases. The establishment of alternative schools is an example of the organization elaborating structures to absorb exceptions to regular programmed processes. Urban high schools confronted by severe problems and routine exceptions to routine programmed processes, need to construct structures which are capable of "treating" these exceptional cases. However, Hunt observed that planning in the sense of rational development of

114 Ibid., p. 171.
structures to accommodate technologies is often more apparent than real.

Undoubtedly, much ostensible organizational analysis and design does represent a sort of managerial doodling instigated by external affiliations, motivated by managers' desires to display virtuosity, or motivated by their needs to 'keep up with the Joneses.'

The judgment about fit or structures to technology is not proven by empirical findings. Research studies have examined organizational technologies in relation to authority structure and have discovered limited connections between these variables. Hickson, Pugh and Pheysey (1969) tested the broad hypothesis that organizational technology is strongly related to organizational structure but found that the "technological imperative" was not supported. While operations technology was associated with structural variables immediately connected to work flow this technology was not related to the broader structure of administration of the organization. These findings do not contradict the premises of the model's framework since the framework suggests that each level of the organization utilizes technology(ies) appropriate to it. Therefore, the structure of the managerial level is influenced by technologies used by that organizational level. Hickson, Pugh and Pheysey found that operations technology did influence structure in small organizations.

118 Ibid., pp. 173-174.
Thus the smaller the organization the more completely its structure is pervaded by the immediate effects of this (operations) technology: the larger the organization the more these effects are confined to variables such as the proportion employed in activities that are specifically related to work flow, and technology is not related to the wider administrative and hierarchical structure.\textsuperscript{116}

In summary, the technology defined by the model includes materials, operations and knowledge to be used in the conversion process. The conversion process is structured by the level of uncertainty, the exceptions, the problems involved in transforming inputs at the subsystem level. In response, the organization, through managerial selection, adopts conversion processes which are long-linked, mediated, or intensive in structure.

It is anticipated that technologies prescribed or implied in planning documents will reference particular situations and a wide range of techniques. However, the model should drive the critique to penetrate through the contents of the plan to identify technologies that are either given or taken-for-granted. The model is constructed to uncover implied techniques that are assumed in the plan. These technologies can remain unconscious and powerful forces in the every day experience of schools.

The generic questions directed by the framework of the model lead to inquiry at increasingly specific levels. They are merely starting points for the critique.
Generic Questions

. What materials are used in the conversion processes which are prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the organization?

. What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the organization?

. What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial and technical levels of the organization?

. What are the uncertainties, exceptions, and problems involved in the conversion processes prescribed explicitly or implicitly for the institutional, managerial, and technical levels of the organization to effect the implementation of the change?

. In relation to the identified uncertainties how are the conversion processes to be structured i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional, managerial, and technical levels of the organization?

Structures

Structures are patterns, rules which regulate the relations of elements of the whole. The term, organizational structure, is usually applied to the system of authority relations represented on an organizational chart. The term, as it is used here, carries broader meaning. Lorsch (1973) distinguished two forms of organizational structure: authority relations and operating mechanisms.

Managers also can reinforce the intent of their basic structural design through what we call operating mechanisms. Operating mechanisms include such factors as control procedures, information
systems, standardized rules and procedures, and even spatial relations.\textsuperscript{117}

The model takes the distinction between authority relations and operating mechanisms to identify and cluster the structured systems of control embedded in a plan for implementing change initiatives. The term, control, indicates that structures operate to regulate, to limit, to protect and to expand organizational action. Action occurs at the institutional, managerial, and technical levels of the organization; it is enacted through technology, actors and task definitions.

Systems of Control

Max Weber conceptualized the principles of bureaucracy. Blau and Scott (1962) summarized the characteristics of these bureaucratic structures of control.

(1) Organization tasks are distributed among the various positions as official duties. Implied is a clear-cut division of labor among positions which makes possible a high degree of specialization...

(2) The positions or offices are organized into a hierarchical authority structure. In the usual case this takes the shape of a pyramid wherein each official is responsible for his subordinates’ decisions and actions as well as his own to the superior above him...

(3) A formally established system of rules and regulations governs official decisions and actions. In principle, the operations in such administrative organizations involve the application of these general regulations to particular cases...

(4) Officials are expected to assume an impersonal orientation in their contacts with clients and other officials. Impersonal detachment is designed to prevent the personal feelings of officials from distorting their rational judgment in carrying out their duties.

(5) Employment by the organization constitutes a career for officials...Officials are appointed to positions not elected, and thus are dependent on superiors in the organization rather than on a body of constituents.118

These structures control for maximum technical efficiency. Fayol, Gulick, Urwick, Mooney and Taylor elaborated principles of organization based on technical efficiency. The principles of scientific management link functions of technical tasks to organizational design. Lorsch observed that only Gulick suggested that organizational structure might be fitted to product, territory, and time.119 The human dimension was taken into account only in the sense that limitations of human intelligence could be overcome through division of labor providing specialization.

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118 Ibid., p. 180.
Each individual would have a narrow task which given his limited capacity, he would accomplish in the most technically efficient manner.\textsuperscript{120}

Organizational structure then was driven by the functions of the organization with work allocated to subdivisions. The summed contributions of these subdivisions comprised the achievement of organizational goals. Coordination of the subdivisions was the work of management which operated through a hierarchical system of authority.

This classic design for organizational structure was criticized on several grounds:

First, it provides little help in designing a task with intrinsic motivation. Second, it is of limited value in dealing with multiple levels of work in most organizations. Third, managers have become aware that the management hierarchy is not sufficient as a mechanism to achieve the coordination required in an organization. The goals of individuals and units do not automatically add up to the total goals of the organization.\textsuperscript{121}

The classic bureaucratic structure is built on contradictory assumptions, according to Gouldner (1954). "On the one side, it was administration based on expertise; while on the other, it was administration based on discipline."\textsuperscript{122} Blau and Scott claimed that simultaneous assumptions about expertise and hierarchical controls over decision-making ignore the

\textsuperscript{120} Ibid., p. 181.

\textsuperscript{121} Ibid., p. 181.

conflicts that can arise from dominance of the technical expert.

By emphasizing both expert judgment resting on technical knowledge and disciplined compliance with directives of superiors as the basis for bureaucratic decisions, Weber implies that there is no conflict between these two principles; that is, he implicitly assumes that in every disagreement between superior and subordinate, the superior’s judgment is also the better judgment in terms of technical expertise. This is not a realistic assumption.¹³³

In response to the limitations of the classic management formulations, Likert (1967) and others countered with structural designs which stressed the human side of the enterprise. Motivational factors, it was suggested, should be taken into account in the structuring of work. Those concerned with human dimensions stressed issues about coordination of work, linking work groups as a response to human needs for self actualization.

...they do implicitly suggest that jobs should be divided to give the individual meaningful work over which he can have some feelings of control and influence. According to this view the individual is motivated by self-actualization, and it follows he will seek more complicated and engaging jobs.¹³⁴

In addition, the individual has needs for membership in a social group. Thus, the natural systems view proposed that


the organization build structures to create the cohesion to support this human need.

The contingency perspective holds that structural arrangements cannot be prescribed in a general manner. Structures for coordination, authority relations, division of work, are contingent upon situational factors. Lorsch cited the Burns and Stalker (1961) study of organizations in stable and dynamic states. They concluded that organizations which were successful in a stable industry tended to operate under a mechanistic, formal hierarchical structure, while successful organizations in changing industries tended to have more "organic" less formal structures. Decision-making processes were not strictly centered at upper levels of the bureaucracy. Decisions occurred at lower levels of the organization.

In the more dynamic industry the authors characterize the effective organizations as "organic". Spans of supervisory control were wider; less attention was paid to formal procedures; and more decisions were reached at the lower levels of the organization.125

Lawrence and Lorsch (1967) developed a conceptual framework to analyze the relation of structure to technology and environment. The core concepts of the framework are:

1. Differentiation is defined as the differences in cognitive and emotional orientation among managers in different functional departments, and the

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125 Ibid., p. 182.
differences in formal structure among these departments.

(2) Integration is defined as the quality of the state of collaboration that exists among departments that are required to achieve unity of effort by the environment.\textsuperscript{126}

The concept of differentiation as Lawrence and Lorsch defined it is inclusive of the notion of division of functions for the overall organization but also, and more significantly for the purposes of the model, the concept applies to the variation in the structure of the subsystems of the organization. This addresses the confusion that occurs when analysis is directed to the macro level of the organization as though the organization operated only one general technology. In fact, subsystems operate technologies and develop structures particular to their problems and tasks.

Rather than thinking of division of work as only affecting the economies and efficiencies of task performance, as did the classicists, Lawrence and Lorsch recognized that each unit was itself a subsystem in which members would develop particular orientations and structural patterns, depending on their task and their predispositions.\textsuperscript{127}

Lawrence and Lorsch claimed that the differentiation in and among subunits was dependent upon the level of environmental uncertainty or certainty, confronting subunits.

\textsuperscript{126} Ibid., p. 183.

\textsuperscript{127} Ibid., p. 183.
This concept is substantially identical with the notion of isomorphic fit in which the organization develops structure to match its environment. The study concluded that successful organizations, "...achieved more effective integration around...cr...critical interdependencies than less successful competitors." Further, in successful organizations achieving high integration and high differentiation, the organizations used formal plans, controls, hierarchy, and supplemental integrating methods.

The researchers observed that patterns of power or influence occurred at various levels of the hierarchy.

In the high-performing organizations where conflict was managed effectively, influence was concentrated within each group where the information relevant to the decision was also present. The exact level in any unit depended upon the certainty of information in its part of the particular environment.129

Further, Lawrence and Lorsch observed that the structure of influence varied with the unit's knowledge about environmental conditions critical to the organization's central functions.

The model uses Lorsch's distinction between authority relations and operating mechanisms to map structures given explicitly or suggested implicitly in planning documents. The kinds of structures of authority relations and operating

128 Ibid., p. 187.
129 Ibid., p. 188.
mechanisms projected in the plan are adapted from Weber's and Lorsch's conceptualizations. These relations and mechanisms are classified as integrating or differentiating structures.

It is anticipated that integrating and differentiating structures discerned in plans will reference particular situations and support a wide range of content. However, the model should drive the critique to penetrate through contents of the plan to identify the structures that are either given or implied. The model is constructed to uncover hidden structures that are assumed in the plan. These are the relations and patterns that can remain unconscious and that are powerful forces in the every day experience of schools.

These generic questions directed by the framework of the model lead to inquiry at an increasingly specific level. They are merely starting points for the critique.
Generic Questions

1. What positions and/or units are designated as responsible for tasks prescribed to implement the change at the institutional, managerial and technical levels of the organization?

2. Are positions and/or units given clear-cut tasks establishing specialization of activities to implement the change at the institutional, managerial, and technical levels of the organization?

3. What authority structure is prescribed to control the implementation of activities through positions and/or units at the institutional, managerial, and technical levels of the organization?

4. What control procedures are prescribed to effect the implementation of the change at the institutional, managerial, and technical levels of the organization?

5. What information systems are prescribed to effect the implementation of the change at the institutional, managerial, and technical levels of the organization?

6. What standard rules are prescribed to effect the implementation of the change impacting on the uses of time, space, resources etc. at the institutional, managerial and technical levels of the organization?

Actors

The model indicates that the implementation of a proposed initiative depends upon individual and group performance applying technology and structuring behavior to accomplish organizational tasks. Performance is defined as the product of actors' motivation and ability (Lawler, 1973). If either factor is low, performance as a whole is reduced. Each of the contributing factors is in turn the product of a set of attributes. Thus ability is the result of combined aptitude,
training, experience and talent. As a formula the relations of factors are expressed as:

\[
\text{Ability} = \left[\text{Aptitude} \times (\text{Training} + \text{Experience})\right]^{1/3}
\]

While much interest in organizational theory has centered on motivation as an aspect of performance, factors affecting ability are also significant and should be taken into account in the construction of plans to implement reform proposals. Elements of plans may assume actors' knowledge, training and experience in relation to prescribed technology, structures and tasks. The model directs inquiry into explicit and implicit factors affecting performance. Identifying stated and implied capabilities may be difficult since educational processes are so familiar that complex and interrelated tasks, techniques and structures may be assumed and taken for granted. Thus requisite abilities may also go unnoticed.

Attention to adequacy of ability of actors is important in critiquing plans for the implementation of reform proposals in urban districts where social structures have shifted. For example, Hispanic populations now predominate in some urban school systems. Conventional programs designed to meet the educational needs of bilingual students are generally tailored to supplement or substitute for the "regular" program. Assessing the fit between actors' ability and the task to be performed, the critique should examine the ability of

monolingual teachers to provide instruction to a predominantly bilingual student population. Training in a second language might contribute significantly to teachers' ability to achieve the prescribed organizational task.

On a broader scale national surveys indicate that the academic performance of candidates has declined. States such as Florida and Texas have implemented testing programs to assess basic skills achievement in the existing teaching force; results indicate that some employed teachers are skill deficient. While states have initiated incentive programs to attract academically proficient candidates to the field of education, districts now employing teachers who are not competent in basic skills or content areas cannot ignore without cost, the need to compensate for lack of training and/or to identify and remove staff lacking in requisite abilities. The cost of failing to take into account ability to perform is failure to achieve the task of educating young people.

While deficiencies in training of teachers have been marked in critiques of public school education, the significance of experience as a factor influencing teaching and administrative performance has been largely ignored. Simon (1983) described experience as a process which establishes vocabularies - subconsciously remembered patterns. These patterns enable the individual to rapidly recognize similarities between past and present situations and to sort
through remembered solutions to select solutions to fit present problems.

The mark of the true professional in any field is the rich vocabulary of patterns, developed through years of formal education and especially through years of practical experience. The experienced doctor, the artist, the machinist, all have rich pattern vocabularies - Simon is now calling them 'old friends.'

Interest in the depth and range of experience of staff may reveal that in some urban districts personnel at all levels of the organization have worked almost exclusively in one school district. The pattern of hiring from within or selecting staff from the local community may result in staff with the limited perspective of a single work situation. The range of patterns remembered is then restricted to practices within the specific urban district.

The model raises inquiry into elements of the plan which address the need to expand the wealth of experience accessible to the district through measures designed to involve experienced individuals through direct employment or consulting services. Further, the model examines the elements of the plan developed to enlarge the experience level of existing staff.

In addition to ability, actors' motivation to achieve organizational tasks affects performance. While symptoms of

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low motivation in urban districts are widely recognized, there is little evidence of broad initiatives to raise levels of motivation. Included among symptoms of low commitment are the staggering drop-out rate and high levels of student and teacher absenteeism.

Motivation of teachers has been generally taken for granted even though high staff absenteeism consistently plagues urban districts. While the cost of low commitment can be measured in dollars allocated for substitutes, the cost to student performance is not calculable. In some districts high absenteeism is a critical organizational problem. Some districts are addressing the problem by increasing financial incentives for teacher attendance i.e., payment for unused sick days on retirement. However, in some districts these monetary rewards are not sufficient to overcome the underlying and immediate need to escape the work environment.

The concept of motivation is derived from a prior conceptualization of the nature of human will. Barnard (1968) emphasized that all theoretical constructions about organizations must postulate a position on human freedom of will.

Almost universally in practical affairs, and also for scientific purposes, we grant to persons the power of choice, the capacity of determination, the possession of free will... We observe that persons who have not a sense of ego, who are lacking in self-respect, who believe what they do or think is unimportant,... are problems, pathological cases,
insane, not of this world, unfitted for cooperation.\textsuperscript{132}

In Barnard's construction of organizations as cooperative systems, freedom of will is limited by physical, biological and social factors. When these constraints on freedom of choice are taken into account, organizational arrangements designed to counter these limitations can expand the range of choices for individual action.

... a part of the effort to determine individual behavior takes the form of altering conditions of behavior, including a conditioning of the individual by training, by the inculcation of attitudes, by the construction of incentives.\textsuperscript{133}

Theories of motivation are designed to indicate measures appropriate to harness the human will to serve the goals of the organization. What comprises incentives for actors is the core question addressed in theories of motivation. Three theoretical perspectives explaining motivation dominated the field of psychology prior to the 1940's: instinct theory, hedonism and drive theory.

Instinct theory embraced by Charles Darwin, William James, Sigmud Freud and William McCougall, argued that instincts-innate dispositions determined the individual's attraction to objects.


\textsuperscript{133} Ibid., p. 15.
... we may then define an instinct as an inherited or innate psycho-physical disposition that determines the possessor to perceive and pay attention to objects of a particular quality on perceiving such an object, and to act in regard to it in a particular manner, or at least to experience an impulse to such action.\textsuperscript{134}

Hedonism assumes that the principle governing behavior is attraction to pleasure and rejection of pain. However, hedonism and instinct theory fail to explain why this or that object is perceived as attractive or repelling. In response to this limitation and to the lack of predictive capability of these formulations, drive theory emerged. In this view objects are attractive if they are perceived as reducing drives which create tensions in the individual.

Hull (1943) developed a classification of primary and secondary drives. In his construction primary drives are biologically based. Objects are perceived as rewards as they satisfy primary drives. Secondary drives are associated with rewards indirectly related to the satisfaction of primary drives.

Hull's theory of biologically based primary and secondary drives was built on the premise that deprivation increases drive strength, while satisfaction reduces drives strength. However, Hull's theory that all motivation is linked to primary drives has been criticized.

\textsuperscript{134} Ibid., p. 15.
Hull's basic point about organisms possessing certain primary drives that become stronger with deprivation and weaker with satisfaction still seems valid. What does not seem valid is his argument that all secondary motives are learned on the basis of primary physiological or homeostatic drives.135

Contemporary approaches have retained the concept of deprivation and satisfaction as factors influencing the strength and reduction of drives but they have rejected Hull's claim that secondary drives are related to primary drives. While some researchers have focused on identifying and verifying specific needs which drive human behavior, some others have attempted to construct hierarchies of needs to establish a system to predict human behavior (Maslow, 1954).

Research identifying specific needs has focused on affiliation, achievement and competence motives. For example, Schachter (1959) studied affiliation as a need separate from primary biological needs. Whether this need for human contact is innate or learned, it exists as a factor to be considered in the construction of organizational roles.

... the important point... about the research on the need for social contact is not whether this need is innate or acquired but that it exists in most human beings... Many organizations have discovered - to their sorrow - that jobs that do not provide opportunities for social contact have higher turnover and absenteeism because employees simply cannot stand the isolation.136

135 Lawler, Motivation in Work Organizations, p. 15.
136 Ibid., p. 17.
Adams (1965) identified equity as a factor affecting motivation in work situations.

Inequity exists for Person when he perceives that the ratio of his outcomes to inputs and the ratio of Other's inputs are unequal. This may happen either (a) when he and other are in direct exchange relationship or (b) when both are in an exchange relationship with a third party, and person compares himself to other.  

Adams concluded that perceived inequity will motivate individuals to reduce the differential between inputs and rewards.

Activation theory posits that individuals seek novelty for its own sake. Lawler reported Butler's (1953) study demonstrating that monkeys will learn to open a window just for the reward of seeing activities in another room and that they will repeat this behavior. Thus stimulation alone without attending motivational factors will move individuals to take action. This need for stimulation has been documented in numerous studies.

According to activation theory, people becomes used to a certain level and pattern of stimulation from the environment. For some people this adaptation level may be a relatively low level of stimulation; for others it may be a rather high level. Regardless of where a person's level of adaptation is, however, psychologists hypothesize that deviation from it will have strong impact on the person. Slight deviations will be experienced as pleasurable and rewarding while large deviations

will be experienced as noxious and dissatisfying."

As Barnard noted the organization must structure conditions which limit social as well as physical obstacles to performance. Therefore, the model for critiquing plans to implement educational reform proposals points inquiry to examine the implicit and explicit conditions defined in the plan which enhance or reduce motivation. Social environments in urban school districts may be highly stimulating and this factor may impact on teacher and student absenteeism. While the model indicates inquiry into social factors such as levels of stimulation, opportunities for affiliation and achievement the model does not force these factors to be incorporated in a plan. Rather, the model serves as a screening device to assess elements of the plan to form judgments about its probable utility as an instrument for guiding implementation.

The achievement motive is defined as a desire to perform in terms of a standard of excellence or as a desire to be successful in competitive situations. 138 Lawler concluded that research (Alper, 1946; McClelland, 1951, 1961) supported the contention that the need to achieve is a contributing factor in the high performance in some individuals.

McClelland found that achievement motivation did not influence performance levels for routine or boring tasks

139 Ibid., pp. 20-21.
unless competition was involved. Lawler observed that generally research indicates that achievement motivation operates in situations in which tasks are moderately challenging and a 50% chance of success exists.\textsuperscript{140} Highest levels of achievement motivation are found when tasks are structured to be challenging and competitive.

Achievement motivation appears to be developed through child rearing practices according to McClelland. The strength of the drive to achieve seems to be fostered by environmental factors and is therefore regarded as a learned drive.

The research also suggests that people with a high need for achievement tend to seek out situations in which they can achieve, and they tend to find successful performance attractive once they are in these situations. These points have important implications for the design of jobs in organizations and for the kinds of people that are attracted to jobs in different types of work situations.\textsuperscript{141}

Lawler cited White's (1959) claim that competence motivation influences work performance. Competence is defined as "...the organism's capacity to interact effectively with its environment."\textsuperscript{142} Human competence is achieved through "prolonged feats of learning." The drive for competence is oriented to coping to achieve mastery of the environment.

\textsuperscript{140} Ibid., p. 21.
\textsuperscript{141} Ibid., p. 22.
\textsuperscript{142} Ibid., p. 22.
...to the familiar series of learned skills which starts with sucking, grasping, and visual exploration and continues with crawling and walking, acts of focal attention and perception, memory, language and thinking, anticipation, the exploring of novel places and object, effecting stimulus changes in the environment, manipulating and exploiting the surroundings, and achieving higher levels of motor and mental coordination... Collectively they are sometimes referred to as mechanisms... but on the whole we are not accustomed to cast a single name over the diverse feats whereby we learn to deal with the environment... I now propose that we gather the various kinds of behavior just mentioned, all of which had to do with effective interaction with the environment, under the general heading of competence... it is necessary to make competence a motivational concept...

White maintained that competency motivation operates until a task is mastered and that it declines as a task becomes familiar and routine. Lawler noted that the competence motive is similar to the motives described in activation and achievement theories of motivation.

There is an obvious similarity between White's view of when competence motivation is aroused and the activation theorists' view of how stimulus novelty affects motivation. Both argue for high motivation when somewhat novel situations are encountered. In fact, White says that achievement may be one outcome of the competence motivation.

White claimed that the drive for competence, mastery over the environment is innate, while McClelland argued that the


144 Lawler, Motivation in Work Organizations, p. 23.
drive to achieve was a learned response. It seems that White's concept of competency encompasses a broader field and that McClelland's construction of achievement describes a narrower task orientation. But both refer to the need to master aspects of the environment and both argue that this urge is independent of primary drives.

Maslow's concept of self-actualization extends and deepens the idea of competency and achievement as driving forces. Maslow asserted that the experience of growth and development is intrinsically rewarding and independent of primary drives. He formulated relations of needs in ascending order with the need for self-actualization at the apex of the hierarchy.

(Self actualization is) desire for self fulfillment, namely....the tendency...to become actualized in what he is potentially...the desire to become more and more of what one is; to become everything that one is capable of becoming.\textsuperscript{14a}

Maslow's classification provides a hierarchy of five needs:

1. Physiological needs, including the need for food, water, air, and so on.

2. Safety needs, or the need for security, stability, and the absence from pain, threat, or illness.

3. Belongingness and love need, which include a need for affection, belongingness, love, and so on.

4. Esteem needs, including both for personal feelings of achievement or self-esteem and also a need for recognition or respect from others.

5. The need for self-actualization, a feeling of self-fulfillment or the realization of one's potential.\(^{146}\)

Maslow claimed that lower order needs precede higher order needs. As physiological needs are satisfied, higher order needs emerge to motivate behavior.

Further, the strength of any need is determined by its position in the hierarchy and by the degree to which it and all lower needs have been satisfied. Maslow's theory predicts a dynamic, step by step, causal process of human motivation in which behavior is governed by a continuously changing (through predictable) set of 'important' needs.\(^ {147}\)

Maslow allowed that needs in the middle range of the hierarchy may vary in order of importance according to individual dispositions but order at the lowest level does not vary in order of priority.

Alderfer (1969) proposed a three level hierarchy of needs: existence, relatedness and growth. He argued that lack of satisfaction of higher order needs can trigger lower order needs as motivating factors in behavior.

\(^{146}\) Lawler, Motivation in Work Organizations, p. 28.

\(^{147}\) Ibid., p. 28.
He argues with Maslow's hypothesis that the satisfaction of growth needs makes them more important than less important to people; however, he also hypothesizes that the lack of satisfaction of higher-order needs can lead to lower-order needs becoming more important to people. He then argues that importance of any need is influenced by the satisfaction/frustration of the needs above and below it in the hierarchy. He also assumes that all needs can be simultaneously active. Thus prepotency does not play as major a role in his theory as it does in Maslow's.\(^{148}\)

Lawler concluded that while hundreds of discrete needs can be identified for purposes of understanding motivation in human behavior in organizations six clusters of needs should be taken into account:

1. A number of existence needs - primarily sex, hunger, thirst, and oxygen.
2. A security need.
3. A social need.
4. A need for esteem and reputation.
5. An autonomy or freedom need.
6. A need for competence and self-actualization.\(^{149}\)

This set of needs is hierarchical only to the extent that unsatisfied lower order needs predominate over higher order needs.

As Barnard observed, the organization cannot control the needs of individuals but it can establish conditions to reduce

\(^{148}\) Ibid., p. 29.
\(^{149}\) Ibid., p. 32.
physical, psychological and social factors limiting the individual's will to perform. While theories of need such as Maslow's hierarchy, structure an array of human needs, they do not explain what moves an individual to act in response to particular outcomes.

Drive theory and expectancy theory are frameworks designed to explain the exercise of human choice. Drive theory developed by Hull (1943) explains striving behavior - the impetus for action as based in strength of habit. Hull defined four factors as determining strength of habit:

1. The continuity of the stimulus and response during training.
2. The closeness of the S-R event to a positively reinforcing state of affairs.
3. The number of positive reinforcements.
4. The magnitude of positive reinforcements during training.\textsuperscript{150}

Skinner (1953) claimed that positive reinforcement, rewards for approved behavior shapes future responses. Peters and Waterman (1982) reiterated Skinner's admonition that positive reinforcement should be structured to be specific, immediate, achievable, tangible and intangible, unpredictable and intermittent to achieve positive response from individuals.

\textsuperscript{150} Ibid., p. 43.
Expectancy theory broadens the sources of motivation. In addition to rewards for behavior, individuals may be persuaded that certain actions will have value not merely because they offer personal gain to the individual but because they have merit for other reasons. Expectancy theory developed by Tolman (1932) and Lewin (1935) explained the force of motivation as a result of the strength of perceived positive or negative expectations.

...the strength of a tendency to act in a certain way depends on the strength of an expectancy that the act will be followed by a given consequence (or outcome) and on the value or attractiveness of that consequence (or outcome) to the actor.151

Expectancy theory allows that expectations may develop in a variety of ways but drive theory limits the source of behaviors to learned responses from experience. While this may be the case with animal responses, Lawler observed that in human action there is evidence that learnings derive from vicarious and symbolic connections as well as direct personal events.

Vroom (1964) developed an expectancy theory in relation to organizations. Lawler drew from Vroom's formulation proposing a model built on four premises.

1. People have preferences among the various outcomes that are potentially available to them.

151 Ibid., p. 45.
2. People have expectancies about the likelihood that an action (effort) on their part will lead to the intended behavior or performance.

3. People have expectancies (instrumentalities) about the likelihood that certain outcomes will follow their behavior.

4. In any situation, the actions a person chooses to take are determined by the expectancies and the preferences that person has at the time.\textsuperscript{152}

Lawler concurred with Simon's (1957) view that man operates under limited rationality. Thus the individual cannot trace every possible alternative; he acts in relation to his perceived universe of choices which is limited to fairly simple terms.

The point remains that the behavior of the actor is intended to be rational and appears to the actor to be rational at the time of the action. The behavior represents the actor's best attempt to deal rationally with the world as he sees it. Because of this, his behavior can be predicted if we know how he perceives the situation and how he values various outcomes.\textsuperscript{153}

The organization prescribes roles to perform functions to achieve its goals. Roles define an approved range of choices for the behavior - actions available to incumbents. These choices are oriented to goal achievement and are instrumental in frustrating or satisfying individual needs. In the case of educational organizations roles are generally categorized as

\textsuperscript{152} Ibid., p. 49.

\textsuperscript{153} Ibid., p. 60.
professional and nonprofessional with professional positions providing high levels of discretion a broad range of choices in work performance. Professional roles allow individuals opportunity to satisfy needs for autonomy, achievement and competency. However, professional role definitions which prescribe discretionary behavior may be enacted under conditions which inhibit and limit the exercise of choice. For example, physical, psychological and social conditions in some urban schools may substantially limit the exercise of professional discretion. If the school environment is not safe - threatening basic needs for security, higher level needs for autonomy and achievement will be reduced as the individual is driven to attend to lower order needs.

Peters and Waterman (1982) observed that in organizations which consistently provided employees with opportunities for achievement, success, autonomy, self-actualization, management tended to emphasize the central importance of respect for people over objects. These organizations exhibited patterns which indicated the significance of people in the ultimate performance and achievement of goals.

Peters and Waterman identified common themes running through the operations of these organizations:

- The language is people-oriented...special terms show people in the institutions that the orientation is bone deep.
- Many of the best companies really do view themselves as an extended family.
There is an apparent absence of a rigidly followed chain of command.

Information is readily available.

Small scale operations are favored over large bureaucratic systems.

Respect for the individual is a deeply ingrained philosophy.

There is careful socialization of incoming managers.

The Peters and Waterman study of effective corporations identified consciously intended organizational arrangements designed to build a system which values the individual and thereby improves performance. Examination of these arrangements indicates that each is fitted to correspond to higher level needs i.e., affiliation, autonomy, achievement and self-actualization.

The model for the critique of plans searches elements of a proposed plan to discern the match or fit between projected arrangements and performance related needs such as achievement, affiliation, success and self-actualization.

In summary, the perspective of the model raises questions concerning factors affecting the performance of actors. Performance is the product of actors' ability and motivation. Ability is the result of an individual's combined aptitude, training and experience. The model suggests that these factors should not be taken for granted.

Motivation refers to the individual's disposition to act. Theories of motivation have been designed to indicate measures appropriate to harness the human will to serve the goals of the organization. There is general agreement that the source of motivation is a set of human needs ranging from basic biological needs to higher level needs such as the need to experience achievement or competency. There is also agreement that the satisfaction or deprivation of needs triggers individual action. There is dispute among theorists concerning categories of higher level needs and the relation between and among these categories. Maslow's formulation is commonly used in discussions concerning educational organizations:

1. Physiological needs, including the need for food, water, air, and so on.

2. Safety needs, or the need for security, stability, and the absence from pain, threat, or illness.

3. Belongingness and love needs, which include a need for affection, belongingness, love and so on.

4. Esteem needs, including both for personal feelings of achievement or self-esteem and also a need for recognition or respect from others.

5. The need for self-actualization, a feeling of self-fulfillment or the realization of one's potential.\textsuperscript{155}

\textsuperscript{155} Lawler, \textit{Motivation in Work Organizations}, p. 28.
Lawler's construction is oriented to consideration of needs in relation to the work organization. His classification separates higher order needs related to work performance. For this reason Lawler's formulation is incorporated into the model:

1. A number of existence needs - primarily sex, hunger, thirst, and oxygen.
2. A security need.
3. A social need.
4. A need for esteem and reputation.
5. An autonomy or freedom need.
6. A need for competence and self-actualization.\(^\text{155}\)

Striving behavior whereby the individual persists or pursues an object with force or intensity has been explained through a limited stimulus/response framework and on the broader construction of expectancy theory. Expectancy theory posits the strength of a tendency to act as dependent upon the individual's projection of positive benefits. These benefits can be anticipated on the basis of past experience and through projections developed through assessing probable outcomes of actions.

Vroom (1964) developed expectancy theory related to organizations; Lawler's formulation is derived from Vroom's

\(^{155}\) Ibid., p. 32.
classification. Lawler’s construction is incorporated into the model proposed for critiquing educational plans:

1. People have preferences among the various outcomes that are potentially available to them.

2. People have expectancies about the likelihood that an action (effort) on their part will lead to the intended behavior or performance.

3. People have expectancies (instrumentalities) about the likelihood that certain outcomes will follow their behavior.

4. In any situation, the actions a person chooses to take are determined by the expectancies and the preferences that person has at the time.\(^{157}\)

In their study of high performing organizations, Peters and Waterman identified common themes in organizational behaviors geared to increase productivity through people. These included immediate and specific rewards and practices which provided individuals opportunity to satisfy needs for affiliation, achievement, autonomy and self-actualization.

- The language is people-oriented....

- Companies view themselves as an extended family.

- Absence of a rigidly followed chain of command.

- Information is readily available.

- Small scale operations are favored...

\(^{157}\) Ibid., p. 49.
Respect for the individual is an ingrained philosophy.

Careful socialization of incoming managers.\textsuperscript{158}

The model is structured to raise questions concerning performance related elements of the plan. Questions refer to ability and motivational factors implied or stated in the plan. However, not all possible abilities or motivations are considered; abilities and motivations are assessed only in relation to the technologies, structures and tasks projected to achieve organizational tasks defined in the plan.

These generic questions directed by the framework of the model lead to inquiry at increasingly specific levels. They are merely starting points for the critique.

\textsuperscript{158} Peters and Waterman, \textit{In Search of Excellence}, pp. 236-277.
Generic Questions

- What aptitudes are required to apply techniques and to operate within the structures provided in the plan?
- What training is required to apply techniques and to operate within the structures provided in the plan?
- What experience is needed to apply techniques and operate within the structures provided in the plan?
- What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?
- What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and operate within the structures provided in the plan?
- What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and to operate within structures defined in the plan?
- What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan?
- What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and to operate within structures defined in the plan?

Task Definition

General Overview

The model proposed in this study is designed to increase clarity in plans for implementing educational reform. Each of the key variables of the model is a factor influencing the organizational change drawn in planning documents. The fourth
variable of the model, task definition, encompasses the goals, objectives and tasks that specify the ends of the plan.

This overview introduces two aspects of task definition highlighted in the proposed model for critiquing implementation plans. First, the critique examines content of the problem statement governing the selection of tasks. Second, the critique traces the logic linking goals, objectives and tasks establishing the objective arrangements of the organizational change and communicating objective arrangements to agents implementing the reform.

Since the topic is complex, the aspects of task definition are summarized briefly to provide a broad overview of the scope of the subject. Each of these views of task definition is then treated separately in subsequent sections of the review.

The ultimate value of the plan is its capacity to resolve the problem(s) it addresses. The plan as a whole is a hypothesis asserting that if specified tasks are achieved, a problematic situation will be transformed. In the framework of the model these ends of the plan are means to resolve the situation described in a problem statement. This assumes that the problem addressed in the plan is clearly defined. If the problem situation is drawn in vague lines, the logic of the solution cannot be clear.

While the planning document describes the internal activity of the organization in the change process, that
process is designed in reaction to a problem situation which may relate to the environment external to the organization. The external environment may exert political, moral, cultural and economic pressures on the organization. The organization's environment can stretch indefinitely, it can be traced over time, it can be linked to social political even religious influences. Practical action requires that the boundaries of environment are drawn around a limited set of factors. The environment that "counts" according to Thompson is the task environment.

But the notion of environment turns out to be a residual one; it refers to 'everything else.' To simplify our analysis, we can adopt the concept of task environment used by Dill (1958) to denote those parts of the environment which are 'relevant or potentially relevant to goal setting and goal attainment.'

Thompson stated that task environment is determined by the requirements of the technology, boundaries of organizational domain, and composition of the larger environment. The model structures inquiry into these aspects of the task environment using Dewey's theory of inquiry with the Mazmanian/Sabatier framework for analysis of policy implementation. This framework includes technical, statutory and nonstatutory categories of factors influencing implementation strategies. Factors encompass broad categories defining task environment given in Thompson's formulation. They provide discrete and

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189 James D. Thompson, *Organizations in Action*, pp. 27.
specific variables impacting implementation strategies in the public domain. The variables are used as the basis for generic questions structured in the proposed model.

The model requires that the logic of goals, objectives, and tasks should be tested prior to implementation. Tasks may be defined in concrete terms; however, the internal relationship between tasks, objectives and goals may not be clear. In fact no relationship may exist. If the model for critiquing plans ignores the relation between tasks, objectives and goals of the reform, it cannot assess plans as statements of means. The basic issue addressed by the model is not whether the tasks are "do-able," but whether they are worth doing in light of the problem.

Fullan observed that goals, objectives and tasks concerning communication of objective arrangements are a significant factor in the implementation process. The plan should indicate explicit statements defining the meaning of the change for the people involved in the change.

In summary, the proposed model structures the critique of planning documents to raise inquiry concerning three broad aspects of task definition. First, the critique studies the problem definition which presumably drives the logic of proposed goals, objectives and tasks of the plan. That problem statement should indicate aspects of the external environment evoking or constraining organizational change and a definition of the situation to be transformed. Second, the
critique explores the logical relationship between task definition, objectives and goals of the plan. Third, the critique examines the construction of tasks which are designed to insure that actors are informed about the meaning of organizational tasks, objectives, and goals.

In the following sections each of these three aspects of task definition is treated separately. Each is explained in light of relevant literature and research. Following these sections a set of generic questions derived from the literature is provided.

Critique of the Problem Statement

The content of the implementation plan is presumably developed to correct or improve a problematic situation. The plan is shaped to address conditions which are judged unsatisfactory. In the case of educational reform, conditions are sufficiently unsatisfactory to warrant substantial organizational change.

Factors influencing the problem may exist outside the boundaries of the organization in the social, cultural, economic and political dimensions of the broader society. However, the problem statement which defines the nature of the problem(s) addressed must be clear enough to direct a search for alternatives to resolve the problem within the organization. As the model probes the logic of alternatives projected in the plan, the framework must hold the elements of the problem addressed. Since the logic of task definition is
ultimately dependent upon the premises of the problem statement, analysis of a problem statement is presented here as the first matter of concern.

Applying Dewey's perspective, the problem statement provides a description of the problematic situation as a whole.

I begin the discussion by introducing and explaining the denotative force of the word 'situation'. Its import may perhaps be most readily indicated by means of a preliminary negative statement. What is designated by the word 'situation' is not a single object or event or set of objects and events. For we never experience nor form judgments about objects and events in isolation, but only in connection with a contextual whole. This latter is what is called a situation.160

The situation is problematic when it is unsettled or indeterminate. However, all indeterminate situations are not problematic. It is only when the situation "matters" that it may be considered problematic. "A problem represents the partial transformation through inquiry of a problematic situation into a determinate situation."161

Dewey observed that the way in which a problem is conceived decides what specific solutions are entertained and which are dismissed.162 Thus the way in which the problem is conceived is a significant factor in developing a plan which

161 Ibid., p. 66.
162 Ibid., p. 108.
is a stated solution to an educational problem. Dewey states that construction of the problem is controlled by first searching out the constituents of a given situation which are known and settled. The "facts of the case" are established. These "facts" constitute the terms of the problem. Dewey noted that the facts of the case constitute the terms of the problem because "they are conditions that must be reckoned with or taken into account of in any relevant solution that is proposed." 163

It is important to recognize that Dewey did not consider facts as atomistic bits of realia. He emphasized the need to formulate a conceptual construction in order to discover and recognize "facts." In stating the need to determine the facts as terms of the problem, Dewey was not expressing a naive empiricism in which facts have natural standing without a governing ideational frame.

At this juncture it is relevant to introduce Dewey's distinction between common sense and scientific inquiry. The distinction is useful here because the conditions that are "reckoned with or taken into account" in the construction of the problem statement should be selected on some basis of scientific inquiry and not merely selected on the grounds of tradition or custom. The danger of accepting as premises of the problem, the modern equivalent of the old wives tale is very real. For example, the notion that change will not occur

163 Ibid., p. 109.
unless it is generated from the grass roots is held as a tenet among many educators. This assumption is an unexamined and unfounded belief until it is supported by factual evidence. Defense of the proposition on grounds of "common sense" does not justify the assertion. It may be found that many of the "principles" which guide the formulation of a problem concerning educational reform are merely unexamined assumptions or common sense notions.

Dewey observed the difference between common sense and scientific inquiry "... resides in their respective subject matters, not in their basic logical forms and relations" and in the ends or objective consequences they are designed to accomplish. Common sense problems form a system.

They form a system but the system is practical rather than intellectual. It is constituted by the traditions, occupations, techniques, interests and established institutions of the group ... Only those things of the environment are taken, according to custom and tradition, as having connection with and bearing upon this life, enter into the meaning system.

In contrast, Dewey argued that in scientific inquiry "... meanings are related to one another on the ground of their character as meanings, freed from direct reference to the concerns of a limited group." In science meanings are

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164 Ibid., p. 114.
165 Ibid., p. 115.
166 Ibid., p. 115.
determined in relation to other meanings. Here Dewey really makes the case for structuralism. He takes the view that objects have meaning only in the pattern of their relations to each other and determining these relations is the focus of scientific inquiry. Thus, the assertion that change must generate from the grass roots or "bottom-up" approach would be tested and "proved" in relation to other meanings - facts and conditions. In other words the assertion would be subjected to scientific inquiry to elevate its status from a common sense approach. Using Dewey's distinction between common sense and scientific inquiry, the critique scrutinizes the problem statement to determine if it takes a common sense approach to the situation or if it establishes an examined and supported set of concepts and facts defining the problem situation.

In summary then the model takes into account Dewey's emphasis on scientific inquiry as method in the construction of a problem statement. Further the model incorporates three considerations derived from Dewey's formulation for the construction of the problem definition. These are listed below and then treated in relation to organizational studies relevant to the model:

1.1 The problem describes the contextual wholeness of the problem situation.

1.2. The facts of the situation are given as the terms of the problem.
1.3. The problem definition states or implies the structure—the relationship of elements of the problem to the whole situation.

**Contextual Wholeness – Task Environment.** The model directs inquiry into the environment of the organization and the internal functions of the organization. Using Thompson's perspective, the environment which is relevant is the task environment of the organization. That environment is determined by the requirements of the technology, boundaries of the organization, domain and the composition of the larger environment.

Thompson argued that the establishment of organizational domain is not a unilateral function of the organization. Setting organizational domain is a consensual process, an exchange between the organization and its supporters in the environment.

Domain consensus defines a set of expectations both for members of an organization and for others with whom they interact, about what the organization will and will not do. It provides, although imperfectly, an image of the organizational role in a larger system which in turn serves as a guide for the ordering of action in certain directions and not in others.\(^{167}\)

Identifying and accounting for the task environment is significant to the development of the problem statement because elements of that environment may serve as obstacles to

\[^{167}\] James D. Thompson, *Organizations in Action*, p. 29.
organizational goal achievement or as opportunities which were overlooked prior to the inquiry. Thompson claimed that an organization is dependent upon some element of its task environment:

(1) in proportion to the organization's need for resources or performances which that element can provide and,

(2) in inverse proportion to the ability of other elements to provide the same resource or performance.\textsuperscript{168}

Thompson describes the relationship between the organization and the task environment as one of exchange. The organization receives needed resources, support, inputs as it offers outputs desired by elements in the task environment. This exchange between the organization and elements in the task environment deserves close examination. The relationship can strengthen or distort the mission of the organization. For example, many urban school districts have used federal and state funds for disadvantaged students to hire community members to assist in classrooms. This practice mollified community concerns and presumably strengthened the relationship between the school and community groups. However, the establishment of this role has not been shown to have improved student performance. The use of millions of dollars to buy services which are not proven to be useful for

\textsuperscript{168} Ibid., p. 30.
task achievement is a distortion of the organization’s primary mission to educate the young.

The question of the relationship between the organization and the environment has been the interest of research on policy implementation strategy. Mazmanian and Sabatier developed a conceptual framework to examine that relationship. They identified three categories of variables affecting the implementation of legal objectives.

(1) the tractability of the problem(s) addressed;
(2) the ability of the policy decision to structure favorably the implementation process;
(3) nonstatutory variables affecting implementation.169

While the Mazmanian/Sabatier framework serves different functions than the model proposed here, the framework does indicate environmental variables influencing the task environment of a school district organization. Variables incorporated into the model are technical, statutory and nonstatutory. These are all elements beyond the originating control of the organization affecting the task orientation of the organization.

These variables capture the elements in Thompson’s definition of task environment: requirements of the technology, boundaries of the organization, domain and composition of the larger environment. The advantage of the

Mazmanian/Sabatier model is its specific orientation to the public institutions and environmental factors influencing policy changes in the public sector.

The Mazmanian/Sabatier framework was constructed to enhance prediction about the feasibility of policy implementation. The Mazmanian/Sabatier model emphasizes implementation strategies originating from public policy initiatives generated by state and federal authorities. While this is not the specific interest of this study, the framework developed by Mazmanian and Sabatier does sort and catalog environmental factors external to school systems. These factors comprise the task environment of the organization and constitute the elements of the problem situation for the organization.

The Mazmanian, Sabatier framework sorts factors into three categories of variables: tractability variables; nonstatutory variables; and statutory variables. Within each of these categories, the framework indicates specific factors to be taken into account. The framework is given in Figure 5.

Each of the factors identified in the Mazmanian/Sabatier framework is described below and each is subsequently included in a set of generic questions for the proposed model.
Bacteriostasis of the Problem
1. Technical difficulties
2. Diversity of target group behavior
3. Target group as a percentage of the population
4. Extent of behavioral change required

Ability of Statute to Structure Implementation
1. Clear and consistent objectives
2. Incorporation of adequate causal theory
3. Initial allocation of financial resources
4. Hierarchical integration within and among implementing institutions
5. Recruitment of implementing officials
6. Formal access by outsiders

Nonstatutory Variables Affecting Implementation
1. Socioeconomic conditions and technology
2. Public support
3. Attitudes and resources of constituency groups
4. Support from soversigns
5. Commitment and leadership skill of implementing officials

Stages (Dependent Variables) in the Implementation Process
Policy outputs of implementing agencies → Compliance with policy → Actual impacts → Perceived impacts → Major revision in statute
Compliance with policy → Actual impacts → Perceived impacts

170 Figure 5
Variables Involved in the Implementation Process

170 Ibid., p. 22.
Statutory Variables. Mazmanian and Sabatier point out that statutes, appellate court decisions, and executive orders create structures impacting implementation efforts in school districts. These decisions define legal objectives, select enacting agencies, provide legal and financial resources, and regulate opportunities for organizations. In formulating the problem to be addressed, at the district level, these agencies, policies, regulations and laws are factors that shape the organization's domain.

Mazmanian and Sabatier identified seven (7) factors influencing the implementation of statutory mandates. These factors are indicators of the relative probability that statutes will effect intended change by structuring the implementation process. Factors given are:

1. Clear and consistent objectives
2. Incorporation of adequate causal theory
3. Initial allocation of financial resources
4. Hierarchical integration within and among implementing institutions
5. Decision rules of implementing agencies
6. Recruitment of implementing officials
7. Formal access by outsiders

1. Clear and consistent objectives

Mazmanian and Sabatier observed that the precision and clarity of legal objectives is important for the implementation of public policy initiatives. Lack of clarity

171 Ibid., p. 25.
in legal objectives may create uncertainty or imagined obstacles to organization performance.

Precision in statutory objectives provide the basis for program evaluation, direction to agencies and constituent groups.

...implementing officials confronted with objections to their programs can sympathize with the aggrieved party but nevertheless respond that they are only following the legislature's instructions.172

Thus clear objectives delineate the boundaries of appropriate action for officials and for supporters of statutory objectives.

2. Validity of the causal theory

Mazmanian and Sabatier observed that adequate causal theory requires:

(a) that the principal causal linkages between governmental intervention and the attainment of program objectives be understood;

(b) that the officials responsible for implementing the programs have jurisdiction over a sufficient number of the critical linkages to actually attain the objectives.173

In the case of educational reform proposals the need to establish valid causal theory is problematic because

172 Ibid., p. 25.
deficiencies in performance may be linked to factors outside the control of district officials. If the problem statement identifies family and social pressures as causal factors and these are beyond the influence of the district organization then the implementation plan addressing the problem will flounder unless the plan provides goals, objectives and tasks impacting those environmental factors.

3. Initial allocation of financial resources

Financial support for state and federal legislated programs is an obvious necessity for fiscally dependent school districts. However, the rational assumption that mandated programs will be commensurately funded is not supported by experience. In states where financial support for districts is primarily the domain of the state, district organizations are dependent on clear definitions of conditions governing receipt of funds from state sources. For example, in California regulations controlling the use of School Improvement Program (SIP) funds stipulate the per pupil allocation for participating schools. As a result, only a limited number of schools in a district may have access to these funds. However, close examination of those regulations indicates that districts may apply for waivers establishing a lower pupil allocation thus allowing more schools to draw on these resources. The definition of the problem to be addressed is closely linked with the interpretation by organization members
of the limitations imposed by regulations, policies, laws, agencies, etc.

4. **Hierarchical integration in related agencies and organizations**

One of the best dokumented findings in implementation literature is the difficulty of obtaining coordinated action within any given agency and among semiautonomous agencies involved in most implementation efforts. The problem is particularly acute in the case of federal statutes which rely on state and local agencies to carry out details of program delivery in a very heterogeneous system... 174

Mazmanian and Sabatier pointed out that as hierarchical systems are loosely integrated there can be variation in the information flowing between implementing officials. This can create instability and uncertainty in the task environment. On the other hand rigidity of the environment caused by the integration of hierarchical systems can be a factor in the problem situation. The point stressed here is that critique of the problem statement for the reform proposal should include examination of the influence of hierarchical controls in agencies external to the school district. If the problem situation is wholly or in part affected by the bureaucracies of state or federal agencies then these effects should be stated explicitly as aspects of the problem definition. Mazmanian and Sabatier identified criteria for analyzing the degree of hierarchical integration among agencies:

174 Ibid., p. 27.
(a) the number of veto/clearance points involved in the attainment of legal objectives;

(b) the extent to which supporters of those objectives are provided with inducements and sanctions sufficient to ensure acquiescence among those who have a potential veto.\textsuperscript{175}

While the framework was developed to assist in analyzing policy implementation from the perspective of state or federal policy initiatives, the categories of analysis are nevertheless useful from the point of view of would-be reformers because the categories and variables identified exist as factors affecting the change process at a school district level.

5. Decision rules of related agencies and organizations

The formal decision rules of related institutions may contribute to the problem addressed by the organization. Decision rules refer to those processes that are stipulated governing the requirements for making decisions. For example, a commission may operate under rules of majority vote or a state official may function under a set of procedural rules which may positively or adversely influence the problem situation. These decision rules may be taken for granted aspects of the task environment. They should be explored and made explicit in the problem definition because in fact there

\textsuperscript{175} Ibid., p. 27.
may exist a route around those decision rules or the decision rules can be used to advance the district's reform proposal.

6. **Officials' commitment to statutory objectives**

Mazmanian and Sabatier observed that the strength of bureaucratic commitment to the goals and objectives of program implementation is a significant factor in the realization of reform policies.

Any new program requires implementors who are sufficiently persistent to develop new regulations and standard operating procedures and to enforce them in the face of resistance from target groups and from public officials reluctant to make the mandated changes.\(^{176}\)

Scrupiny of the impact of statutory influences on the task environment of the organization will include judgments concerning the level of conviction, support, resistance or indifference, federal, state or other officials exhibit for reform programs. District staff can be severely disappointed by levels of support provided by officials attached to agencies responsible for policy implementation. For example, while integration goals are propounded by governing agencies, positive action and provision of resources may be sorely lacking.

In many situations, e.g., education, implementation must often be assigned to existing agencies which may be ambivalent or even hostile. And most

\(^{176}\) Ibid., p. 28.
positions in any agency are held by people with civil service protection. In fact, it is the generally limited ability of program designers to assign implementation to agency officials committed to the program’s objectives which probably lies behind many cases of failure to achieve legal objectives.\textsuperscript{177}

7. \textbf{Formal access by outsiders}

The impact of statutory policies and programs is affected by the influence of target groups including districts themselves. The critique should assess the potential or real effects of formalized efforts to change, reduce or increase regulatory activity in relation to the district’s reform initiative.

To summarize, statutory factors shape the task environment for district organizations. Mazmanian and Sabatier claim that the \textit{clarity of statutory objectives}, the \textit{adequacy of causal theory}, the \textit{sufficiency of funding}, the \textit{limitations on veto opportunities}, the \textit{skewing of decision rules}, the \textit{strength of agency support} and the \textit{influence of outsiders} are critical factors affecting the power of statutes and regulations in the context of an implementation strategy. The authors observe that statutes and other policy decisions that are loosely structured do not drive the implementation process coherently.

This is particularly true at the federal level, where the heterogeneity of interests effectively represented, the diversity in proscribed activities

\textsuperscript{177} Ibid., p. 28.
the multiple vetoes and weak party system in Congress, and the constitutional and political incentives for implementation by state and local agencies make it extremely difficult to develop clear goals, to minimize the number of veto points, and to assign implementation to sympathetic agencies.\(^{178}\)

In short, from the point of view of the district organization the strength or weakness of statutory requirements and/or mandates is an issue to be taken into account in the assessment of the problem situation.

**Nonstatutory Variables.** Mazmanian and Sabatier identified two general categories of nonstatutory variables affecting implementation processes: (1) dependence on political support; (2) changes in socioeconomic and technological conditions. The researchers emphasized the significance of these variables over time, stressing the continuing impact of these factors on the implementation effort. Further, antecedent conditions, e.g., historical events, socioeconomic conditions, public opinion comprise a climate that favors or discards the implementation strategy. The Mazmanian/Sabatier framework structures the examination of nonstatutory variables into a set of categories:

1. Changes in socioeconomic conditions and technology
2. Public support

\(^{178}\) Ibid., p. 29.
3. Attitudes and resources of constituency groups.

4. Support from sovereigns

5. Commitment and leadership skill of implementing officials

Below each is described and explained as a factor influencing the task environment of the district organization.

1. Socioeconomic Conditions and Technology

Mazmanian and Sabatier's framework emphasizes the impact of variations in socioeconomic conditions and technology on the attainability of policy objectives. Their perspective identifies political support as the dominant factor influencing the attainability of statutory/policy goals. The logic of their argument is that variations in socioeconomic and technology factors can affect political support for policy goals. Political support then accounts for the probability of goal attainment. The authors state there are four ways in which these factors impact political support and hence achievement of goals.

First, perception of the relative importance of a problem is influenced by changing socioeconomic conditions. As other problems emerge within the social-economic context they draw attention and attain significance thus diminishing the relative standing of the original problem.

Second, variation in socioeconomic conditions occurs at different rates between federal, state and local levels. As
a result, state mandated policies are welcomed by local districts according to the socioeconomic conditions prevailing in their locations and depending on their access to other sources of financial support. These changing conditions create the need for flexible rules and discretion for local districts implementing policies. Imposition of uniform standards results in opposition when districts operating under unfavorable socioeconomic conditions are coerced into accommodating onerous policy requirements.

Third, Mazmanian and Sabatier claimed that certain policy initiatives i.e., environmental, consumer protection, worker safety are correlated to the financial status of target groups. The more prosperous target groups seem more responsive to certain policy initiatives.

The authors also indicated that advances in technology influence the receptivity of target groups to policies which are dependent on improved techniques. An example of this shift in the educational setting is the acceptance of individualized instruction as a teaching mode as computerized instruction has become accessible in the classroom setting.

2. **Public Support**

Mazmanian and Sabatier described the phenomenon of public support as an episodic or cyclical occurrence. Public support comes in a wave of awakening to a problem and recedes in the wake of awareness of costs to solve the problem. The episodic nature of public concerns for problems makes implementation of
reform agendas difficult when constant or continuous public support is required for the effort. Mazmanian and Sabatier identified three ways whereby the public can influence the implementation process.

1. Public opinion (and its interaction with the mass media) can affect the political agenda, i.e., the issues to be discussed by legislatures.

2. There is substantial evidence that legislators are influenced by their general constituents on issues salient to those constituents, particularly when opinion within the district is relatively uniform.

3. Public opinion polls are often employed by administrators and sovereigns to support particular policy positions.  

3. **Attitudes and resources of constituency groups**

The authors observed that public concern for issues recedes over time. This reality requires that proponents of policy initiatives structure initial support into organizational and institutional elements that will persevere over time. These entities then comprise a network of constituencies which support or resist initiatives affecting their special interest.

The essential - and very problematic-task confronting proponents is translating the original widespread support which helped pass the initial legislation into organizations with sufficient membership, cohesion, and expertise to be accepted as legitimate and necessary participants in

179 Ibid., p. 32.
important policy decisions by both implementing officials and their legislative and executive sovereigns.\textsuperscript{180}

The constituency groups, negatively or positively positioned, influence other factors identified in the Mazmanian/Sabatier framework. First interaction occurs as organizational financial and membership support is affected by the status of public support. Second, constituency groups can have formal access to impact the direction of policy initiatives. Third, constituency groups can affect policy through appeals to the public for support or resistance to proposed programs, and through legal action to promote or stop policy implementation.

4. Support from sovereigns

Sovereigns, positions entrusted with ruling authority, provide support for policy objectives through oversight and financial resource allocation. Mazmanian and Sabatier pointed out that implementing agencies may be responsible to different sovereigns with conflicting agendas.

Often in such situations, when an intergovernmental subordinate is faced with conflicting directives.....it will ultimately lean toward the directives of the sovereigns who will most affect its legal and financial resources over the longest period of time.\textsuperscript{181}

\textsuperscript{180} Ibid., p. 32.

\textsuperscript{181} Ibid., p. 33.
Sovereign influence through informal and formal mechanisms of oversight. Oversight is "the continuous interaction between and agency and its legislative (and executive) sovereigns..." Oversight can occur through hearings, consultations and committees. Oversight may include control of legal and financial resources.

Mazmanian and Sabatier observed that the interrelatedness of policy issues complicates the effort to monitor the status of a specific statute. The researchers claimed that this fact alone accounts for the probability that over time a statute will be undermined.

5. Commitment and leadership skill of implementing officials

This variable, according to Mazmanian and Sabatier, is the factor most directly influencing the implementation of policy. The effectiveness of leadership is determined by two factors:

...first, the direction and ranking of those objectives in officials' priorities; and second, officials' skill in realizing those priorities, i.e., their ability to go beyond what could normally be expected in using the available resources."\cite{Ibid., p. 34.}

New agencies created to implement policies tend to exhibit maximum commitment. Mazmanian and Sabatier claimed that agency officials are most committed to policy

\cite{Ibid., p. 33.}
implementation when a new agency with high visibility is created as a result of an intense high profile political campaign.\textsuperscript{184} However, the high degree of commitment will recede as committed officials are replaced by the regular bureaucratic regime.

Leadership skill incorporating both the power to persuade and the ability to manage is requisite to the success of implementation efforts.

...this skill comprises both political and managerial elements. The former refers to the ability to develop good working relationships with sovereigns in the agency's subsystems, to convince opponents and target groups that they are being treated fairly, to mobilize support among latent supportive constituencies, to present effectively the agency's case through the mass media, etc.\textsuperscript{185}

Managerial competence assumes that the program is not accused of financial improprieties, that morale of personnel is sustained and internal resistance is cut off. Mazmanian and Sabatier observed that leadership is a slippery concept difficult to assess; however, in an examination of factors in the district task environment the degree of commitment and the leadership skill of agency officials is a factor to be taken into account as a variable affecting the potential support or resistance reform initiatives will receive from relevant officials and agencies.

\textsuperscript{184} Ibid., p. 35.

\textsuperscript{185} Ibid., p. 35.
The third category of variables given in the Mazmanian/Sabatier framework is "tractability of the problem." Here the variables identified refer to those facts that comprise the "terms of the problem" in Dewey's broad formulation.

**Terms of the Problem.** The terms of the problem emerge as the situation as a whole is clarified and understood. The concept of the problematic situation is key in Dewey's approach to the inquiry process. In Dewey's formulation, a state of uncertainty, indeterminacy, exists prior to setting forth the terms of the problem. The terms of the problem surface as the situation as a whole including environmental factors are studied and examined. The model proposed here provides a theoretical framework to perceive the problematic situation, to sort data into manageable categories. Through this organizational perspective the problematic situation is clarified so that the terms of the problem - the factors that count emerge.

It is important to distinguish between the concept of the problem situation and the contextual wholeness of the situation. The problem situation is clarified through the inquiry process to reveal the contextual wholeness of the situation and to define the elements of the problem.

In fact the terms of the problem are only logically distinguished from the contextual wholeness of the situation. To develop a conceptual map for critiquing the problem
statement, the elements which comprise the terms of the problem are described separately here. However, it should be understood that a narrative describing the problem may refer to some elements of the environment as terms of the problem.

The model uses the scientific approach described by Dewey in that it identifies facts as terms of the problem within the contextual wholeness of the situation. The great difficulty, however, is in framing the problem as a whole, drawing limits around the problem, identifying the terms of the problem accurately and indicating the relationships between elements of the problem.

Accurately defining problems and locating these within the educational organization is extremely difficult. It is difficult because the institution is impacted by powerful environmental factors beyond the control of the organization and because problems within the boundaries of the organization may be hidden for political reasons. To achieve consensus among district constituencies naming the problem to be addressed may cause the problem to be misnamed. In other words, while truth is the goal of scientific inquiry, truth may have secondary importance to district leaders trying to sell a plan to district communities. The goal of the model proposed here is to critique the planning document for its value as a statement of means. Therefore, the model proceeds to question the terms of the problem without regard to the political consequences of the inquiry.
To assess the meaning and logic of the terms of the problem and the interrelatedness of the elements of the problem, the statement of the problem should define the broad area of uncertainty to be addressed through the reform initiative. The area of uncertainty is the problematic or indeterminate situation to be resolved through the goals and objectives of the implementation plan. The critique of planning documents occurs after planners have completed the process of thinking through the perceived problem and have defined the broad and specific elements of the problem situation. The critique searches the problem statement to find areas of ambiguity or vagueness which may require clarification. Thus in the following section an explanation of Dewey's ideas concerning the construction of the broad definition of the problem precedes a description of terms of the problem.

Dewey outlined the elements of this definition. The indeterminate situation is "open" to inquiry and its components are not connected. The determinate situation is "closed" as a result of inquiry; its elements are connected and related. The terms, controlled and directed, indicate that the processes of inquiry function to establish an "objectively unified existential situation." During the process of inquiry between the transition from indeterminacy and determinacy, an intermediate condition of "discourse through symbols" serves as the means of the inquiry. This
discourse is characterized by propositions, or terms and relations between terms.

Definition of the Problem. Dewey stated that the nature of an indeterminate situation is such that it evokes inquiry. It is an uncertain and unsettled issue.

The peculiar quality of what pervades the given materials, constituting them a situation, is not just uncertainty at large; it is a unique doubtfulness which makes that situation to be just and only the situation it is.\(^{186}\)

Dewey noted that the indeterminate situation has some qualities of determinateness or there would be no bases for applying procedures of inquiry. Dewey emphasized that the indeterminate situation is also obscure. The obscurity is not a state of mind, rather it is a quality of the indeterminate situation. The resolution of the situation cannot be achieved by a mere change in a mental state.

The habit of disposing of the doubtful as if it belonged only to us rather than to the existential situation in which we are caught and implicated is an inheritance from subject psychology.\(^{187}\)

This point has particular relevance for today. In an age when making affirmations is mistaken for solving problems, Dewey’s emphasis on the existential nature of the problem


\(^{187}\) Ibid., p. 106
situation is worth remembering. To make his point Dewey drew a few simple examples:

It is commonplace that in any troubled state of affairs things will come out differently according to what is done. The farmer won’t get grain unless he plants and tills; the general will win or lose the battle according to the way he conducts it and so on. Neither the grain nor the tilling, neither the outcomes of the battle nor the conduct of it are "mental" events.188

In the political environment of public education defining a problem situation can be a hazardous undertaking. Dewey reminds us that a misstated problem will yield unproductive activity in relation to the true problem. This of course is a familiar phenomenon in the field of education. The political agenda frames the stated problem not through a process of scientific inquiry, but by a measure of the public’s tolerance for bad news. As a result the ability of public education to solve its problems is not respected by a public which pays increasing dollars for decreasing educational productivity. Failure, then, is the cost for misnaming problems and pursuing pointless "innovative" activities.

It is a familiar and significant saying that a problem well put is half solved. To find out what the problem and problems are which a problematic situation presents to be inquired into is to be well along in inquiry. To mistake the problem

188 Ibid., p. 107.
involved is to cause subsequent inquiry to be irrelevant or to go astray. \(^{139}\)

The problem definition determines the information regarded as relevant. The conceptualization of the problem drives the direction of a solution.

Statement of a problematic situation in terms of a problem has no meaning save as the problem instituted has, in the very terms of its statement, reference to a possible solution. \(^{190}\)

Dewey asked a critical question which is, how is the formulation of a problem so controlled that further inquiries move to a solution? He responded by observing that no situation is wholly indeterminate. The first step in controlling the direction toward a solution is to discover the constituents of the situation which are known and certain. These known conditions comprise the facts of the case. They must be considered in the formation of possible solutions.

Constituents of the problem. Dewey observed that the first step in resolving a problem is to establish the facts of the situation, the known constituents of the problem. The critique then searches the problem statement to identify those elements which are given as the factual basis for the problematic situation. For example, the problem statement indicates that the high school drop out rate is escalating at

\(^{139}\) Ibid., p. 108.

\(^{190}\) Ibid., p. 108.
an alarming level. The critique would examine that factual statement for verification or justification. However, the fact of increasing incidence of drop outs has no value as a constituent of the problem until it is given operational standing as a function of a proposed solution - an idea - an hypothesis for resolving the problem. This suggests that the "standing" of facts depends upon their function as factors in a resolving hypothesis.

Dewey's emphasis on the mutually formative relationship between facts, and ideas is a major contribution of his theory of inquiry on the subject of planning. Ordinarily the planning process is described as a linear sequence in which the problem is defined - facts are summarized and the sum of these facts constitute the problem. Dewey stresses that an overarching idea orders and selects facts which then fit together under the arch of the ideational construct to serve as the statement of a problem. This is very significant for the process of critique because the evaluation of the problem statement should identify the underlying assumption - idea - metaphor that is offered as the conceptual basis for the problem.

Projected solution. The next state in the control of the formulation of the problem is the projection of a possible solution. The solution is an idea which foretells possible operations and their possible issue.
Observation of facts and suggested meanings or ideas arise and develop in correspondence with each other. The more the facts of the case come to light in consequence of being subjected to observation, the clearer and more pertinent become the conceptions of the way the problem constituted by these facts is to be dealt with.\textsuperscript{181}

Conversely, the more clear and defined the idea, the more clear the operations of observation become.

Here, Dewey used the term "idea" differently than the term has been used in the Lockian tradition. Dewey stated that the view of ideas as copies of perceptions or impressions does not reveal "the prospective anticipating character that defines being an idea".\textsuperscript{182} Locke and his successors failed to define ideas functionally as in relation to a problem solution, relegating them to mere mental states.

Dewey argued that an idea is an anticipation, a potential action. Since ideas develop within the continuity and progress of inquiry, they differ in quality at different levels of the inquiry. In the beginning they are vague suggestions occurring to the inquirer. These suggestions are not truly ideas until they are subjected to inquiry to determine their fitness for satisfying the indeterminate situation.

\textsuperscript{181} Ibid., p. 109.

\textsuperscript{182} Ibid., p. 109.
A further step in controlling the formulation of a problem is the process of capturing the emerging ideas in symbols.

Because suggestions and ideas are of that which is not present in given existence, the meanings which they involve must be embodied in some symbol. Without some kind of symbol no idea; a meaning that is completely disembodied can not be entertained or used.193

The symbols used to carry ideas enable the inquirer to reflect back and to enlarge and elaborate on the idea as the process of inquiry continues. The symbolic carrying of the idea allows the inquirer to gaze back and consider the idea. "To look at an idea is not a mere literary figure of speech."194

Reasoning, using symbols comprising propositions in rational discourse is the process for determining the meaning of ideas in relation to each other. Dewey claimed that the method for assuring that an idea is not accepted without inquiry is to examine the "meaning as a meaning." This process includes determining the relation of the examined meaning to other meanings in the system. This relation constitutes a proposition. Through a series of such examinations the meaning of the idea for its relevancy to the problem is clearer than the original formulation.

193 Ibid., p. 110.
194 Ibid., p. 110.
...an idea or suggestion that is not developed in terms of the constellation of meanings to which it belongs can lead only overt response. Since the latter terminates inquiry, there is then no adequate inquiry into the meaning...and the conclusion is so far logically ungrounded.195

Dewey's stress on the importance of symbols as a means to examine ideas is significant to the emphasis of this study. The need for greater clarity, comprehensiveness and explicitness in planning documents arises in part from the need to formalize statements of ends and means in planning documents.

The model proposed here assumes Dewey's general approach to problem formulation. Following his pattern of inquiry the problem statement is controlled by an overriding hypothesis. The general assumption is that educational reform is a case organizational change. Organizational change is effected by adjustments in the task, structure, technology and actors which interact and comprise the organizational entity. As stated, the problem definition is in part determined by establishing the terms of the problem. These are the facts that count. The model points to the elements of the situation which count for a school district as an organization. The elements of the whole situation that "count" are those related to the task environment of the organization. The task environment, as previously noted includes requirements of the

195 Ibid., p. 112.
technology, boundaries of organizational domain, and imposition of the larger environment.

Aligning Thompson's organizational perspective, Dewey's epistemological formulation and the Mazmanian/Sabatier implementation framework, it is evident that statutory and nonstatutory factors generally define the composition of the larger environment of the public educational organization and tractability of the problem conceptually fits Thompson's notion of requirements of the technology and the boundaries of organizational domain. In toto these factors comprise the terms of the problem in Dewey's theoretical formulation.

The facts that count are elements in the task environment including elements within the organizational boundaries. Using Mazmanian and Sabatier's framework environmental elements - statutory and nonstatutory have been identified. Tractability variables in their approach include variations in technical and behavioral factors associated with the problem addressed in the implementation initiative. In the model proposed here the factors to be considered in defining the problem - the factors which may stand as terms of the problem are: organizational task, technology, actors (behaviors), structure as well as environmental factors.

The problem statement links the elements, internal and external to the organization, in a causal chain to explain the nature of the problem to be addressed. The internal factors
within the organization may be found at different levels of the organization's structure.

Thompson argued that problems are distributed throughout complex organizations. He applied Parsons' formulation of three levels of responsibility and control to locate organization problems: technical level; managerial level; institutional level.\(^{196}\) Briefly each is described below to clarify the relationship of Thompson's construction to the formulation of the problem statement.

The technical level performs the core task of the organization:

...every formal organization contains a suborganization whose 'problems' are focused around effective performance of the technical function...The primary exigencies to which the technical suborganization is oriented are those imposed by the nature of the technical task, such as the materials which must be processed and the kinds of cooperation of different people required to get the job done effectively.\(^{197}\)

The managerial level serves the technical level:

(1) mediating between the technical suborganization and those who use its products... (2) procuring the resources necessary for carrying out technical functions. The managerial level controls, or administers, the technical suborganization...by deciding such matters as the broad technical task which is to be performed, the scale of operations, policy, and so on.\(^{198}\)

\(^{196}\) James D. Thompson, Organizations in Action, p. 10.

\(^{197}\) Ibid., p. 10.

\(^{198}\) Ibid., p. 11.
The institutional level legitimates the functions of the organization as a whole:

In terms of 'formal' controls, an organization may be relatively independent; but in terms of meaning of the functions performed by the organization and home of its 'rights' to command resources and to subject its customers to discipline, it is never wholly independent. This overall articulation of the organization and the institutional structure and agencies of the community is the function of the third, or institutional, level of the organization. 199

To summarize to this point, the critique examines the problem statement to judge the value of goals, objectives and tasks as means to correct the problematic situation. Since the selection of goals is presumably based on the problem definition, the critique examines the problem statement to understand the dimensions of the problem situation. Using Dewey's framework the problem statement is assessed on the following criteria:

. The problem describes the contextual wholeness of the problem situation.

. The facts of the situation are given as the terms of the problem.

. The problem definition states or implies the structure - the relationship of elements of the whole situation.

In this section the subject of contextual wholeness of the problem situation was explored. The idea of contextual wholeness in relation to the organization was examined in

199 Ibid., p. 11.
light of Thompson's concept of "task environment." To define the elements of task environment for a public school system, the study adapted categories of variables from the Mazmanian/Sabatier framework.

Thus the model assesses the problem statement for reference to environmental factors that impinge upon or influence the problem situation addressed in the plan. These factors are statutory and nonstatutory variables; they are factors upon which the district depends for goal achievement.

The facts of the situation are given as terms of the problem within the problem statement. While these facts may derive from factors in the environment, facts have logical standing as terms of the problem when they are identified within the boundaries of the organization. For example, the state may not fund education adequately; this is a fact in the district's task environment. However, the fact that serves as a term of the (organization's) problem may be inadequate supplies of textbooks and equipment. The distinction is extremely significant because the way in which the problem is posed controls the scope of the solutions that may be generated. In the example given, the terms of the problem at the organizational level might suggest acquisition of texts and equipment from a variety of sources beyond state funding. If the terms of the problem are given as outside the boundaries of the organization, solutions may be very limited or not available to the organization.
Thus, even when the problem originates in the environment of the organization, it must ultimately reside within the boundaries of the organization for it to have standing as an organizational problem.

**Logic of Goals, Objectives and Tasks: Objective Arrangements**

The definition of the problem is the force that drives the selection of goals, objectives and tasks. However, it should be recalled that in Dewey's formulation the clarification of the problem situation is always influenced by the formative power of hypothetical solutions. The relationship between the problem and the solution is not linear. Rather the solution and the problem have permeable boundaries; each element changes its shape in response to the other. This shifting occurs prior to the formalized version of the problem and solution recorded in a planning document. The work of the critique is to examine the formal version to ascertain the relationship between goals, objectives and tasks of the plan to the problem statement.

As a practical matter this aspect of the critique may be most difficult because district plans often do not formulate fully developed problem statements. If this is the case applying the model indicates to district planners the need to define the problem with greater clarity.

An advantage Dewey's formulation offers is that issues and interests that are related to the problem and to its
solution are taken into account simultaneously. The goals, objectives and tasks encompass those restrictive conditions, obstacles and opportunities residing external to or internal to the organization. Thus the plan as a whole has standing as a goal statement.

In the decision-making situations of real life, a course of action to be acceptable, must satisfy a whole set of requirements, or constraints. Sometimes one of these requirements is singled out and referred to as the goal of the action...For many purposes it is more meaningful to refer to the whole set of requirements as the complex goal of the action. 200

Simon’s notion of a complex goal of the action corresponds with Dewey’s idea of a solution as a transforming hypothesis. Both constructs allow for a more holistic approach to tracing the logic of goals, objectives and tasks of the plan.

While the plan as a whole is taken as a complex course of action the separate items which stand as specific goals, objectives and tasks are value statements. They are not statements of fact; they are not statements of motivation.

By goals we shall mean value premises that can serve as inputs to decision. By motives we mean the causes, whatever they are, that lead individuals to select some goals rather than others as premises for their decisions. 201


201 Ibid., p. 258.
Statements of ends in this context concern instrumental values. These are goals, which are steps intended to achieve progress toward an ultimate desirable state of affairs. The ultimate desired state is the resolution of a problem.

The 'value' of different ends that suggest themselves is estimated or measured by the capacity they exhibit to guide action in making good, satisfying, in its literal sense, existing lacks.\(^{302}\)

The logic of goals, objectives and tasks is the relationship each level has to the prior level as means to end. Tasks are specific activities designed to achieve objectives and objectives are actions to effect goals. Goals stand as means to correct a problematic situation. As values these statements of end/means are "good" or "bad" only in their potential to achieve a resolution of the problem.

The merit of goals, objectives and tasks is not in their source or authorship. This might seem too silly to state but it is a current notion that if an idea is not generated by teachers and parents of a school then the idea is not worthy. In this view the value of a course of action is not in its capacity to resolve a problem situation.

Dewey emphasized that these prospective ends statements are value propositions not statements of facts.

Value-propositions...exist whenever things are appraised as to their suitability and serviceability as means, for such propositions are not about things or events that already exist...but are about things to be brought into existence. Moreover, while they are logically conditioned upon matter-of-fact predictions, they are more than simple predictions, for the things in question are such as will not take place, under the given circumstances, except through the intervention of some personal act.203

While the logic of goals, objectives and tasks is determined by the causal relatedness of each level to the succeeding level, each statement is judged on the basis of observation. Each goal statement which is the projected means for achieving a higher level goal statement is judged on the basis of existing empirical evidence to assess its probability—history as a means for achieving such goals. This close examination allows the goal statement status as a warranted assertion.

Ends-in-view as anticipated results...are ideational by definition...The involved foresight, forecast or anticipation is warranted, like any other intellectual inferent factor, in the degree in which it is based upon propositions that are conclusions of adequate observations activities.204

In summary the logic of objectives and tasks is studied by closely examining if the consequences indicated at each level are contained in the end statement of the prior controlling level goal statement. Also the merit of goal statements is

203 Ibid., p. 52.
204 Ibid., p. 52.
assessed by examining the factual basis for projecting its expected consequences.

Dewey stated that no abstract theory of valuations can be imposed on a set of given values as a standard for judgment. Rather he emphasized that value statements should be subjected to critical methods of investigation.

Admitting that these valuations are largely and probably in the main, defective, it might at first sight seem as if the idea that improvement would spring from bringing them into connection with one another is like recommending that one left himself by his bootstraps. But such an expression arises only because of failure to consider how they actually may be brought into relation with one another, namely, by examination of their respective conditions and consequences. 205

Applying Dewey's perspective on the continuum of ends and means to the case of organizational change four classes of goal statements can be identified. Hage (1965) named types of organizational ends according to the goal emphasis characteristic of each. These emphases are: adaptiveness, production, efficiency, job satisfaction.

Adaptiveness refers to the organization's capacity to change, to adopt new programs, techniques, approaches to problems. Goal statements that may be classified as adaptive would reference new procedures deviating from present practice.

205 Ibid., p. 60.
Production ends stress quality or quantity of outputs. In educational organizations these might include achievement levels, attendance improvement, improvement in drop-out rates.

Efficiency refers to cost-effectiveness values. In school districts cost-effectiveness standards might apply to per pupil expenditures as related to student achievement, student time on task in class.

Job satisfaction refers to employee morale. Goal statements concerning job satisfaction directly reference actions to improve employee participation, attendance, commitment to task.

Etzioni (1961) identified three categories of organizational goals:

- **Order goals** fit within a coercive compliance pattern in organizations which stress elimination of deviant behavior, punishment and segregation.
- **Economic goals** are stressed within organizations primarily oriented to production of goods and services.
- **Culture goals** are emphasized within organizations which are dedicated to the creation, transmission, preservation of objects of culture.

Etzioni's theory matched types of organizational goals with the compliance orientation of those organizations. The model proposed here does not encompass Etzioni's theoretical construct but does count the types of goals he identified as an aspect of the screening mechanism of the model.
In addition to these organizational goals Fullan identified communication goals as a district set with special significance in the case of educational change.

Not only should the logic, the meaning of goals, objectives and tasks be tested in relation to the problem and in relation to each other, but the plan should include tasks which ensure that actors will understand the meaning of actions projected in the plan.

Every change has two components: an implicit or explicit theory of education (what the change is) and in implicit or explicit theory of change (the process being followed to implement it). Individuals must find meaning in both aspects: What does the change mean for what I do? What does the process of introduction and follow-through look like from my perspective? . . . Clarity, concreteness, practicality, the connection between change in practice and outcomes, and the underlying logic of change are not all apparent at the outset.206

The major purpose for the model proposed in this study is to offer a method to clarify the elements of implementation plans. Fullan's comprehensive study of implementation indicates the need to establish clarity for both objective arrangements and subjective meanings. Therefore, within the plan a subset of tasks should indicate the means for communicating the purposes and processes of the change initiative. These activities are designed to clarify the significance of objective arrangements for all actors

effecting and influencing the change initiative. Moreover, these tasks relating to actors' understanding of the changes may require adjustments in organizational structures, technologies and actors' roles.

Integrating the goal emphases identified by Hage, Etzioni and Fullan the set of categories of goal statements incorporated in the proposed model includes the following types: adaptiveness, production, efficiency, job satisfaction, order, culture and communication.

In summary, the fourth element in the model proposed is task definition. Leavitt defined task as:

_Roughly speaking, task refers to organizational raisons d'être- manufacturing, servicing, etc., including the large number of different, but operationally meaningful, subtasks which may exist in complex organizations._

_The term, task definition, refers to the content of statements of ends/means in a plan to implement an educational reform initiative. "Task" is used broadly to indicate statements of purpose: goal, objective, task._

_The concept of task as a statement of ends/means was treated in light of Dewey's theory of inquiry tracing its relation to a problem and its function within a solution._

_First the elements of a problem statement: the context of the problem situation; the terms of the problem; and the_

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logic of elements of the problem were explored. Second the basis for analyzing the logic of the goals, objectives and tasks of the implementation plan were reviewed. These two major aspects of task definition provide a framework for a set of generic questions to be used in the application of the proposed model. These questions lead to inquiry at increasingly specific levels. They are starting points for a critique of goal statements in a plan to implement reform proposals at a school district level.
**Generic Questions**

Does the problem statement give a description of the problem situation?

- Does the problem statement give a description of expectations for members of the district and others with whom they interact?

- Does the problem statement give a description of the district's mission - its central task?

- Does the problem statement give a description of the district's role in a larger system which guides the district's actions in certain directions and not others?

- Does the problem statement give a description of entities which are as obstacles to or opportunities for task achievement?

- Does the problem statement describe policy/statutory factors - which are obstacles to or opportunities for goal task achievement? Factors may include:
  1. Clear and consistent policy objectives
  2. Adequate causal theory
  3. Allocation of financial resources
  4. Hierarchical integration within and among implementing agencies
  5. Decision rules of implementing agencies
  6. Commitment of implementing officials
  7. Formal access by outsiders

- Does the problem statement describe non-statutory factors affecting the implementation of district goals/tasks? Factors may include:
1. Changes in socioeconomic conditions and technology

2. Public support

3. Attitudes and resources of constituency groups

4. Support from sovereigns

5. Commitment and leadership skill of implementing officials

Does the problem statement give a description of the facts of the problematic situation that are the terms of the problem? Terms of the problem are established in stages:

1. Defining of the problem as a whole

2. Defining the constituents of the problem

3. Defining a projected solution

4. Defining the organizational location of problem factors: technical, managerial, institutional

Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness

2. Production

3. Efficiency

4. Job satisfaction

5. Order

6. Culture

7. Communication
· Does the implementation plan describe the logical relationship between levels of goals statements: goals - objectives - tasks?

· Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?

· Does the implementation plan describe empirical evidence to assess the value of goal statements as means to achieve the ends of the plan?
CHAPTER III

Methodology

Introduction

The study is designed to test a method for analyzing the content of planning documents. Specifically, the study tests a model for critiquing implementation plans for educational reform. The purpose of the study is twofold:

1. to describe a theoretical model that displays elements of a change strategy in a planning document

2. to describe a process for assessing the value of a plan as a statement of means

The previous chapters described the model as a framework that integrates two theoretical formulations: John Dewey's theory of inquiry describes a method for conducting the critique; a contingency model serves as the basis for conceptualizing elements of the change proposed in planning documents. The contingency model for organizational change is embedded within the theory of inquiry structuring the critique on critical elements of organizational change. The relation between the integrated models is mapped as a form within a form.
This chapter further addresses the first purpose of this study: to describe a theoretical model that displays elements of the change strategy. The separate elements of the model have been drawn from many sources, however, the integrated model proposed here has standing as a whole and new entity. While the model was defined and explained in earlier chapters, this chapter gives procedures for validating the integrated model's capacity to display elements of the change strategy embedded in a plan, to indicate elements of the change strategy which are not clear; to indicate lack of linkage between and among elements of the change strategy; and to indicate incongruities in the change strategy given in a set of planning documents. The study is designed (1) to validate the content of the screening instruments for the model (2) and to validate the construct of the model by applying these instruments to a set of existing planning documents.
Two tests are applied to examine the validity of the screening instruments: 1) a jury of expert practitioners examined the instruments and provided evaluations of the content of the screening devices; and 2) a critique of an existing implementation plan developed by using the screening mechanisms for the model is presented to demonstrate the application of the theoretical construct of the model.

Description of Research Methodology

The study is a case of methodological research in which the researcher tests a method for obtaining and analyzing data.¹ The method tested in this study is the use of the model as a vehicle to gather and analyze information contained in implementation plans. This investigation is designed to test the validity of the model.

The investigation is structured in two testing phases. First, the testing of the content validity of the model is performed by eliciting responses to the model by expert practitioners and second, the construct validity of the model is tested through the application and demonstration of the model to a specific case.

Test One - Content Validity

The two tests designed for this study are used as measures of instrument evaluation:

The research findings obtained from a sample of subjects can be no better than the instruments employed to collect data. One of the most important tasks researchers perform, therefore, is to evaluate the validity, reliability, objectivity, and suitability of their data collection instruments and to explain and defend their evaluations in the written reports of their investigations.²

Broadly stated "an appraisal instrument that measures what it claims to measure is valid."³ The screening devices in this study are claimed to have validity as instruments to identify elements of a change strategy in an implementation plan. The screening instruments are designed to point out indicators for critical variables of organizational change in a planning document. The validity of the items and the categories as referents to elements of organizational change must be established. Thus the investigation is first designed to assess the content validity of the screening instruments for the model.

Content validity (logical, curricular, sampling) is established by studying and analyzing the content of a subject area and designing an instrument to measure aspects of that

³ Ibid., p. 135.
Initially the content validity of the screening devices for this study was based on examination and analysis of literature and research in fields of study related to the subject of organizational change, implementation studies and educational reform. This research was reported in Chapter II of the dissertation. The generic questions for each category of the model were derived from that body of literature. The generic questions were then arrayed in sets in a format which displays the elements and indicators of the model.

**Selection of Jury**

The screening instruments were submitted to a jury of experts to assess the fitness of the generic questions and the categories to identify elements of the change strategy in planning documents. The purpose for jury estimates was to determine how well the screening devices capture information critical to organizational change and in particular to change in a school district setting. Thus the jury review of the screening instruments constituted a test for content validity.

The jury was selected from current and former staff of the New Jersey Department of Education, Office of Compliance Investigation. These staff members had regularly reviewed district implementation plans for comprehensive reform as a function of their assigned professional duties over the period 1986-1991.

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The work products of the Office of Compliance Investigation were developed under the direction of the Assistant Commissioner for County and Regional Services reporting to the Commissioner of Education for the state of New Jersey. Thus the jury was comprised of practitioners conducting assessments of district implementation plans on a frequent and regular basis over an extended period of time. Further, the work of these experts was subject to supervision and approval by the Assistant Commissioner for the Department of Education.

Five individuals were asked to review the screening instruments; these five are past and present officials of the Office of Compliance Investigation. This office routinely reviews "Level III Review Reports" assessing district problems and "Corrective Action Plans" projecting district defined remedies for state identified problems. The jury was comprised of three current staff members of the office; one former administrator of the office; one current administrator of the office.

Jurors were asked to make judgments concerning the relevance of generic questions to the categories of the model and the relevance of the categories to development of planning documents for implementation initiatives for educational reform. Jury responses were also analyzed to assess if the sampling of generic questions was adequate to be representative of the categories of the model and if the
categories of the model are factors constituting the construct of organizational change.

Findings concerning the content validation provided through the jury review are presented in Chapter IV of the dissertation. Ultimately the review is just another process of judgment.

Content validation, then, is basically judgmental. The items of a test must be studied, each item being weighed for its presumed representativeness of the universe. This means that each item may be judged for its presumed relevance to the property being measured, which is no easy task. Usually other 'competent' judges should judge the content of the items. The universe of content must, if possible, be clearly defined; that is, the judges must be furnished with specific directions for making judgments, as well as with specification of what they are judging. Then, some method for pooling independent judgements can be used.9

Data Collection and Recording

The elements of the model: task, structure technology, actors were taken from literature in the field of organizational theory as factors which constitute the construct of "the organization." The set of generic questions given in the model were derived from the investigator's interpretation of various studies, theories, commentaries concerning the four factors identified as variables affecting organizational change. The test for content validity then attempts to assess whether a jury of field practitioners agree

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that the content of the generic questions constitutes and
describes the variables of the model.

To assess levels of consensus toward the items, jurors
were asked to rate each question for its relevance to the
factor with which it is associated. The ratings were
structured on a Likert type scale with five scale units
indicating levels of agreement for each generic question:

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<td>strongly agree</td>
<td>disagree</td>
<td>neutral</td>
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The questionnaire (Table 1) was designed to gain an
initial measure of content validity for generic questions
associated with the variables of the model. It was structured
to comply with suggested criteria for questionnaires for
research (Kerlinger, 1965):

1. Generic questions are related to the research objectives.
2. The ratings of relevancy are related to the research objectives.
3. The generic questions are written to be unambiguous.
4. The ratings of relevancy are not leading.
5. The information and knowledge required of jurors are within the scope of their professional practice.
Table 1  PROBLEM STATEMENT QUESTIONNAIRE

Directions

This questionnaire is designed as a guide for reviewing a narrative description explaining a problem situation in a failing school district. (A "Level III Review Report" stands as an example of a narrative statement that describes and explains a difficult problem situation within a failing school district). The questionnaire contains sets of generic questions to probe beneath a description of facts about district problems to uncover organizational causes for problems.

The questionnaire identifies four organizational variables as factors shaping a district problem situation: task, structure, technology and actors. For each variable a series of questions is listed. These questions are given as indicators for the variables. They are questions to help the reviewer determine the organizational focus of district problems. The questions are designed to trigger consideration of organizational factors as underlying causes for district problems.

You are asked to participate in the first testing of these generic questions. Please rate each question giving your estimate of its relevancy for a problem statement describing and explaining a district's failure. By indicating agreement with an item you are rating the question as significant as a factor to develop an organizational explanation for a problem situation in a district. By indicating disagreement with an item you are rating the question as insignificant as a factor for an organizational explanation of a problem situation in a district. Each question should be judged separately. All of the questions may have the same or different levels of significance as indicators for the variables. As indicated below, please circle the number that most closely corresponds to your assessment of the significance of the question as a factor to consider for an organizational explanation of a problem situation in a school district.

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<td>strongly disagree</td>
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Task: Task refers to district purpose, goals, work including operationally meaningful subtasks.

1.1 Does the problem statement give a description of the problem situation?

1. The problem describes the contextual wholeness of the problem situation
2. The facts of the situation are given as terms of the problems
3. The problem definition states or implies the structure - the relationship of elements of the problem to the whole situation

1.2 Does the problem statement give a description of the district's mission - its central task(s)?
Table 1 (continued)

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<td>1.3</td>
<td>Does the problem statement give a description of expectations for members of the district and others with whom they interact?</td>
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<td>Does the problem statement give a description of the district's role in a larger system which guides the district's actions in certain directions and not others?</td>
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<td>1.5</td>
<td>Does the problem statement give a description of entities which are obstacles to or opportunities for task achievement?</td>
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<td>1.6</td>
<td>Does the problem statement describe policy/statutory factors - which are obstacles to or opportunities for goal task achievement? Factors may include:</td>
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<td>1. Clear and consistent policy objectives</td>
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<td>3. Allocation of financial resources</td>
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<td>6. Commitment of federal, state, local officials</td>
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<td>7. Formal access by outsiders</td>
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<td>1.7</td>
<td>Does the problem statement describe non-statutory factors affecting the implementation of district goals/tasks? Factors may include changes in socioeconomic conditions and technology.</td>
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<td>1.8</td>
<td>Does the problem statement define:</td>
<td>1</td>
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<td></td>
<td>1. The constituents of the problem</td>
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<td>2. The projected solution</td>
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<td></td>
<td>3. The organizational location of the problem within the district</td>
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Table 1 (continued)

**Structure:** Structure refers to systems of authority and systems of work flow.

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<tr>
<td>2.1</td>
<td>What positions and/or units are designated as responsible for tasks related to the problem at the institutional, managerial and technical levels of the district?</td>
<td>1</td>
<td>2</td>
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<tr>
<td>2.2</td>
<td>Are positions and/or units given clear-cut tasks establishing specialization of activities related to the problem at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
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<tr>
<td>2.3</td>
<td>What authority structure related to the problem controls activities through positions and/or units at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>2.4</td>
<td>What control procedures related to the problem effect implementation at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
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<td>3</td>
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<tr>
<td>2.5</td>
<td>What information systems related to the problem effect the implementation at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>2.6</td>
<td>What standard rules related to the problem effect the implementation of the change impacting on the uses of time, space, resources, etc., at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
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**Technology:** Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

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<tbody>
<tr>
<td>3.1</td>
<td>What materials are used in work operations that affect the problem at the institutional, managerial, and technical levels of the district?</td>
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<td>2</td>
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<tr>
<td>3.2</td>
<td>What work operations are described as affecting the problem situation at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
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<tr>
<td>3.3</td>
<td>What knowledge is required and described explicitly or implicitly affecting the problem at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
<td>2</td>
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<td>4</td>
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<tr>
<td>3.4</td>
<td>What are the uncertainties, exceptions, and problems involved in the work processes at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
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<tr>
<td>3.5</td>
<td>In relation to the identified uncertainties how are the work processes structured, i.e., long-linked, mediated, or intensive sequences?</td>
<td>1</td>
<td>2</td>
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**Actors:** Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

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<tr>
<td>4.1</td>
<td>What aptitudes are required to apply techniques and to operate within the structures described in the problem statement?</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
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<tr>
<td>4.2</td>
<td>What training is required to apply techniques and to operate within the structures described in the problem statement?</td>
<td>1</td>
<td>2</td>
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<td>4</td>
</tr>
<tr>
<td>4.3</td>
<td>What experience is needed to apply techniques and operate within the structures described in the problem statement?</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
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<tr>
<td>4.4</td>
<td>What provisions does the problem statement suggest to increase aptitude through training to improve work operations?</td>
<td>1</td>
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Table 1 (continued)

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<tr>
<td>4.5</td>
<td>What provisions does the problem statement describe to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels?</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>4.6</td>
<td>What arrangements are implied or stated in the problem statement to provide individuals opportunity to interact positively with peers and others as they work within the district?</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>4.7</td>
<td>What arrangements are implied or stated in the problem statement to provide rewards for achievement to enhance the self esteem and the reputation of individuals as they work within the district?</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>4.8</td>
<td>What arrangements are implied or stated in the problem statement which provide autonomy and control for individuals as they work within the district?</td>
<td>1</td>
<td>2</td>
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</table>
This questionnaire is designed as a guide for reviewing an implementation plan correcting a problem situation in a failing school district. (A "Corrective Action Plan" stands as an example of an implementation plan that projects activities to remedy a problem situation in a school district). The questionnaire contains sets of generic questions to uncover the organizational change strategy embedded in the plan.

The questionnaire identifies four organizational variables as factors shaping an organizational change strategy: task, structure, technology and actors. For each variable a series of questions is listed. These questions are given as indicators for the variables. They are questions to help the reviewer determine the organizational change strategy given or implied in the plan.

You are asked to participate in the first testing of these generic questions. Please rate each question giving your estimate of its relevancy for determining the change strategy in a district implementation plan. By indicating agreement with an item you are rating the question as significant as a factor to determine the organizational change strategy in an implementation plan. By indicating disagreement with an item you are rating the question as insignificant as a factor to determine the organizational change strategy given or implied in a district implementation plan.

Each question should be judged separately. All of the questions may have the same or different levels of significance. As indicated below, please circle the number that most closely corresponds to your assessment of the significance of the question as a factor to determine the organizational change strategy given or implied in a district implementation plan.

<table>
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<th>3</th>
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<tr>
<td></td>
<td>strongly disagree</td>
<td>disagree</td>
<td>neutral</td>
<td>agree</td>
<td>strongly agree</td>
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</table>

**Task:** Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

1.1 ____ Does the implementation plan provide a broad statement describing the solution to the problem situation?

1.2 ____ Does the implementation plan give a description of the district's mission - its central task(s).

1.3 ____ Does the implementation plan state changed expectations for members of the district and others with whom they interact?
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<td>1.4</td>
<td>Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others?</td>
<td>1</td>
<td>2</td>
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<td>1.5</td>
<td>Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement.</td>
<td>1</td>
<td>2</td>
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<tr>
<td>1.6</td>
<td>Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors my include:</td>
<td>1</td>
<td>2</td>
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<td></td>
<td>1. Clear consistent policy objectives</td>
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<td>2. Adequate causal theory</td>
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<td></td>
<td>3. Allocation of financial resources</td>
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<td></td>
<td>4. Hierarchical integration within and among implementing agencies</td>
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<td>5. Decision rules of implementing agencies</td>
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<td>6. Commitment of implementing officials</td>
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<td>7. Formal access by outsiders</td>
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<td>1.7</td>
<td>Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic and technology.</td>
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<td>4</td>
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<tr>
<td>1.8</td>
<td>Does the implementation plan define:</td>
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<td></td>
<td>1. Constituents of the problem solution</td>
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<td>2. The organizational location of problem solution factors</td>
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<td>1.9</td>
<td>Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:</td>
<td>1</td>
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<td></td>
<td>1. Adaptiveness</td>
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<td>2. Production</td>
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<td>3. Efficiency</td>
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<td>4. Job satisfaction</td>
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<td>5. Order</td>
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<td>6. Culture</td>
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<td>7. Communication</td>
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Table 2 (continued)

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?

Structure: Structure refers to systems of authority and systems of work flow

3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial, and technical levels of the district?

3.2 Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district?

3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?

3.4 What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

3.5 What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

3.6 What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?
Table 2 (continued)

**Technology:** Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

| 4.1 | What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district? | 1 | 2 | 3 | 4 | 5 |
| 4.2 | What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district? | 1 | 2 | 3 | 4 | 5 |
| 4.3 | What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district? | 1 | 2 | 3 | 4 | 5 |
| 4.4 | In relation to the identified uncertainties how are work processes to be structured i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional managerial, and technical levels of the district? | 1 | 2 | 3 | 4 | 5 |

**Actors:** Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

<p>| 5.1 | What aptitudes are required to apply techniques and to operate within the structures provided in the plan? | 1 | 2 | 3 | 4 | 5 |
| 5.2 | What training is required to apply techniques and to operate within the structures provided in the plan? | 1 | 2 | 3 | 4 | 5 |
| 5.3 | What experience is needed to apply techniques and operate within the structures provided in the plan? | 1 | 2 | 3 | 4 | 5 |
| 5.4 | What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan? | 1 | 2 | 3 | 4 | 5 |</p>
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<th>Question</th>
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<tr>
<td>5.5</td>
<td>What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and operate within the structure provided in the plan?</td>
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<tr>
<td>5.6</td>
<td>What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and to operate within structures defined in the plan?</td>
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<tr>
<td>5.7</td>
<td>What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan?</td>
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<tr>
<td>5.8</td>
<td>What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and to operate within structures defined in the plan?</td>
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6. The questions do not demand personal or sensitive information the rater may resist.

7. The questions are not loaded with social desirability values.

The questionnaires were mailed to individual raters and returned by mail for analysis. Rating sheets did not require identification of jurors so that respondents remained anonymous.

Data Analysis

The ratings by jurors for each item were pooled and each item was given a mean score. Those items with average scores at level four and five were counted as having a high degree of content validity for the factor. Those items with scores at level two and one were counted as having a low degree of content validity for the factor.

The individual subscores of ratings for each factor were then added to determine the attitude of the individual jury members to the relevance of the variable as a factor for assuring an organizational change strategy in a district implementation plan. Here, the interest of the investigation is in the attitude of jurors to each of the variables as a function within the construct of the model. The pooled scores for each item of the screening instruments and the subscores for individual ratings for each variable are summated scales. The summated scales give measures of favorable - unfavorable
responses to items which are assumed to have manifest relation
to the variables of the model.

The separate items or questions in an attitude
scale are usually not of interest in themselves;
the interest is, rather, in each individual's total
score or in the subscores that result from the
combination of the individual's responses to
various items. The total score is assumed to
indicate each individual's position on a more
general attitude.6

Methodological Assumptions

The assumptions underlying the test for content validity
are implied or stated explicitly in the previous description
of the stages and procedures for Test 1. However, to present
them for review they are given here in summary form.

1. A test for content validity requires that judgments
   by objective and knowledgeable reviewers are
   brought to bear on the selected subject matter.

2. The reviewers are assumed to have the same or a
   common frame of reference for making their
   assessments of the content of items.

3. This first test of the content validity of items is
   a preliminary step in the final refinement of the
   content of the items of the screening instruments.

4. Further validation of the content might include
   refining content where it is not clear, correcting
   weaknesses in the format, improving and
   standardizing the method of scoring the instrument
   and establishing additional reliability and
   validity data.

---

6 Claire Selltiz, Lawrence S. Wrightsman, Stuart W. Cook,
Research Methods in Social Relations, (New York: Holt,
Limitations

The test for content validity is only an initial step in a process of refining the screening instruments. The test is actually a pretest, given to a small sample of subjects. Additional tests with a larger sample of judges would allow for refinement of content, clarification of content, revising directions, correcting weaknesses in format.

The testing of the items yields limited data concerning the content of generic questions. Jury responses only indicate a broad assessment of the capacity of generic questions to disclose information relevant to an organizational change strategy. This limitation is built into the test because the investigation is designed to get an assessment of all the questions and each question is conceptually "packed." If additional evaluations were required for each generic question, the scope, depth and length of the test would have been overly burdensome for jurors. For this reason, the jury review was limited to one measure - the relevancy of each item as an indicator of an organizational change strategy.

Beyond the limitations built into the design of this test for content validity there are other limitations that are not under the control of the investigator. Chief among these is the reliability of the jurors as respondents to the questionnaire. Van Dalen observed:
Some subjects may not supply accurate answers,... for they may suffer from faulty perception or memory or may not be able to express impressions and ideas adequately in words. Respondents who are not free, willing, or qualified to divulge information may ignore certain questions or falsify their answers. Many people do not give thoughtful consideration to questionnaires; they fill out forms carelessly... Not uncommonly, respondents tailor replies to conform with their biases, to protect their self interests, to place them in a more favorable light... If they (questionnaires) are to be used to measure variables in an investigation, they must be pretested, refined, and subjected to the same evaluative criteria of validity, reliability, and objectivity as tests, scales and other measurement instruments.7

Finally, we have no way of measuring the quality of a question. A question cannot be "verified" empirically; it is not a matter of fact. A question can only be judged as having value within some realm of inquiry. The judgment here is an estimate of the relevancy of the questions to the realm of organizational change in a school district setting.

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Test Two - Construct Validity

Van Dalen defined a logical construct as a property that is hypothesized to explain a highly complex concept composed of many interrelated factors. The logical construct tested here is the construct of the model as a map of organizational change. The model is a conceptual framework for uncovering the hypothesis within a plan.

While the prior test for content validity assessed whether the items of the screening instruments were representative indicators for the variables of the model, the test for construct validity estimates whether the theoretic framework as a whole reveals the change strategy of an implementation plan. The test for construct validity evaluates the strength of the model as an instrument to discern the hypothesis for change given in a planning document.

Construct validation is . . . an assessment of the theory behind a test (an instrument). It determines to what extent a test taps what is implied by the theoretical definition. Evidence (is) obtained that confirms the hypothesis and indicates that the test does measure the relationships predicted by the hypothesis.*

The test for construct validity provided here is certainly not conclusive. The test is designed to "try" the model against an existing planning document. The trial case is presented to expose the steps of the testing so that the

observer can trace the stages of the application and form an assessment of the model's capacity to uncover the hypothesis for change within a plan.

The application of the model yields a set of questions concerning the plan. Are these questions worth asking? Do the questions highlight significant factors missing or unclear in the formulation of the plan? How can one know if the questions from the inquiry are relevant to clarifying and improving the change strategy proposed in the plan? At bottom, the question is - is the model a construct which describes the process of organizational change? What evidence does the application provide to indicate that this construct is useful and explanatory?

The model has face validity since it includes the points of emphasis suggested by organizational theorists. Theories tend to emphasize one or more of the core variables of the model: task, structure, actors, and technology as the leading factor(s) affecting the change process. The construct of this model raises questions concerning each factor so that the relative emphasis given to core variables in a specific plan is raised for public inspection. The model is silent concerning the value of one approach over another for creating change in the organization.

The model is intended to cast a searchlight over the specific plan to find the outlines of the change strategy, to raise questions from existing theory and research to assist
the practitioner as he/she creates an imagined future for the organization. The application presented in the case study is provided to demonstrate that the model can yield questions relevant to the theoretic construct underlying the model. The application doesn’t attempt to prove the validity of the theory itself for this is not directly provable. The intent here is merely to show that the theory is "good" - useful since it can work to reveal insights into a plan as a change strategy. Thus, the application is an indirect, albeit limited test of the construct validity of the model.

The model dictates that the plan to be analyzed has standing as a hypothesis. The plan is an assertion, a hypothesis about the reconstruction of a problematic situation. Dewey’s theory of inquiry defined a hypothesis as a "plan and policy for existential resolution of the conflicting social situation." *

In this study the process of critique is applied to uncover the structure of the particular hypothesis that is the plan. The hypothesis tested is the written plan for implementing an educational reform initiative. In effect, the plan stands as a hypothesis asserting that if indicated actions are taken then reform goals will be achieved. The critique is a stage in the public testing of a particular hypothesis for a specific social situation. Viewing a plan as

a hypothesis it is apparent that the formulation of a clear hypothesis concerning complex human action is difficult. It is this difficulty the proposed model addresses.

A hypothesis is defined as a statement asserting a presumed relation among natural phenomena.\textsuperscript{10} The hypothesis expresses a conclusion that one set of phenomena is a function of another set of phenomena. Simply put a hypothesis is a statement that as x changes so y changes.\textsuperscript{11} The researcher developing a hypothesis attempts to state: first, the existence of the functional relationship between sets of phenomena; second the general direction of the relationship and; third, a more precise quantified statement of the relationship.

This study examines a complex plan that stands as a hypothesis asserting that changes in certain organizational activity will result in improved performance in specific organizational objectives. A plan indicates a causal relationship not merely one of covariance of variables. While science may hesitate to assert a direct causal relationship between factors x and y, in the practical world of educational reform, agents must act with or without scientific certainty. They must do something. That which they choose to do may derive from conventional wisdom, practical experience, expert

\textsuperscript{10} Kerlinger, \textit{Foundations of Behavioral Research}, p. 13.

advice, political necessity, research bases - judgment warranted or unwarranted.

The application of the model subjects the hypothesis to examination prior to action so that practitioners can study the plan in a systematic rational manner. Popper stated that the "result of tests is the selection of hypotheses which have stood up to tests, or the elimination of those hypotheses which have not stood up to them and which are therefore rejected."\textsuperscript{12} Popper defined these tests of hypotheses as attempts to weed out false theories, as efforts to identify the weak points of a theory. He stressed the need to test and to find fault with tentative hypotheses. The model for critiquing implementation plans formalizes the testing of the hypothesis given in the planning document. The critique is a stage in the testing procedure; it is an event prior to action.

The critique tests the hypothesis - the plan - to generate questions the planner may use to refine and improve the hypothesis. Van Dalen stressed the importance of this close examination of the hypothesis.

Higher-quality hypotheses are produced if investigators prolong the solution searching process, separate it from solution - evaluation

process, and delay the solution - selection process.\textsuperscript{13}

In this testing process, the hypothesis is examined to clarify projected objectives and activities. To examine the hypothesis the method - the critique, uses sets of generic questions that examine the plan for its meaning in relation to four elements of organizational change: task definition, structure, technology and actors. As clarity is achieved, potential deficits in the strategy will emerge. However, these possible deficits only arise as questions. Van Dalen emphasized the care and close attention required in the construction of hypotheses.

In major research projects the indirect method of attacking problems may lead through intricate and remote channels of reasoning. In any investigation one must check one's reasoning to make certain that the consequences are logically implied by the hypothesis, for there is no point in testing them if they are not.\textsuperscript{14}

The ultimate test of the hypothesis is its implementation.

After a hypothesis is evaluated critically for logical consistency and completeness, it remains a mere guess - and possesses little explanatory value - until empirically verifiable evidence is produced to support it.\textsuperscript{15}

The case study presented here demonstrates a method for performing the initial phase of testing the logic of the

\textsuperscript{17} Van Dalen, \textit{Understanding Educational Research}, p. 199.

\textsuperscript{14} Ibid., p. 204.

\textsuperscript{15} Ibid., p. 203.
hypothesis - a plan to implement educational reform. This case study is constructed to:

(1) Select an existing planning document that describes projected activities to achieve an educational reform initiative in an urban school district;

(2) Sort information contained in the document into categories of the model;

(3) Apply sets of generic questions from the model to the contents of the reconstructed planning document.

(4) Derive case specific questions from the application of generic questions to the content of the planning document:

   4.1 to index a series of questions concerning the organizational change strategy given in the plan

   4.2 to index a series of questions concerning elements of the change strategy which are not clear

   4.3 to index a series of questions concerning deficits in the organizational change strategy given in the plan

   4.4 to index a series of questions concerning any lack of linkage between or among elements of the change strategy given in the plan

(5) Present specific questions and observations in document form.

Selection of the Case

The selection of a specific planning document for the case study was based on the following criteria:

1. The planning document is an implementation plan for a reform initiative in an urban district.
2. The planning document is based upon prior analysis of district problems.

3. The analysis of district problems is detailed in a formal document.

To access the documents for the study, the researcher requested that the New Jersey Department of Education release public records of monitoring for an urban district in the state. The researcher asked the Office of Compliance Investigation of the New Jersey Department of Education to identify a district which had completed an implementation plan in response to the state's monitoring process. Officials of the Department of Education identified an urban district with an approved corrective action plan.

The New Jersey Department of Education was selected as a source for the case study since the department has one of the most rigorous and refined procedures for district review. The monitoring process is conducted at increasing levels of intense inspection. All districts are reviewed on a set of standards of performance every five years. A district failing these standards is required to develop an improvement plan.

After a year of implementation, the district implementation effort is reviewed, and if it fails to achieve state standards, the department conducts a "Level III Review" (Appendix A). This review includes analysis of management, governance, and operations to identify causal factors accounting for failure to achieve state standards.
The "Level III Review Report" documents deficiencies and identifies organizational problems contributing to low performance. The report requires that the district develop a plan responding to state directives given in the Level III Review Report. The district submits its plan for state review. Officials critique the plan and forward a summary of identified deficiencies to the district in letter form. The district modifies and resubmits the Corrective Action Plan for state approval. This process yields a set of documents suitable to the analysis proposed for this study. These documents are:

1. **Level III Review Report (Appendix A)**

   An analysis of causal factors influencing the district’s failure to achieve state standards for certification.

   A set of directives mandating changes in practices contributing to the district’s failure to achieve state standards for certification.

2. **Corrective Action Plan (Appendix B)**

   A formal planning document describing goals, objectives and activities projected to respond to state directives given in the Level III Review Report.

3. **State Notification (Not included)**

   A letter to the district detailing changes, additions and deletions to the corrective action plan required by the Department of Education.
Application of the Model

The New Jersey Department of Education, Office of Compliance provided two documents for use in this study: "The Level III Review Report" setting forth the state's findings and directives concerning district deficiencies; and "The Corrective Action Plan" laying out the district's intended efforts to remedy cited deficiencies. Other documents referencing the analysis of district problems and plans to address problems were not reviewed by the researcher.

The "Level III Review Report" stands as the problem statement guiding the development of the plan. Its sections correspond to sections of the district's corrective action plan. For purposes of demonstrating the application of the model a sampling of sections of the "Level III Review Report" and the "Corrective Action Plan" were selected. The researcher selected the sections of the report covering governance, with corresponding sections of the district plan.

The number of sections was limited because the plan is lengthy containing ten sections totaling 147 pages. For demonstration purposes a subset of sections of the plan should be sufficient to serve as an example of the application of the model. The entire "Level III Review Report" and the complete implementation plan are provided as appendices to the study.

The researcher did not conduct interviews with district personnel or state officials concerning the contents of the
report or the plan. Since the study was designed to assess the value of the applied model as a method for analyzing documents, the researcher excluded other sources of information that could bias judgment.

Data Collection and Recording

The procedure for applying the model was structured on Dewey's method of inquiry. Using this method the researcher first examined the problem statement to discern the underlying construct - the conceptual framework explaining the problematic situation. The problem statement was subjected to close inquiry by applying each generic question for the problem statement to the "Level III Review Report." Then the researcher examined the implementation plan to discern the elements of the change strategy and the relation of the change strategy to the problem situation. The process is one that requires a constant movement of the mind's eye back and forth between the problem statement and the implementation plan.

To structure the inquiry into the problem situation and the implementation plan the researcher developed two matched forms to trace the contents of the problem statement and the implementation plan. The mapping devices are designed to capture and organize information from the documents into the conceptual framework of the model. The mapping of items to critique the problem statement is presented here in Table 3. The questions relating to the implementation plan are given in Table 4. Note that questions regarding structure, technology
and actors are mirrored in both forms with the inquiry concerning critical variables focused on the problem situation in Table 3 and the plan of action in Table 4. The forms serve as "working papers" documenting the researcher's notations so that the judgment process of the critique is placed in the public domain.

The working papers were inserted into a "notebook" containing a record of the entire critique of the documents. The notebook is divided into sections corresponding to directives of the "Level III Review Report", the problem statement, and to activities addressing those directives in the "Corrective Action Plan", the implementation plan.

In summary, the application of the model is presented in a "notebook" that traces the steps the investigator took developing the critique. The notebook records the methodology applied so that the judgment process is exposed to public scrutiny.

The working papers are structured so that all generic questions are applied to each "batch" of content selected for the demonstration. Each question is checked to indicate that the document contains or does not contain information
Table 3 WORKING PAPERS: PROBLEM STATEMENT ANALYSIS

Document Section

Task: Task refers to district purpose, goals, work including operationally meaningful subtasks.

1.1 Does the problem statement give a description of the problem situation?
   1. The problem describes the contextual wholeness of the problem situation
   2. The facts of the situation are given as terms of the problems
   3. The problem definition states or implies the structure - the relationship of elements of the problem to the whole situation

1.2 Does the problem statement give a description of the district's mission - its central task(s)?

1.3 Does the problem statement give a description of expectations for members of the district and others with whom they interact?

1.4 Does the problem statement give a description of the district's role in a larger system which guides the district's actions in certain directions and not others?

<table>
<thead>
<tr>
<th></th>
<th>NA</th>
<th>N</th>
<th>I</th>
<th>NC</th>
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<td>1.4</td>
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</tbody>
</table>

**KEY**

NA Content of the question does not apply to the problem.
N Information is not contained in the document.
I Information in the document is incomplete, limited.
NC Information in the document is not clear, vague, abstract.
Y Information is contained in the document.
Table 3 (continued)

1.5 Does the problem statement give a description of entities which are obstacles to or opportunities for task achievement?  

| NA | N | I | NC | Y |

1.6 Does the problem statement describe policy/statutory factors - which are obstacles to or opportunities for goal task achievement? Factors may include:

1. Clear and consistent policy objectives
2. Adequate casual theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of federal, state, local agencies
6. Commitment of federal, state, local officials
7. Formal access by outsiders

| NA | N | I | NC | Y |

1.7 Does the problem statement describe non-statutory factors affecting the implementation of district goals/tasks? Factors may include changes in socioeconomic conditions and technology.

| NA | N | I | NC | Y |

1.8 Does the problem statement define:

1. The constituents of the problem
2. The projected solution
3. The organizational location of the problem within the district

| NA | N | I | NC | Y |

Structure: Structure refers to systems of authority and systems of work flow.

2.1 What positions and/or units are designated as responsible for tasks related to the problem at the institutional, managerial and technical levels of the district?

| NA | N | I | NC | Y |

2.2 Are positions and/or units given clear-cut tasks establishing specialization of activities related to the problem at the institutional, managerial, and technical levels of the district?

| NA | N | I | NC | Y |
Table 3 (continued)

| 2.3 | What authority structure related to the problem controls activities through positions and/or units at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |

| 2.4 | What control procedures related to the problem effect implementation at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |

| 2.5 | What information systems related to the problem effect the implementation at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |

| 2.6 | What standard rules related to the problem effect the implementation of the change impacting on the uses of time, space, resources, etc., at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |

Technology: Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

| 3.1 | What materials are used in work operations that affect the problem at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |

| 3.2 | What work operations are described as affecting the problem situation at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |

| 3.3 | What knowledge is required and described explicitly or implicitly affecting the problem at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |

| 3.4 | What are the uncertainties, exceptions, and problems involved in the work processes at the institutional, managerial, and technical levels of the district? |
|     | NA N I NC Y |
3.5 In relation to the identified uncertainties how are the work processes structured, i.e., long-linked, mediated, or intensive sequences?

**Actors:** Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

4.1 What aptitudes are required to apply techniques and to operate within the structures described in the problem statement?

4.2 What training is required to apply techniques and to operate within the structures described in the problem statement?

4.3 What experience is needed to apply techniques and operate within the structures described in the problem statement?

4.4 What provisions does the problem statement suggest to increase aptitude through training to improve work operations?

4.5 What provisions does the problem statement describe to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels?

4.6 What arrangements are implied or stated in the problem statement to provide individuals opportunity to interact positively with peers and others as they work within the district?

4.7 What arrangements are implied or stated in the problem statement to provide rewards for achievement to enhance the self esteem and the reputation of individuals as they work within the district?

4.8 What arrangements are implied or stated in the problem statement which provide autonomy and control for individuals as they work within the district?
Table 4 WORKING PAPERS: IMPLEMENTATION PLAN ANALYSIS

Document Section

<table>
<thead>
<tr>
<th>Task</th>
<th>Question</th>
<th>NA</th>
<th>N</th>
<th>I</th>
<th>NC</th>
<th>Y</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Does the implementation plan provide a broad statement describing the solution to the problem situation?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>Does the implementation plan give a description of the district's mission - its central task(s).</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3</td>
<td>Does the implementation plan state changed expectations for members of the district and others with whom they interact?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.4</td>
<td>Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td>Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement.</td>
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</tr>
</tbody>
</table>

**KEY**

<table>
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<tr>
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<td>Content of the question does not apply to the problem.</td>
</tr>
<tr>
<td>N</td>
<td>Information is not contained in the document.</td>
</tr>
<tr>
<td>I</td>
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</tr>
<tr>
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<td>Information in the document is not clear, vague, abstract.</td>
</tr>
<tr>
<td>Y</td>
<td>Information is contained in the document.</td>
</tr>
</tbody>
</table>
Table 4 (continued)

1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors may include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

1.7 Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic conditions and technology.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?
Table 4 (continued)

**Structure:** Structure refers to systems of authority and systems of work flow.

<table>
<thead>
<tr>
<th></th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
<th>I</th>
<th>NC</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td>3.2</td>
<td>Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td>3.3</td>
<td>What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td>3.4</td>
<td>What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td>3.5</td>
<td>What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td>3.6</td>
<td>What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
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**Technology:** Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

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<th>No</th>
<th>I</th>
<th>NC</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
</tbody>
</table>
### Table 4 (continued)

<table>
<thead>
<tr>
<th>Question</th>
<th>NA</th>
<th>N</th>
<th>I</th>
<th>NC</th>
<th>Y</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4.2</strong> What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td><strong>4.3</strong> What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td><strong>4.4</strong> In relation to the identified uncertainties how are work processes to be structured i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional managerial, and technical levels of the district?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
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**Actors:** Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

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<th>I</th>
<th>NC</th>
<th>Y</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>5.1</strong> What aptitudes are required to apply techniques and to operate within the structures provided in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td><strong>5.2</strong> What training is required to apply techniques and to operate within the structures provided in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td><strong>5.3</strong> What experience is needed to apply techniques and to operate within the structures provided in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td><strong>5.4</strong> What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
<tr>
<td><strong>5.5</strong> What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and to operate within the structure provided in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
<td>Y</td>
</tr>
</tbody>
</table>
Table 4 (continued)

5.6 _____ What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and operate within structures defined in the plan?

5.7 _____ What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan?

5.8 _____ What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and operate within structures defined in the plan?
indicated. Further the content is assessed for its lack of clarity, incompleteness, and its lack of applicability in relation to each generic question.

NC - Information is not clear, vague, abstract
I - Information is incomplete, limited
N - Information is not included
Y - Information is included
NA - Not applicable

Subtexts for indicators are given for questions in the matched forms. These notations provide a record of assessments of the content for each section and may indicate patterns in the problem statement and the implementation plan that will be useful to planners as they refine and modify the implementation plan.

The working papers for each section of the documents are attached to narrative subtexts. These narrative summaries are attached in turn to the formal critique document that summarizes and references points judged to be of significance to an assessment of the district's organizational change strategy.

The formal critique is extracted from cumulative data from worksheets and the subtext sections of the notebook analyses. This document stands as the critique raising questions concerning the value of the projected activities as means to effect educational reform. The documents which serve to sort data, record analyses and formalize the critique are presented in Chapter IV.
Following the completion of the formal critique the researcher reviewed the analysis to determine the merit of the model as an instrument to reveal the logic of the plan. The logic of the plan is the change strategy embedded in the plan. The researcher applied each of the research questions to assess the utility of the model as a method for judging planning documents:

- Does application of the integrated model expose the elements of the organization change strategy that are given in planning documents?

- Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract in planning documents?

- Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?

- Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

The results of this assessment are provided in Chapter IV of the study.

**Methodological Assumptions**

This test was designed to assess the construct validity of the integrated model for critiquing implementation plans. The method assumes that the value of the construct can be assessed through demonstration. The case presented here opens the application process to public scrutiny so that the procedure for critiquing a specific planning document is
subject to evaluation. Not only are the products, the results of the application presented, but the stages of assessment are shown so that the process of application can be observed.

This test for construct validity is in a sense the testing of a test. The model is designed as a method for testing a hypothesis which is embedded in a plan. The testing is a testing of the logic and meaning of the plan. The methodology for critiquing a plan is built on a set of assumptions concerning the nature of plans.

The most basic assumption embedded in the methodology for this study is that plans are statements of beliefs about future conditions - possible worlds. While plans may reference facts, these facts are only significant as they contribute to imagined projected futures. Moreover, plans are not merely beliefs about natural phenomena, these beliefs are statements of intention. The believer projects a series of actions to attain a desired end. The end is selected as a desired object. The end is not merely the consequence of a natural order of events. Events are chosen and constructed to result in the desired end.

Further a plan is not a single sequence of events. A plan is a complex set of events projected to achieve a desired end. One would hardly describe a simple intention as a plan. But one would refer to a set of projected linked activities to achieve a goal as a plan.
Since a plan is a statement of belief concerning a complex set of projected events to achieve a desired intention it cannot be tested on the grounds of truth. However as a statement of belief it can be subjected to tests of reason and logic. That testing can raise these statements of belief to the level of warranted assertions. For example, if a plan projects a goal to improve student achievement by applying a new technology for instruction, the merit of this action cannot be proven a priori. However, the plan can (1) provide empirical evidence from other cases and; (2) describe the process for applying the technology to instructional practice. Such evidence does not provide grounds for claims of truth but does give reason to assert the probable value of the action as means to achieve the goal of the plan.

The basic assumption for the methodology proposed is that Dewey's formulation, the theory of inquiry, is a construction that can guide educational planning toward a more holistic and systematic analysis. Because Dewey conceived the theory of inquiry as embracing consideration of practical judgments, because Dewey's framework emphasizes the significance of conceptual matter and empirical fact, because Dewey's system provides logical grounding for a plan as a hypothesis, the theory of inquiry is selected as the theoretical base for the methodology applied in this study.

Using Dewey's formulation, the model requires that a problematic situation is defined and that a hypothesis for the
reconstruction of the problematic situation is developed. The hypothesis serves as the end-in-view. The goal(s) and means are contained within the hypothesis. The hypothesis is the conceptualization of the future state through which the original problem is transformed. Dewey stressed the importance of reflection, consideration of alternatives, investigation into the logical grounding of elements, in developing a hypothesis. The study attempts to apply Dewey's construction to a particular case in which a definition of the problematic situation is developed.

The application of the model is a method to establish the plan as a hypothesis as Dewey defines it. The restructured plan is examined in the light of the model to identify missing, vague or ambiguous elements, to examine the change strategy embedded in the plan.

The demonstration case presented here is offered as evidence for the construct validity of the model. It is not assumed that a single application gives proof for the validity of the model as a device to disclose the change strategy in a planning document. The investigator addresses each of the research questions in relation to the products and work papers presented in the demonstration. These conclusions concerning the strengths and weaknesses of the model as a testing device to examine the hypothesis of the plan are presented in Chapter IV and Chapter V of the dissertation.
Limitations

It is argued that the model has value as a testing device for implementation plans. The model discloses relationships between sets of phenomena and indicates the general direction of relationships. The model does not provide precise quantified statements of relationships.

Another important limitation that should be emphasized is the narrow purpose the model serves. The model is designed to expose the organizational change strategy embedded in the plan. It is constructed to formulate the elements of the plan into a framework disclosing the plan as a statement of means. The model does not reveal the feasibility of the plan. For example, the analysis of the plan as a statement of means does not indicate the level of will, determination and commitment within the district to implement the plan.

In summary, the model’s usefulness is limited to one stage of the testing process. Of course the ultimate testing of the plan as a hypothesis is the implementation and evaluation of results. However the benefits of deep scrutiny into the activities and objectives of the plan should allow practitioners opportunity to clarify, enlarge and modify that plan on the basis of reasoned consideration.
Summary

The study describes, explains and applies a model for critiquing implementation plans for educational reform. The model integrates Dewey's theory of inquiry and Leavitt's contingency perspective. It is constructed to capture key interactive variables effecting organizational change. The model serves as a conceptual framework for examining an existing implementation plan for an educational reform initiative. The given purpose of the study is twofold:

1. to describe a theoretical model that displays elements of a change strategy in a planning document
2. to describe a process for assessing the value of a plan as a statement of means

This twofold purpose translates into these research questions:

1. Does the integrated model structure questions that disclose elements of an organizational change strategy?
2. Does application of the integrated model expose the elements of the organizational change strategy that are given in planning documents?
3. Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract in planning documents?
4. Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?
5. Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

The research questions were designed to assess if the integrated model achieves the purpose claimed for it. To answer the research questions two separate tests were applied to the model.

Test 1 was structured to assess if the generic questions of the model are judged to have content validity. The test attempted to verify if the content of the questions is relevant to assess a strategy for organizational change. In other words do the questions get at information critical to understanding the district's strategy for change.

To assess the content validity of the model, a questionnaire was submitted to a jury of expert practitioners. The questionnaire was designed to elicit responses from each juror to each generic question. Responses were restricted to assessments concerning the relevancy of each item to identify elements of an organizational change strategy. The data was analyzed to form a first assessment of the separate items of the model's screening instruments and to gauge the attitude of jurors to each of the key variables as significant factors in a strategy for organizational change.

Test 2 was structured to assess if the theoretic construction of the model has validity. Research questions two, three, four and five, stipulated for the study, ask if the construct of the model works: to disclose elements of an
organizational change strategy; to reveal elements of the change strategy which lack clarity; to indicate lack of linkage between and among elements of the organizational change strategy; and to identify incongruities in the change strategy given in planning documents. Test 2 was designed to "try" the model to discover what information is produced when the model's generic questions are applied to an actual case of an implementation plan for district reform.

The model is used as the theoretical framework for examining the contents of the plan so that the change strategy embedded in the document emerges for closer scrutiny. As the plan is reformulated through the categories of the model, objectives and activities are examined using sets of generic questions for each of the key variables of the model.

The plan is considered a hypothesis and the methodology of the critique is applied as a stage in the public testing of the hypothesis. This testing is not a proof of the hypothesis but is a step in the clarification of the hypothesis as a statement of means. The result of this testing is a reconstruction of the plan into the framework of the model with sets of case specific questions for each section of the plan and summary critiques for each section and the plan as a whole.

The basic assumption for the methodology applied in this study is that plans should be scrutinized as statements of means as well as feasibility. This study addresses that
limited purpose. The applied model formulates the plan as a hypothesis, a statement of means constructed to achieve reform objectives.
A MODEL FOR CRITIQUING PLANS FOR IMPLEMENTATION OF EDUCATIONAL REFORM INITIATIVES IN PUBLIC SCHOOL DISTRICTS

VOLUME II

DISSERTATION

Presented in Partial Fulfillment of the Requirements for the Degree Doctor of Philosophy in the Graduate School of The Ohio State University

By

Deborah Pearce

* * * * *

The Ohio State University

1991

Dissertation Committee:

V. Blanke
G. Reagan
R. Backoff

Approved by

[Signature]
Adviser
College of Education
LIST OF TABLES

<table>
<thead>
<tr>
<th>TABLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Problem Statement Analysis</td>
<td>297</td>
</tr>
<tr>
<td>6. Implementation Plan Analysis</td>
<td>302</td>
</tr>
<tr>
<td>7. Indices for Exclusion of Indicators</td>
<td>403</td>
</tr>
<tr>
<td>8. Indices for Inclusion of Indicators</td>
<td>404</td>
</tr>
<tr>
<td>9. Indices (Unambiguous) for Inclusion of Indicators</td>
<td>405</td>
</tr>
<tr>
<td>10. Indices for Lack of Clarity Indicators</td>
<td>406</td>
</tr>
<tr>
<td>11. Indices for Logical, Causal Linkages</td>
<td>407</td>
</tr>
</tbody>
</table>
TABLE OF CONTENTS

LIST OF TABLES .............................................. ix

CHAPTER

IV. FINDINGS, ANALYSIS AND EVALUATION

| Introduction | ........................................... | 287 |
| Section One - Research Question One | ........................................ | 292 |
| Description of Test for Content Validity | ........................................ | 292 |
| Analysis of Data | ........................................ | 295 |
| Problem Statement Analysis | ........................................ | 296 |
| Implementation Plan Analysis | ........................................ | 312 |
| Findings - Research Question One | ........................................ | 319 |
| Section Two - Research Questions Two, Three | ........................................ | 323 |
| Four, Five | ........................................ | 323 |
| Description of Test for Construct Validity | ........................................ | 323 |
| Critique of an Implementation Plan | ........................................ | 331 |
| Analysis of Data | ........................................ | 408 |
| Findings for Research Questions | ........................................ | 413 |
| Research Question Two | ........................................ | 414 |
| Research Question Three | ........................................ | 419 |
| Research Question Four | ........................................ | 422 |
| Research Question Five | ........................................ | 424 |
| Summary | ........................................ | 426 |

V. SUMMARY, CONCLUSIONS, RECOMMENDATIONS

| Introduction | ........................................... | 431 |
| Summary of the Study | ........................................ | 431 |
| Design of the Model | ........................................ | 433 |
| Design of the Study | ........................................ | 433 |
| Conclusions from Research Findings | ........................................ | 437 |
| Recommendations | ........................................ | 440 |
| Refinement of the Model | ........................................ | 442 |
| Application of the Model | ........................................ | 444 |
| Future Research | ........................................ | 445 |
| Concluding Remarks | ........................................ | 446 |

BIBLIOGRAPHY ........................................... 448

APPENDICES

A. Level III Review Report
B. Corrective Action Plan
CHAPTER IV

FINDINGS, ANALYSIS AND EVALUATION

Introduction

This chapter addresses the research questions posed in this study. Five research questions were drawn from the broad purpose of the study: to describe a theoretical model that displays elements of a change strategy and to describe a process for assessing a plan as a statement of means. The questions were constructed to determine: if the indicators for the integrated model are indices for an organizational change strategy; if the application of the model to planning documents will reveal the change strategy given in the text; if the application of the model will identify elements of the strategy which are unclear, and not linked in a logical course of action; and if identified elements are examined for "fit," incongruities in the strategy will emerge.

Since the study as a whole is complex and the material presented is long, the research questions for the study are restated and briefly reviewed here.
Research Question One

Does the integrated model structure questions that disclose elements of an organizational change strategy?

This question asks if subject matter addressed in generic questions of the model is about organizational change. The model presents sets of questions clustered under the four core variables of the model. Presumably these questions are indicators for the content of these concepts: task; structure; technology; and actors. But are they? It cannot be assumed that questions designed for the model actually refer to the elements of change. The research question raises the issue of the content of the indicators and elements of the model as a subject for validation.

Research Question Two

Does application of the integrated model expose the organizational change strategy given in planning documents?

If it were found that the substance of the questions for the model identifies elements of an organizational change strategy, that would not necessarily mean that the model as a whole reveals a change strategy worded in the text of planning documents. The change strategy is comprised of interacting relationships between and among the elements: task; structure; technology; and actors. The model proposed is not just a set of concepts but is a construct that relates concepts into a framework. Therefore, this research question probes not only to discover if the separate elements of the strategy are
disclosed by the screen of the model but if the relation between the elements is revealed by the frame of the model.

Research Question Three

Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract in planning documents?

To develop a critique of an implementation plan, it is necessary to identify those aspects of a plan which are not clear, as well as those elements which are clear. If the integrated model works as a construct to frame the organizational change strategy, it must not only disclose elements of the plan and the interaction of those elements, it must also reveal elements which blur the meaning of the plan. Therefore, the study structures an examination of the capacity of the model to identify those elements of the change strategy which are not clear.

Research Question Four

Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents.

The prior research questions were designed to expose elements of a strategy which are given in a plan and those which are lacking in clarity. This question is constructed to assess if the model reveals lapses in the logical and causal connections between elements disclosed through the model. The question seeks to ascertain if goals, objectives and
activities are logically related and if task, technology, structure, and actor variables do not logically link in a strategy for change.

Research Question Five

Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

The contingency perspective frames the notion that "fit" between and among core organizational variables determines the effectiveness of action. This research question asks: if elements of the change strategy are examined for fit, will incongruities between and among elements emerge? The basis for this question rests on findings from prior research questions. Thus the finding for this question is a deduction from a deduction. Despite these difficulties, the question is included because it raises to inquiry the underlying premise of the model, that the construct of the model will serve to critique planning documents as a statement of means.

To respond to these research questions two tests for validity were applied to the model: a test for content validity was conducted to respond to research question one; and a test for construct validity was applied to respond to research questions two, three, four and five. The findings from these tests are reported in relation to each of the research questions in this chapter of the study.
The chapter is structured in three broad sections:

Section One - Research Question One
Section Two - Research Question Two, Three, Four, Five
Section Three - Summary

Sections One and Two are patterned to restate research questions; describe and present tests used to gather data; report the analysis of data; present findings and limitations from analysis of data in relation to research questions. Section Three presents an overview of the study highlighting major findings for research questions addressed in the dissertation.
Section One - Research Question One

Does the integrated model structure questions that disclose elements of an organizational change strategy?

This research question is posed to seek confirmation that generic questions given in the model are indicators of an organizational change strategy. Further, the question probes to ascertain whether core variables given in the model are elements of an organizational change strategy. To provide evidence that generic questions of the model do indicate elements of a change strategy, a test for content validity was applied to the content of the model.

This section of the chapter gives a description of the test for content validity, analysis of data from the test, findings and limitations from analysis of data in relation to the research question.

Description of Test for Content Validity

The test for content validity was designed to assess if core variables of the integrated model are elements in an organizational change strategy. The claim for the validity of the content of the model rests on two forms of evidence: 1) the design of the model was informed by judgment, experience and research of expert sources; 2) the content of the model was assessed by a jury of expert practitioners.

(1) The design of the model was guided by theoretic formulations, research, literature and source materials reported in Chapter II of this study. The core elements of
the model originated in literature from studies in organizational change, implementation research, and the history of educational reform. The theoretical bases for the model derived from elements of contingency perspectives in organizational theory and from John Dewey's theory of inquiry.

The content of generic questions given as indicators for the core elements of the model was distilled from studies related to the core variables of the model: task; structure; technology; and actors. Generic questions are listed after each section of the literature review for each core variable, allowing the reader to trace the sources and the logic for inclusion of specific indicators for the model. To restate the case, the "proof" for curricular validity for each of the core elements of the model rests first on the presentation of expert accounts and theoretic formulations reported in the review of the literature section of this study.

(2) The second claim for the validity of the content of the model rests on an assessment of the generic questions of the model as indicators for an organizational change strategy. The test for content validity was designed to estimate the relevancy of core variables and indicators by eliciting responses to indicators of the model from a jury of experts. The jury was comprised of practitioners who review plans for implementation of reform initiatives as a function of their work for the New Jersey Department of Education. The results of that test are reported here as evidence of the validity of the content of the model developed in this study.
Two forms, a "Problem Statement Analysis Questionnaire" and an "Implementation Plan Analysis Questionnaire," were sent to five individuals comprising a jury for the test for content validity. The questionnaires were designed to assess the relevancy of the content of generic questions given in the screening instruments for the model.

Four of the jury were current staff of the New Jersey Department of Education, Office of Compliance Investigation; one was a former director of the office. Jury members were asked to complete questionnaires and to return them unsigned. Four of five jurors completed questionnaires for the study.

The questionnaires asked respondents to rate each question on a scale assessing the relevance of each indicator as a factor in an organizational change strategy. To assess the content of generic questions given in the problem statement questionnaire, respondents were instructed:

By indicating agreement with an item you are rating the question as significant as a factor to develop an organizational explanation for a problem situation in a district. By indicating disagreement with an item you are rating the question as insignificant as a factor for an organizational explanation of a problem situation in a district.

To assess the content of generic questions given in the implementation plan questionnaire, respondents were instructed:

By indicating agreement with an item you are rating the question as significant as a factor to determine the organizational change strategy in an
implementation plan. By indicating disagreement with an item you are rating the question as insignificant as a factor to determine the organizational change strategy given or implied in a district implementation plan.

The scale for rating indicators spread assessments on a five point base:

<table>
<thead>
<tr>
<th></th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>strongly disagree</td>
<td>disagree</td>
<td>neutral</td>
<td>agree</td>
<td>strongly agree</td>
</tr>
</tbody>
</table>

Analysis of Data

Responses from the jurors were separated into two batches, "Problem Statement Analysis" forms, and "Implementation Plan Analysis" forms. Each batch contained a set of four response forms with ratings for each indicator for core variables of the model.

The ratings by jurors for each indicator were then pooled and each item was given a mean score. Those indicators with average scores at level four and five were counted as having a high degree of content validity. Those indicators with scores at level two and one were counted as having a low degree of content validity. Those indicators with mean scores between 3.0 and 3.5 were counted as showing weak tendency for content validity and those indicators with mean scores between 3.5 and 4.0 were counted as showing strong tendency for content validity.

The total summated scores of ratings for each variable were added and the total sum was divided by four to determine a mean score for each core variable. Table 5 reports the
array of mean scores for each indicator of the "Problem Statement Analysis" form and Table 6 reports the array of mean scores for each indicator of the "Implementation Plan Analysis" form.

**Problem Statement Analysis**

The chart labels respondents: A; B; C; D; giving their ratings for each indicator for the problem statement analysis. The mean score for the ratings for each of the questions is given in the last column of the chart. As stated in the methodology section of the study, items rated at levels four and five are counted as having a high degree of content validity. Those items with scores at level two and one were counted as having a low degree of content validity for the factor.

Mean scores at level 3.0 indicate neutral response concerning the relevance of items for a change strategy. Mean scores falling between 3.0 and 3.5 are interpreted as showing weak tendency toward acceptance of items as indicators of an organizational change strategy. Mean scores falling between 3.5 and 4.0 are rated as indicating strong tendency toward agreement with items as indicators of an organizational change strategy.

Mean scores for task indicate that no questions were rated low in content validity. Three of the eight questions were ranked high in content validity. Two questions were rated between neutral and high rankings for agreement and
**TABLE 5** PROBLEM STATEMENT ANALYSIS

<table>
<thead>
<tr>
<th>TASK:</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5 4 5 4 4.5</td>
</tr>
<tr>
<td>Does the problem statement give a description of the problem situation?</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>1. The problem describes the contextual wholeness of the problem situation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. The facts of the situation are given as terms of the problems</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. The problem definition states or implies the structure - the relationship of elements of the problem to the whole situation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5 5 4 4 4.5</td>
</tr>
<tr>
<td>Does the problem statement give a description of the district's mission - its central task(s)?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4 4 4 3 3.7</td>
</tr>
<tr>
<td>Does the problem statement give a description of expectations for members of the district and others with whom they interact?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2 3 4 3 3.0</td>
</tr>
<tr>
<td>Does the problem statement give a description of the district's role in a larger system which guides the district's actions in certain directions and not others?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1 3 4 4 3.0</td>
</tr>
<tr>
<td>Does the problem statement give a description of entities which are obstacles to or opportunities for task achievement?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4 4 4 5 4.3</td>
</tr>
<tr>
<td>Does the problem statement describe policy/statutory factors - which are obstacles to or opportunities for goal task achievement? Factors may include:</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
### TABLE 5 (Continued)

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Clear and consistent policy objectives</td>
<td>1</td>
<td>5</td>
<td>4</td>
<td>2</td>
<td>3.0</td>
</tr>
<tr>
<td>2. Adequate causal theory</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Allocation of financial resources</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Hierarchical integration within and among implementing agencies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Decision rules of federal, state, local agencies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Commitment of federal, state, local officials</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>7. Formal access by outsiders</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

**1.7**

Does the problem statement describe non-statutory factors affecting the implementation of district goals/tasks? Factors may include changes in socioeconomic conditions and technology.

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>4</td>
<td></td>
<td>2</td>
<td>3.8</td>
</tr>
</tbody>
</table>

**1.8**

Does the problem statement define:

1. The constituents of the problem
2. The projected solution
3. The organizational location of the problem within the district

**TOTAL**

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>26</td>
<td>31</td>
<td>33</td>
<td>29</td>
<td>3.7</td>
</tr>
</tbody>
</table>

**Structure:**

**2.1**

What positions and/or units are designated as responsible for tasks related to the problem at the institutional, managerial and technical levels of the district?

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4</td>
<td>4.5</td>
</tr>
</tbody>
</table>

**2.2**

Are positions and/or units given clear-cut tasks establishing specialization of activities related to the problem at the institutional, managerial, and technical levels of the district?

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>4</td>
<td>4</td>
<td>5</td>
<td>4</td>
<td>4.3</td>
</tr>
<tr>
<td></td>
<td>What authority structure related to the problem controls activities through positions and/or units at the institutional, managerial, and technical levels of the district?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>2.3</td>
<td>2</td>
<td>4</td>
<td>4</td>
<td>5</td>
<td>3.8</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What control procedures related to the problem effect implementation at the institutional, managerial, and technical levels of the district?</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2.4</td>
<td>3</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>4.0</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What information systems related to the problem effect the implementation at the institutional, managerial, and technical levels of the district?</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2.5</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>3.8</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What standard rules related to the problem effect the implementation of the change impacting on the uses of time, space, resources, etc., at the institutional, managerial, and technical levels of the district?</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>2.6</td>
<td>1</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>3.0</td>
<td></td>
</tr>
</tbody>
</table>

**Technology:**

<table>
<thead>
<tr>
<th></th>
<th>What materials are used in work operations that affect the problem at the institutional, managerial, and technical levels of the district?</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>2</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>3.5</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What work operations are described as affecting the problem situation at the institutional, managerial, and technical levels of the district?</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2</td>
<td>2</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>3.5</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What knowledge is required and described explicitly or implicitly affecting the problem at the institutional, managerial, and technical levels of the district?</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3</td>
<td>2</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>3.5</td>
<td></td>
</tr>
<tr>
<td>3.4</td>
<td>What are the uncertainties, exceptions, and problems involved in the work processes at the institutional, managerial, and technical levels of the district?</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>3.3</td>
</tr>
<tr>
<td>3.5</td>
<td>In relation to the identified uncertainties how are the work processes structured, i.e., long-linked, mediated, or intensive sequences?</td>
<td>1</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>3.5</td>
</tr>
</tbody>
</table>

| TOTAL | MEAN SCORE | 10 | 21 | 20 | 18 | 69 | 3.0 | 4.2 | 4.0 | 3.6 | 3.5 |

**Actors:**

| 4.1 | What aptitudes are required to apply techniques and to operate within the structures described in the problem statement? | 2 | 4 | 4 | 4 | 3.5 |
| 4.2 | What training is required to apply techniques and to operate within the structures described in the problem statement? | 2 | 5 | 4 | 4 | 3.8 |
| 4.3 | What experience is needed to apply techniques and operate within the structures described in the problem statement? | 1 | 4 | 4 | 4 | 3.3 |
| 4.4 | What provisions does the problem statement suggest to increase aptitude through training to improve work operations? | 3 | 5 | 4 | 2 | 3.5 |
| 4.5 | What provisions does the problem statement describe to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels? | 2 | 4 | 4 | 4 | 3.5 |
### TABLE 5 (Continued)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th><strong>MEAN SCORE</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4.6</strong></td>
<td>What arrangements are implied or stated in the problem statement to provide individuals opportunity to interact positively with peers and others as they work within the district?</td>
<td>4</td>
<td>5</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td><strong>4.7</strong></td>
<td>What arrangements are implied or stated in the problem statement to provide rewards for achievement to enhance the self esteem and the reputation of individuals as they work within the district?</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td><strong>4.8</strong></td>
<td>What arrangements are implied or stated in the problem statement which provide autonomy and control for individuals as they work within the district?</td>
<td>5</td>
<td>3</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>A</strong></td>
<td><strong>B</strong></td>
<td><strong>C</strong></td>
<td><strong>D</strong></td>
<td><strong>MEAN SCORE</strong></td>
</tr>
<tr>
<td><strong>23</strong></td>
<td><strong>34</strong></td>
<td><strong>31</strong></td>
<td><strong>31</strong></td>
<td><strong>119</strong></td>
<td><strong>2.9</strong></td>
</tr>
</tbody>
</table>
### Table 6 Implementation Plan Analysis

<table>
<thead>
<tr>
<th>Task</th>
<th>Description</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>Mean Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Does the implementation plan provide a broad statement describing the solution to the problem situation?</td>
<td>5</td>
<td>4</td>
<td>5</td>
<td>4</td>
<td>4.5</td>
</tr>
<tr>
<td>1.2</td>
<td>Does the implementation plan give a description of the district's mission - its central task(s).</td>
<td>5</td>
<td>5</td>
<td>5</td>
<td>4</td>
<td>4.8</td>
</tr>
<tr>
<td>1.3</td>
<td>Does the implementation plan state changed expectations for members of the district and others with whom they interact?</td>
<td>4</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>4.3</td>
</tr>
<tr>
<td>1.4</td>
<td>Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others?</td>
<td>2</td>
<td>4</td>
<td>4</td>
<td>5</td>
<td>3.8</td>
</tr>
<tr>
<td>1.5</td>
<td>Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement.</td>
<td>1</td>
<td>5</td>
<td>5</td>
<td>4</td>
<td>3.8</td>
</tr>
<tr>
<td>1.6</td>
<td>Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement: Factors may include:</td>
<td>4</td>
<td>5</td>
<td>5</td>
<td>4</td>
<td>4.5</td>
</tr>
<tr>
<td></td>
<td>1. Clear consistent policy objectives</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Adequate causal theory</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Allocation of financial resources</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Hierarchical integration within and among implementing agencies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Decision rules of implementing agencies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. Commitment of implementing officials</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>7. Formal access by outsiders</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.7</td>
<td>Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socio-economic conditions and technology.</td>
<td>1</td>
<td>3</td>
<td>5</td>
<td>1</td>
<td>2.5</td>
</tr>
</tbody>
</table>
TABLE 6 (Continued)

<table>
<thead>
<tr>
<th></th>
<th>Does the implementation plan define:</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.8</td>
<td>1. Constituents of the problem solution</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4.0</td>
</tr>
<tr>
<td></td>
<td>2. The organizational location of problem solution factors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.9</td>
<td>Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:</td>
<td>4</td>
<td>5</td>
<td>5</td>
<td>2</td>
<td>4.0</td>
</tr>
<tr>
<td></td>
<td>1. Adaptiveness</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Production</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Efficiency</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Job satisfaction</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Order</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. Culture</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>7. Communication</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

|   | Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks? | 3 | 3 | 5 | 4 | 3.8 |
| 2.0 | | | | | | |

|   | Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks? | 4 | 3 | 5 | 2 | 3.5 |
| 2.1 | | | | | | |

<table>
<thead>
<tr>
<th></th>
<th>TOTAL</th>
<th>47</th>
<th>46</th>
<th>52</th>
<th>38</th>
<th>183</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>MEAN SCORE</td>
<td>4.3</td>
<td>4.2</td>
<td>4.7</td>
<td>3.5</td>
<td>4.2</td>
</tr>
</tbody>
</table>

Structure:

|   | What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district? | 4 | 4 | 5 | 4 | 4.3 |
| 3.1 | | | | | | |

|   | Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district? | 4 | 5 | 5 | 4 | 4.5 |
| 3.2 | | | | | | |
### TABLE 6 (Continued)

<p>| | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3</td>
<td></td>
<td>What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?</td>
<td>2</td>
<td>4</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>3.4</td>
<td></td>
<td>What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>3.5</td>
<td></td>
<td>What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>3.6</td>
<td></td>
<td>What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?</td>
<td>1</td>
<td>5</td>
<td>4</td>
<td>3</td>
</tr>
</tbody>
</table>

**TOTAL** | 18 | 26 | 26 | 22 | 92 | 3.0 | 4.3 | 4.3 | 3.6 | 3.8 |

**Technology:**

<p>| | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td></td>
<td>What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td>2</td>
<td>5</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>4.2</td>
<td></td>
<td>What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td>2</td>
<td>4</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>4.3</td>
<td></td>
<td>What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>3</td>
</tr>
</tbody>
</table>
### TABLE 6 (Continued)

<table>
<thead>
<tr>
<th></th>
<th>In relation to the identified uncertainties how are work processes to be structured i.e. long-linked, mediated, or intensive sequences to implement the change at the institutional, managerial, and technical levels of the district?</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.4</td>
<td>1 4 4 3 3.0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>TOTAL</th>
<th></th>
<th></th>
<th></th>
<th>MEAN</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>MEAN</td>
<td>2.0</td>
<td>4.3</td>
<td>4.5</td>
<td>2.8</td>
</tr>
</tbody>
</table>

**Actors:**

<table>
<thead>
<tr>
<th></th>
<th>What aptitudes are required to apply techniques and to operate within the structures provided in the plan?</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>2 4 4 4 3.5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What training is required to apply techniques and to operate within the structures provided in the plan?</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.2</td>
<td>2 5 4 4 3.8</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What experience is needed to apply techniques and to operate within the structures provided in the plan?</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.3</td>
<td>3 4 4 4 3.8</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.4</td>
<td>4 5 5 4 4.5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and to operate within the structure provided in the plan?</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.5</td>
<td>2 4 4 3 3.6</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and operate within structures defined in the plan?</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.6</td>
<td>4 4 4 4 4.0</td>
</tr>
</tbody>
</table>
### TABLE 6 (Continued)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>MEAN SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.7</td>
<td></td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>2</td>
<td>3.3</td>
</tr>
<tr>
<td></td>
<td></td>
<td>What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.8</td>
<td></td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>3.8</td>
</tr>
<tr>
<td></td>
<td></td>
<td>What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and operate within structures defined in the plan?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>25</td>
<td>34</td>
<td>32</td>
<td>28</td>
<td>119</td>
</tr>
<tr>
<td>MEAN SCORE</td>
<td></td>
<td>3.1</td>
<td>4.3</td>
<td>4.0</td>
<td>3.5</td>
<td>3.7</td>
</tr>
</tbody>
</table>
three questions were assessed at the neutral level for agreement. Rating levels are indicated in parenthesis next to each indicator cited below.

The three questions ranked at the neutral level of agreement referenced factors external to the district organization as relevant to the problem situation:

(3.0) 1.1 Does the problem statement give a description of the district's role in a larger system which guides the district's actions in certain directions and not others?

(3.0) 1.5 Does the problem statement give a description of entities which are obstacles to or opportunities for task achievement?

(3.0) 1.7 Does the problem statement describe non-statutory factors affecting the implementation of district goals/tasks? Factors may include changes in socioeconomic conditions and technology.

Rated high for levels of agreement were indicators descriptive of internal organizational patterns:

(4.5) 1.1 Does the problem statement give a description of the problem situation?

1. The problem describes the contextual wholeness of the problem situation.
2. The facts of the situation are given as terms of the problems.
3. The problem definition states or implies the structure—the relationship of elements of the problem to the whole situation.

(4.5) 1.2 Does the problem statement give a description of the district's mission—its central task(s)?

(4.3) 1.6 Does the problem statement describe policy/statutory factors—which are obstacles to or opportunities for goal/task achievement? Factors may include:
1. Clear and consistent policy objectives.
2. Adequate causal theory.
3. Allocation of financial resources.
4. Hierarchical integration within and among implementing agencies.
5. Decision rules of federal, state, local agencies.
6. Commitment of federal, state, local officials.
7. Formal access by outsiders.

Factors rated between neutral and high rankings for validity were two which referenced projected improvements or solutions to the problem situation:

(3.7) 1.3 Does the problem statement give a description of expectations for members of the district and others with whom they interact?

(3.8) 1.8 Does the problem statement define:

1. The constituents of the problem?
2. The projected solution?
3. The organizational location of the problem within the district?

The ratings for these questions were above the 3.5 level and are counted as tending toward acceptance for these indicators as relevant for determining an organizational explanation for a district's problem situation.

The mean scores for structure indicate that no questions were rated low in content validity. Three of the six questions were ranked high in content validity. Two questions were rated between neutral and high rankings for agreement and one question was assessed at the neutral level for agreement.

The question ranked at the neutral level of agreement referenced structural patterns for uses of time, space and resources. These structural patterns are not structures of
authority, control and hierarchical relations which are conventional interpretations of structure in relation to organizations.

(3.9) 2.6 What standard rules related to the problem effect implementation of the change impacting on the uses of time, space, resources, etc., at the institutional, managerial, and technical levels of the district?

Rated high for levels of agreement were indicators for control structures and patterns of hierarchical relations:

(4.5) 2.1 What positions and/or units are designated as responsible for tasks related to the problem at the institutional, managerial, and technical levels of the district?

(4.3) 2.2 Are positions and/or units given clear-cut tasks establishing specialization of activities related to the problem at the institutional, managerial, and technical levels of the district?

(4.0) 2.4 What control procedures related to the problem effect implementation at the institutional, managerial, and technical levels of the district?

The mean scores for technology indicate that no questions were rated low for content validity and no questions were rated at the neutral level for content validity. However, no questions were ranked high for content validity. All mean scores for all questions were ranked between 3.0 and 3.5, indicating weak tendency toward agreement with questions as indicators for an organizational explanation for a district problem situation.

The mean scores for actors indicate that no questions were rated low for content validity. Two of the eight
questions were ranked high for content validity. No questions were rated at the neutral level. Six of the eight questions were rated between 3.0 and 3.8, with five of the questions ranked above the 3.5 level, indicating strong tendency toward agreement with indicators as factors determining an organizational explanation for a district problem situation.

In addition to assessing the validity of separate items of the screening instrument, the test for content validity was designed to gauge the attitude of jurors to each of the core variables of the model. To assess the individual and collective ratings for the variables, the chart displays the summated scores for each juror for each core variable; the mean score for each juror for each core variable; and the mean score for the cumulative summated scores for each variable.

When subscores for each variable for each juror are calculated as mean scores, the pattern of responses indicates that juror A ranked each variable at the lowest level of agreement. Juror A rated technology and actors below the 3.0 neutral level; he/she rated task and structure at levels 3.0 and 3.3, suggesting weak tendency toward an organizational explanation for a district’s problem situation. Given the juror’s estimate for all variables at low and weak levels for counting these variables as relevant factors, there must exist in the mind of this juror other unnamed factors which account for organizational change.

Juror B ranked structure, technology, and actors high for content validity and gave task a 3.9 score, suggesting
tendency toward agreement with the variable as a factor explaining organizational dysfunction.

Juror C rated three factors high: task, structure, and technology, with actors rated at level 3.9, indicating tendency toward agreement with the variable as a factor to determine an organizational explanation for a district problem situation.

Juror D rated structure high for content validity and all other factors above the 3.5 level, indicating strong tendency toward agreement with the variable as a factor to determine an organizational explanation for a district problem situation.

Calculating mean scores for all estimates by all jurors, the variables are given scores ranging from 3.5 to 3.9, indicating strong tendency to agree with variables as factors determining an organizational explanation for a district problem situation:

<table>
<thead>
<tr>
<th>Variable</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task</td>
<td>3.7</td>
</tr>
<tr>
<td>Structure</td>
<td>3.9</td>
</tr>
<tr>
<td>Technology</td>
<td>3.5</td>
</tr>
<tr>
<td>Actors</td>
<td>3.7</td>
</tr>
</tbody>
</table>

An interesting aspect of these scores considered in relation to each other is that there is no great difference in the weight that jurors gave to any single variable for the model. While the scores indicate tendency toward positive assessment of the variables as factors for determining an organizational explanation for a district problem situation,
no pattern of greater emphasis for one or a set of variables is established by the ratings of the jury.

**Implementation Plan Analysis**

The process for assessing the relevancy of items for the implementation plan analysis followed the same pattern as the procedure for the problem statement analysis. Respondents evaluating the separate items of the questionnaire were noticed:

By indicating agreement with an item you are rating the question as significant as a factor to determine the organizational change strategy in an implementation plan. By indicating disagreement with an item you are rating the question as insignificant as a factor to determine the organizational change strategy given or implied in a district implementation plan.

The results of the compiled responses of jury members for each of the sections of the questionnaire are reported below.

The mean scores for separate generic questions for the core variable, *task*, indicate that one question was rated as low in content validity. Six of the 11 questions were rated high, above the 4.0 level; four questions were ranked at or above the 3.5 level indicating strong tendency toward agreement for inclusion of the items. No questions were rated at the neutral level of agreement.

The question ranked low, concerned non-statutory environmental factors.
(2.5) 1.7 Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic conditions and technology.

As noted in findings for the "Problem Statement Analysis" indicators stressing the influence of factors external to the organization are rated relatively low in relation to factors internal to the organization for relevance to a change strategy.

Ranked high, at or above the 4.0 level for levels of agreement were indicators referring to internal organizational patterns:

(4.5) 1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation?

(4.8) 1.2 Does the implementation plan give a description of the district’s mission – its central task(s)?

(4.3) 1.3 Does the implementation plan give a prescription for the district’s role in a larger system which guides the district’s actions in certain directions and not in others?

(4.5) 1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors may include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementation agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

(4.0) 1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

(4.0) 1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job Satisfaction
5. Order
6. Culture
7. Communication

Those indicators rated between 3.5 and 3.8, showing strong tendency toward agreement concerned factors under the control of the organization in relation to the external environment and the internal state of the district.

(3.8) 1.4 Does the implementation plan give a prescription for the district’s role in a larger system which guides the district’s actions in certain directions and not in others?

(3.8) 1.5 Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement.

(3.8) 2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

(3.5) 2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?

Mean scores for structure indicate that no questions were rated low in content validity. Three of the six questions were ranked high for content validity. Two questions were rated 3.3, indicating weak tendency toward agreement with factors as determinants of an organizational change strategy.
One item was rated 3.8, indicating strong tendency toward agreement with the item as a factor influencing a change strategy in a school district.

Indicators ranked high for content validity refer to conventional interpretations of structure in organizations. Items referenced specialization of positions and informational systems.

(4.3) 3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?

(4.5) 3.2 Are positions and/or units given clear-cut tasks establishing specialization of activities at the institutional, managerial, and technical levels of the district?

(4.0) 3.5 What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

Two of the three items ranked between 3.3 and 3.8 reference authority structures as factors influencing an organizational change strategy in a school district. These items are related to bureaucratic and hierarchical patterns of organizational relationships.

(3.3) 3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?

(3.8) 3.4 What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district.
Mean scores for technology indicate weak tendency to agree with items as factors determining a change strategy. All ratings fell between 3.0 and 3.5. The item ranked at the 3.0 level concerned the structuring of work processes.

(3.0) 4.4 In relation to the identified uncertainties how are work processes to be structured i.e. long-linked, mediated, or intensive sequences to implement the change at the institutional, managerial, and technical levels of the district?

Mean scores for actors indicate that no questions were rated low for content validity. Two of the eight questions were ranked high for content validity. No questions were rated at the neutral level. Six of the eight questions were rated between 3.0 and 3.8 with four question rated above the 3.5 level indicating tendency toward agreement with indicators as factors determining an organizational explanation for district problem situations.

Indicators rated high for content validity concerned provisions of training and opportunities for positive interaction:

(4.5) 5.4 What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?

(4.0) 5.6 What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and operate within the structures defined in the plan?
Those indicators showing strong tendency toward agreement concerned training in applying work techniques, experience in work operations and individual autonomy and control in work operations:

(3.5) 5.1 What aptitudes are required to apply techniques and to operate within the structures provided in the plan?

(3.8) 5.2 What training is required to apply techniques and to operate within the structures provided in the plan?

(3.8) 5.3 What experience is needed to apply techniques and to operate within the structures defined in the plan?

(3.8) 5.8 What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and operate within structures defined in the plan?

Those indicators showing weak tendency toward agreement as factors in an organizational change strategy were factors emphasizing development of experience or accessing experience for work operations and provisions for rewarding achievement and self-esteem.

(3.3) 5.5 What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and to operate within structures provided in the plan?

(3.3) 5.7 What arrangements are implied or stated in the plan to provide rewards for achievements that enhance the self esteem and reputation of individuals as they apply techniques and operate within the structures defined in the plan?
Scores for the core variables of the implementation plan analysis instrument were calculated as were scores for the problem statement analysis instrument to determine jurors' attitudes concerning the relevance of the elements of the model. The tables display summated scores for each juror for each core variable; the mean score for each juror for each core variable; and the mean score for the cumulative summated scores for each variable. This mean score for the cumulative summated scores for each variable stands as the index for the relevancy for each of the core variables of the model.

When subscores for each variable for each juror are calculated as mean scores, the pattern of responses indicates that juror A gave variables - structure, technology, and actors lowest rankings compared with other jurors. Juror A rated technology at 2.0 indicating low relevancy with structure rated 3.0 and actors rated 3.1. Juror A indicated high agreement with task as an element in discerning a strategy for organizational change.

Juror B ranked all variables high for relevancy with task rated 4.2; structure rated 4.3; technology rated 4.3; and actors ranked at 4.3.

Juror C also rated all core variable high for relevancy with task rated at 4.7; structure rated at 4.3; technology rated at 4.5; and actors rated at 4.0.

Juror D rated task high at 4.2; structure was rated at 3.8; technology was rated at 3.4; and actors was rated at 3.7. These scores indicate strong tendency toward agreement for
relevancy of core variables, actor and structure, with weak
tendency for agreement for relevancy for core variable
technology.

Calculating mean scores for all estimates by all jurors,
variables are given scores ranging for 3.4 to 4.2 indicating
tendency for agreement for relevancy of core variables as
factors determining an organizational change strategy:

<table>
<thead>
<tr>
<th>Variable</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task</td>
<td>4.2</td>
</tr>
<tr>
<td>Structure</td>
<td>3.8</td>
</tr>
<tr>
<td>Technology</td>
<td>3.4</td>
</tr>
<tr>
<td>Actors</td>
<td>3.7</td>
</tr>
</tbody>
</table>

While this analysis does not attempt to determine whether
scores for items or for core variables indicate statistically
significant differences in perceived relevancy of factors, it
is interesting to note that technology is consistently rated
lowest in both the problem statement analysis responses and
the implementation plan analysis responses. In any case the
pattern for implementation plan analysis indicates a tendency
for agreement for relevancy for core variables as elements in
an organizational change strategy.

Findings - Research Question One

The test for content validity was constructed to
determine if a jury of experts would rate indicators for core
variables of the model as significant: (1) to develop an
organizational explanation of a problem situation in a
district; and (2) to determine the organizational change
strategy given or implied in a district implementation plan.
Results from analysis of jurors reporting responses to the "Problem Statement Questionnaire" indicate strong tendency to agree with variables as factors determining an organizational explanation for a district problem situation:

- Task: 3.7
- Structure: 3.9
- Technology: 3.5
- Actors: 3.7

Results from analysis of jurors reporting responses to the "Implementation Plan Questionnaire" indicate a range of responses from weak tendency, to high levels of agreement with variables as factors to determine an organizational change strategy in an implementation plan:

- Task: 4.2
- Structure: 3.8
- Technology: 3.4
- Actors: 3.7

While analysis of juror responses to indicators for variables of the model indicates tendency toward agreement with core variables as factors to determine an organizational change strategy, this finding is not sufficient to answer the research question affirmatively. The finding is evidence that it is not true that the model does not disclose elements of an organizational change strategy. Further, the finding does indicate that these jurors, albeit limited in number (4), indicated tendency toward agreement that the variables of the model disclose an organizational change strategy.
Conclusions based on the finding are limited for several reasons. First, the sample of jurors was small and homogeneous. The jury was comprised of staff of the Office of Compliance Investigation of the New Jersey Department of education. This office studies and reports governance, management and programmatic factors accounting for failure of district to achieve state standards for certification. The strength of the jury selected to respond to the questionnaire was that members review and analyze district organizations and develop directives for change as a regular function of their work. As a result of their special role in the department of education they have reviewed district organizations across the state and have investigated on site large, urban districts with a history of failure. While these aspects of members' experience give credibility to their testimony, these common characteristics also separate the jury from a broader more heterogeneous community of experts in organizational theory.

In summary, the finding gives evidence for an affirmative answer to the research question. Since the size of the jury was limited and the membership was homogeneous, the finding is understood to give only tentative confirmation concerning the value of the model as a framework disclosing the elements of an organizational change strategy. A broader sample of experts from fields associated with organizational behavior and educational administration should be tapped to assess the content of the model and to estimate its value as a vehicle
for disclosing the strategy for change in an implementation plan.
Section Two - Research Questions Two, Three, Four, Five

2. Does application of the integrated model expose the organizational change strategy given in planning documents?

3. Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract in planning documents?

4. Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?

5. Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

Description of Test for Construct Validity

These research questions were constructed to probe the construct of the integrated model. The model is proposed as a construct which can reveal the hypothesis for organizational change given in a set of planning documents. The generalization which frames a hypothesis for a particular situation is that organizational change is constituted by the interaction of four core variables: task; structure; technology; and actors.

The research questions then were structured to investigate if the model does identify the variables in a particular case; if the model reveals points of vagueness in variables; if the model indicates breaks in the interaction of variables; if the model surfaces incongruities in the relationship between the identified elements of the change strategy.
The test for construct validity was designed to provide data to respond to these research questions. In this section the test is presented and described; data is analyzed; findings and limitations in relation to the research questions are reported. Since the test for construct validity was designed to serve as a demonstration case for the application of the model, as well as a source for data to respond to research questions, the analysis of the data is given in two separate parts of this section of the study.

First, data are reported in Part II "Summary Analysis" of the demonstration critique. Data concerning findings for the demonstration critique are included in the four questions of the critique. These questions parallel the four research questions addressed in this test for construct validity.

1. What are the elements of the organization change strategy given in the planning documents?

2. What elements of the organizational change strategy are unclear – vague or abstract?

3. Is there a lack of linkage between or among elements of the change strategy given in the text of the planning documents?

4. Are there incongruities in the organizational change strategy given in the text of the planning documents?

Data reported within the body of the critique are provided to substantiate findings for the particular case studied for the demonstration critique. The data are included in the findings for each of the questions addressed in the critique to justify judgments of the critique and to
demonstrate the way that data would be used as grounds for judgments in a critique of planning documents.

Second, data are reported under the "Analysis of the Data" section of the study. The "Analysis of the Data" section of the study is provided as a report of the researcher's process for analyzing the data. This information is provided to enable others to follow procedures for data analysis so that the process can be replicated. This section of the study includes tables profiling data analysis and explanations of the way that data were analyzed. In short the purpose for the presentation of data in the "Analysis of Data" section of the study differs from the purpose for the presentation of the data in the demonstration critique.

The screening instruments for the model, the "Problem Statement Analysis" and the "Implementation Plan Analysis" worksheet forms were used to structure the inquiry into selected sections of planning documents. First, the researcher read the entire sample section of the problem analysis statement given in the text of planning documents and then read over the entire implementation plan to form an overview of the whole of the planning documents. Then the researcher separated the selected sections of the planning documents to be used for the test. Each question given in the worksheet for the problem statement analysis was then systematically and sequentially asked in relation to the text. For example, the researcher asked the first question under the variable, task:
1.1 Does the problem statement give a description of the problem situation?

1. The problem describes the contextual wholeness of the problem situation

2. The facts of the situation are given as terms of the problem

3. The problem definition states or implies the structure - the relationship of elements of the problem to the whole situation.

The researcher read through the entire selected section of the text to determine if the text provided responses to the question and to the indicators for the question. Responses, observations and questions concerning the text, in relation to the question were then written as a subtext of the critique. The written comments are given so that the critique is a sample for replication and so that others may review the researcher's judgment for each indicator applied to the text.

As the researcher completed the critical commentary for each indicator, the content of the text in relation to the criteria given in the worksheet for the problem statement analysis was rated:

NA Content of the question does not apply to the problem.
N Information is not contained in the document.
I Information in the document is incomplete, limited.
NC Information in the document is not clear, vague, abstract.
Y Information is contained in the document.

These ratings are broad assessments and in some cases more than one criteria apply for the response to the question. For
example, the text may contain a response to the question but the response may be vaguely stated. If an indicator were rated Y, this rating is an unambiguous confirmation that the information in response to the generic question is contained in the document. The subtext for the response provided by the researcher states particular considerations and questions in relation to the question. Thus the worksheet provides a broad assessment of the text and the subtexts for each question provide fine points in the analysis.

The researcher applied the same procedure to the analysis of the implementation plan. The sections of the plan corresponding to goal statements were each assessed by applying each question of the screening instrument to the implementation plan. As each question was applied to the text, the researcher scanned all the content for the goal statement section including objectives and all activities to identify information in response to the generic question.

In this test of the model the researcher did not enumerate the lines of the text used to support the assessments stated in the subtext. Since the sample text for the problem statement is not long and since the implementation plan analysis is constructed for each page of the text of the plan, numbered line references were not given. The subtexts for each question do reference the content of the text which serves as the basis for observations, comments, questions and assessments of the text. If the model were applied to a more
The test for construct validity was applied to an existing set of planning documents provided by the New Jersey Department of Education, Office of Compliance Investigation. The set of planning documents contain two separate documents: (1) The "Level III Review Report" and (2) the "Corrective Action Plan." The "Level III Review Report" is a report issued by the Office of Compliance Investigation documenting district problems in governance, management, and educational programs. The entire document is provided here as Appendix A to this study. The "Corrective Action Plan" is a plan developed by a district in response to the findings and directives given in the "Level III Review Report." The entire plan is provided here as Appendix B to this study.

The test for construct validity was applied to sample sections taken from the set of planning documents given for the study. The governance section of the "Level III Review Report" and the governance section of the "Corrective Action Plan" were separated from the documents and analyzed through the screening instruments for the integrated model.

The governance section of the "Level III Review Report" was taken as the problem statement for the test analysis. The governance section of the "Corrective Action Plan" was taken as the implementation plan for the test analysis. These sections of the documents are provided as attachments to the sample critique: Attachment 1, Governance Section of the
"Level III Review Report;" and Attachment 2, Governance section of the "Corrective Action Plan."

The demonstration critique is presented in two parts. Part I presents detailed and specific assessments for each of the indicators in the form of comments, observations and questions and the worksheet assessments for each section of the documents. Part I contains the analysis for indicators for the "Problem Statement Analysis" with the worksheet assessments rating each indicator for the problem statement as:

NA  Content of the question does not apply to the problem.
N   Information is not contained in the document.
I   Information in the document is incomplete, limited.
NC  Information in the document is not clear - vague, abstract.
Y   Information is contained in the document.

Part II of the demonstration critique provides a summary analysis of the findings from the application of the screening instruments to the content of the problem statement and the implementation plan. The summary analysis is structured to provide responses to four questions which parallel research questions for the study.

The test case is presented as a sample critique which demonstrates the analysis derived through the construct of the model. It also provides the data base for the research questions proposed in this study. In the "Analysis of the Data" section of the study the process for examining the data
is described. In the findings section of the study the data are reported as evidence for responses to research questions posed in the study.
Part I. Section Analysis

• Problem Statement Introductory Section

This school district had failed to achieve state certification December 1984. In response to state mandates for districts failing standards for certification, the district developed and implemented an improvement plan addressing cited deficiencies. March 1987 the state monitored the district and issued findings indicating continuing failure to achieve state standards for certification. Specific standards defined as elements and indicators of acceptable performance which the district failed are listed below:

<table>
<thead>
<tr>
<th>Element 3</th>
<th>Comprehensive Curriculum/Instruction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicator 3.2</td>
<td>The curriculum is being implemented.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Element 4</th>
<th>Student Attendance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicator 4.1</td>
<td>Average daily attendance rate for the district is 90 percent or higher.</td>
</tr>
<tr>
<td>Indicator 4.3</td>
<td>Average daily attendance rate for each school is 85 percent or higher.</td>
</tr>
<tr>
<td>Indicator 4.4</td>
<td>An attendance improvement plan has been implemented for each school where the average daily attendance rate is below 84.9 percent.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Element 5</th>
<th>Facilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicator 5.2</td>
<td>Building inspections have been performed by the district within the last year to ensure adherence to health and safety laws.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Element 6</th>
<th>Professional Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicator 6.1</td>
<td>All professional staff members are certified in their area(s) of assignment.</td>
</tr>
<tr>
<td>Indicator 6.3</td>
<td>There is a review/improvement process to address staff absenteeism if the annual rate of occasional staff absenteeism exceeds 3.5 percent.</td>
</tr>
<tr>
<td>Indicator 6.4</td>
<td>Tenured and nontenured teaching and administrative staff are observed and evaluated according to law.</td>
</tr>
</tbody>
</table>
Element 7

Indicator 7.1
The Basic Skills Improvement (BSI) Plan has been approved by the county superintendent.

Indicator 7.3
The Bilingual/ESL Education Plan has been approved by the county superintendent.

Indicator 7.5
The Annual Special Education Plan has been approved by the county superintendent.

Element 8

Indicator 8.1
Seventy-five percent (75%) of the pupils tested in grade 9 in each school have passed the state's 9th grade Minimum Basic Skills Test (score of 65 in math, 75 in reading).

Indicator 8.2
Seventy-five percent (75%) of the pupils in grades 3 and 6 in each school equal or exceed: (a) state-prescribed percentile scores in both reading and math on standardized commercial tests, or (b) state-prescribed scores on department-approved local criterion reference tests.

Indicator 8.3
A basic skills improvement plan has been developed for each school in the district that did not have seventy-five percent (75%) of the 9th grade pupils meeting the state standards of 65 in math and 75 in reading on the basic skills tests.

Element 10

Indicator 10.4
The annual district audit has been conducted according to requirements.

Mandated Programs

Achievement in State Mandated Basic Skills

Financial

Pursuant to this state report the Department of Education initiated the Level III Review process to identify those factors which prevented the district from achieving state standards. The "Level III Review Report" provided an analysis of the district's performance setting forth the problem statement describing the status of the problem situation in the district. Further, the report provided a set of directives to serve as the framework for the district's plan of action.

The planning documents examined here were designed to correct dysfunctions in district governance operations. The governance section is examined in this critique by applying each of the generic questions, indicators, of the model to the content of the document section. A commentary follows selected indicators giving observations and raising questions generated by the inquiry process.
In addition, the worksheets for each document section are attached to the section summaries. A concluding statement, Part II, highlights the questions and observations raised by the inquiry and summarizes the critique of the governance sections of the problem statement and the implementation plan. The summary section is structured to answer questions deriving from the original research questions of the study:

1. What are the elements of the organizational change strategy given in the planning documents?
2. What elements of the organizational change strategy are unclear, vague or abstract?
3. Is there a lack of linkage between or among elements of the change strategy given in the planning documents?
4. What are the incongruities in the organizational change strategy given in the text of the planning documents?
Problem Statement Governance Section

Task: Task refers to district purpose, goals work including operationally meaningful subtasks.

1.1 Does the problem statement give a description of the problem situation?

1. The problem describes the contextual wholeness of the problem situation
2. The facts of the situation are given as terms of the problem
3. The problem definition states or implies the structure - the relationship of elements of the problem to the whole situation

This section as a whole describes four problems:

- dysfunctional relationship between the board and the prior superintendent
- flaws in the selection process for appointing the new superintendent
- difficulties in the relationship between the board of education, the board of school estimate and the city council
- lack of community confidence in the board of education and the administration

These separate problems are identified and documented as facts within the problematic situation. However, the problem statement doesn't provide an explanatory framework to relate these discrete problems to each other and/or to link these problems to district deficiencies. The problems seem to be given as examples of deviations from an organizational norm that is prescribed but not described. Is the implied assertion that if governance functions were articulated to conform to a bureaucratic ideal that district deficiencies would be alleviated?

If the district's governance function is flawed in relation to bureaucratic norms of operation then the question arises as to why the process has been flawed. Is the cause failure to understand - to know the rules or is the process deliberately and purposefully flawed to advance political social or economic interests? For example, the problem statement details flaws in the selection process for the superintendent, however the analysis doesn't suggest why the process was skewed in favor of the internal candidate. In fact, the problem statement only implies that the process was designed to favor the internal candidate. It appears that reviewers were reluctant to name the underlying problem and to indicate how that problem relates to the district's continuing deficiencies. What is the broad definition of the problem in which these documented deficiencies fit and interact?
Problem Statement: Governance Section (continued)

1.2 Does the problem statement give a description of the district's mission - its central task(s)?

The problem statement discusses dysfunctions in governance operations. It doesn't cover the broad issue of governance responsibilities in relation to the central mission of the district. It isn't clear that board members were asked to articulate the district mission. Further, the problem statement doesn't articulate the broad mission of the district as formulated by the reviewers. There is an implied assumption that there is a model of ideal bureaucratic organization which if followed would result in successful achievement of state standards. Is the central task of the governance function to insure that bureaucratic systems are established and adhered to? If not, what is the central task of the governance function in relation to the central mission of the district?

1.3 Does the problem statement give a description of expectations for members of the district and others with whom they interact?

The problem statement directly addresses the issue of role expectations noting that the broad role of the board is policy-making and observing that the board breached this role boundary. The problem statement does not state explicitly how the board overstepped its role. The analysis seems to imply that the board usurped the administrative function. The statement further observes that the superintendent encroached on the policy-making role of the board. For example, the superintendent did not submit the district's annual plan for board approval.

The statement does not provide an explanation of the cause of these breaches in role functions except to indicate that they increased as the relationship with the former superintendent deteriorated. What is the problem that accounted for the blurring of role boundaries between the board and administration of the district and what impact did this problem have on the district's failure to perform?

1.4 Does the problem statement give a description of the district's role in a larger system which guides the district's actions in certain directions and not others?

The problem statement references community distrust as a factor in the problem situation. It also identifies difficulties in relations between political entities such as the board of school estimate and the city council. The report notes that the incumbent mayor was defeated by an attorney who became the city's first black mayor. This is the only reference to race as an element in the situation as a whole. A reader not familiar with the community would not know that this district is in a community which has experienced great shifts in its racial composition and economic composition over the last 20 years. Are these political and social changes factors shaping the declining performance of the district? Are these changes influencing the district's actions? Is the district conducting an active program to respond to changes in the larger system?

1.5 Does the problem statement give a description of entities which are obstacles to or opportunities for task achievement?

The problem statement indicates that community entities such as the board of school estimate and the city council are obstacles to district functions. The statement doesn't reach to the broader institutional environment to find obstacles and opportunities. For example, the role of community churches, agencies and state level entities may be resources for addressing the district's problems.
Problem Statement: Governance Section (continued)

Since the focus of the governance section is primarily on bureaucratic dysfunctions without reference to identified deficiencies, the issue of environmental supports and obstacles to district goals does not surface. The question should be asked. What are the environmental obstacles and opportunities for achieving district goals?

1.6 Does the problem statement describe policy/statutory factors - which are obstacles to or opportunities for goal task achievement? Factors may include:

1. Clear and consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

Some of these factors are referenced in the problem statement. The district policy manual is reviewed; formal access by outsiders is provided now through task forces; commitment of implementing officials is discussed; allocation of financial resources to the district is identified as having been a problem area. While these policy/statutory factors are mentioned in the report they are not linked as elements affecting district performance. For example, are policies governing student attendance aggravating the drop-out rate? How do elements of the negotiated contract affect district performance? How do state regulations and mandates influence the district's ability to achieve required standards of performance? These questions should be asked and answered directly because it is difficult to imagine that policy and statutory factors are not affecting district performance.

1.8 Does the problem statement define:

1. The constituents of the problem
2. The projected solution
3. The organizational location of the problem within the district

While certain facts are documented as evidence of dysfunction in governance operations these facts are not drawn together as constituents of a problem situation. The analysis gives a set of directives to solve the problem areas defined in the findings of the governance section of the review. Each of the directives emphasizes procedural corrections to deviations from standard bureaucratic practice. The directives charge the district to change current practice and it is assumed that change in discrete problem areas will be sufficient to positively impact district deficiencies.
Problem Statement: Governance Section (continued)

Structure: Structure refers to systems of authority and systems of work flow.

2.1 What positions and/or units are designated as responsible for tasks related to the problem at the institutional, managerial and technical levels of the district?

The report observes that in years prior to 1986, the board operated under a committee structure but that the committee structure was set aside and a committee of the whole functioned after 1986. The report states that the new board president expressed desire to reinstate formal board committees. The report does not comment on the impact of the committee of the whole structure in relation to the problems of the district.

Since the problem as a whole with its constituent parts is not given then, positions and units related to the problem cannot be clearly identified. The report suggests that the role of the superintendent is vested with responsibility for "fixing" the problems in a general way. The report observes that the superintendent has established a broad program for community outreach and input. However, the report is silent about the appropriateness of the program as a method for remedying the district's deficiencies.

2.2 Are positions and/or units given clear-cut tasks establishing specialization of activities related to the problem at the institutional, managerial, and technical level of the district?

The report doesn't specify tasks for board members or the board as a whole. Again, it appears that the vagueness of the problem statement precludes the formulation of specific tasks to address the problem. The report states that board members perceived their positions generally as policy makers. How did this generalized role of the board and failure of the structural relation between the board and the superintendent impact district problems?

2.3 What authority structure related to the problem controls activities through positions and/or units at the institutional, managerial, and technical levels of the district?

The report suggests that under the prior administration the authority structure reaching from the board to the superintendent and beyond to district administration was broken. Several examples of failure to comply with board mandates are given, i.e., lack of annual evaluation for principals. The board expressed concern that district management did not provide adequate and appropriate information and that the board was not included in the district planning process. It appears that the breach in the authority structure was attributed to an ineffective working relationship with the superintendent. However, this only names the problem and explains the problem in the same terms. The question to be asked is why was the authority structure breached? Were there factors other than personality that created the breach in authority patterns? These factors should be named so that they can be addressed and corrected for the future.

2.4 What control procedures related to the problem effect implementation at the institutional, managerial, and technical levels of the district?

The report doesn't describe dysfunctions in organizational practice as deficient control procedures. However, the report does document instances of failures in control mechanisms. For
Problem Statement: Governance Section (continued)

example the superintendent did not complete formal evaluation of principals and the board failed to maintain control over the process for selecting the new superintendent.

The report suggests that the development and maintenance of an effective "harmonious relationship" between the superintendent and the board will improve the situation. However, since the root cause of the failure of control processes is not evident in the report, it may only be a matter of time before the new relationship between the board and superintendent deteriorates to the former "unproductive" relationship that existed in the past.

It shouldn't be assumed that establishing units with broad institutional authority is the same as effecting a structure of authority. The structure is created through patterns of control procedures. These control procedures are not discussed in the review. The status of these control procedures at the institutional level is well worth probing to identify structural patterns contributing to district deficiencies.

2.5 What information systems related to the problem effect the implementation at the institutional, managerial, and technical levels of the district?

The report states that the board developed information sources to offset blockage of information from the office of the superintendent to the board of education. With the appointment of the new superintendent board members felt better informed. However, beyond the proposed reinstatement of the board committee structure the report doesn't indicate a structuring of information flow to board members.

The report implies that board members created direct lines of communication to staff by-passing the superintendent. The tone of the report suggests that these information systems were somehow inappropriate or that they contributed to the district's failure to perform. This indicates again the underlying, implied premise of the problem statement. That premise is that if the governance function conforms to bureaucratic standards for hierarchical relations, district performance will improve.

2.6 What standard rules related to the problem effect the implementation of the change impacting on the uses of time, space, resources, etc., at the institutional, managerial, and technical levels of the district?

The report observes that the district has board policies approved annually and an annual plan presented to the county office. In the analysis of task definition it was observed that district policies were not examined in relation to the district's deficiencies. Here the question concerns rules and regulations, stipulated practices established to govern implementation of policies. Are these rules standardized? Are they formalized so that they are open to inspection? The report does not probe into the implementation of official "rules" for operating the district and whether failure to operationalize these rules is a factor impacting the district's identified deficiencies.
Problem Statement: Governance Section (continued)

Technology: Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

3.1 What materials are used in work operations that affect the problem at the institutional, managerial, and technical levels of the district?

The report does not identify technology that impacts on district performance stemming from the governance level of the district organization. However, the report does mention that members of the board of school estimate were critical of the district's budget presentation. They complained about the format and lateness of budget documents. The city council cut one million dollars from the district's 1988-89 budget. Later the council restored $500,000 to the budget. Are criticisms concerning the budget presentation grounded? Do technical factors such as computer software packages and work operations impact on the formulation and presentation of budget documents?

3.2 What work operations are described as affecting the problem situation at the institutional, managerial, and technical levels of the district?

The report notes only structural aspects of board operations, i.e., committee structures. While the board/superintendent relationship was described as ineffective and nonproductive, the actual work operations, the processes of exchange between the board and the superintendent were not described in the document.

3.3 What knowledge is required and described explicitly or implicitly affecting the problem at the institutional, managerial, and technical levels of the district?

The report references board members' awareness of their roles as policy makers. However, there is no indication of their level of knowledge concerning district policy or their level of knowledge concerning the status of the district. Board members did express concern about the lack of "information" provided by the former superintendent. This question about the level of board members' knowledge is one that might be pursued in greater depth to assess the impact of this factor on the governance function and on the performance of the district as a whole.

3.4 What are the uncertainties, exceptions, and problems involved in the work processes at the institutional, managerial, and technical levels of the district?

The report does not examine, up close, the uncertainties, exceptions and problems impacting the work of the board and other governance units. The report does discuss the delay of Project Pride, the facility improvement program, caused by problems and uncertainties in funding. The report states that the project was delayed when the city was faced with a $40 million deficit. The plan was initiated by the board in 1983 and was stalled in 1988. Thus, a 4 year period had elapsed before the plan was set aside. What funding problems/uncertainties impact the district? What actions has the board initiated to stabilize district resources? Additional areas of uncertainty can be identified as the district's central mission and opportunities for goal achievement are clarified.
Problem Statement: Governance Section (continued)

3.5 In relation to the identified uncertainties how are the work processes structured, i.e., long-linked, mediated, or intensive sequences?

The report suggests that the governance function used an intensive mode, i.e., committee of the whole, to process its work operations. However, an intensive sequence assumes that individual members have specialized expertise they bring to a cooperative effort. Since the report does not speak to the level of knowledge and expertise of board members, it is not clear that the intensive mode would provide an effective method for board work processes. The new board president expressed the desire to create a set of board committees to oversee district operations. It appears that this mediated process with problems being sorted and allocated to specialized committees might better serve the district.

Actors: Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

4.1 What aptitudes are required to apply techniques and to operate within the structures described in the problem statement?

The report doesn't identify aptitudes required of board members in the district's problem situation. It does imply that aptitudes for establishing a good "working" relationship were needed and lacking in the dynamics between the former superintendent and the board. What specific aptitudes should be promoted and nurtured to insure a more productive relationship between the board and the superintendent?

4.2 What training is required to apply techniques and to operate within the structures described in the problem statement?

The report provides directives that broadly address or imply training needs for board members:

1. The board of education and the new superintendent must develop and maintain an effective working relationship with each other. This should include a clarification of their roles and responsibilities as policy-makers and the chief school administrator.

2. The board of education and the superintendent should develop and implement procedures, communication vehicles and activities designed to strengthen their working relationships with the board of school estimate and the city council especially as it relates to the review of the district's annual budget request.

3. The board of education must become knowledgeable of its responsibilities, roles and functions in the district's governance operations and refrain from delegating those roles inappropriately.
Problem Statement: Governance Section (continued)

Each of these directives indicates need for training, however, the report is silent about the type of training that would address these needs.

4.3 What experience is needed to apply techniques and operate within the structures described in the problem statement?

The report is silent on the experience needed for board members to perform governance functions. The report does state that each year one seat on the board is open for replacement. The rotation should allow the board to retain members who have gained from experience as sitting board members. The focus of the report does not include close examination of the board members’ experience in the broader sense of experience in governmental, educational or political arenas. Since the definition of the problem between the board and the superintendent is vaguely defined as an ineffective relationship it is not clear what experience board members need to remedy the difficulty.

4.4 What provisions does the problem statement suggest to increase aptitude through training to improve work operations?

The problem statement does not suggest provisions for training board members. It does state that they must become "knowledgeable" about the responsibilities, roles and functions of district governance operations. Again, the report implies that understanding of bureaucratic roles is key to improving the governance function. Would knowledge about educational matters - curriculum and instruction, also contribute to board members' effectiveness?

4.5 What provisions does the problem statement describe to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels?

The review is critical of the board process for selecting the new superintendent. It isn't clear if the board considered the kind of experience it needed in a new superintendent. What knowledge base from experience did the board seek in the role of superintendent. The board chose an individual with broad experience in the district. Given the district's identified deficiencies how will the board complement the experiential base of the superintendent? The creation of community task forces will not provide the experience/knowledge base to correct problems unless the membership is comprised of people who have knowledge and experience correcting like efficiencies. Good will and commitment are not a substitute for knowledge.

4.8 What arrangements are implied or stated in the problem statement which provide autonomy and control for individuals as they work within the district?

The report states that the new board president wishes to create board committees. These committees as noted above, can provide opportunity for members to develop expertise in specialized areas, i.e., budget, facilities, curriculum and instruction. It appears that their committees can also enhance a greater sense of autonomy and control for board members. However, the idea for reinstituting the committee structure does not seem driven by an intention to provide members a sense of autonomy and control.
WORKING PAPERS: PROBLEM STATEMENT ANALYSIS

Document Section Governance Section

Task: Task refers to district purpose, goals, work including operationally meaningful subtasks.

1.1 ____ Does the problem statement give a description of the problem situation?
   NA  N  I  NC  Y
   1. The problem describes the contextual wholeness of the problem situation
   2. The facts of the situation are given as terms of the problems
   3. The problem definition states or implies the structure - the relationship of elements of the problem to the whole situation

1.2 ____ Does the problem statement give a description of the district's mission - its central task(s)?
   NA  N  I  NC  Y

1.3 ____ Does the problem statement give a description of expectations for members of the district and others with whom they interact?
   NA  N  I  NC  Y

1.4 ____ Does the problem statement give a description of the district's role in a larger system which guides the district's actions in certain directions and not others?
   NA  N  I  NC  Y

KEY

<table>
<thead>
<tr>
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</table>
1.5 Does the problem statement give a description of entities which are obstacles to or opportunities for task achievement?

1.6 Does the problem statement describe policy/statutory factors - which are obstacles to or opportunities for goal task achievement? Factors may include:

1. Clear and consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of federal, state, local agencies
6. Commitment of federal, state, local officials
7. Formal access by outsiders

1.7 Does the problem statement describe non-statutory factors affecting the implementation of district goals/tasks? Factors may include changes in socioeconomic conditions and technology.

1.8 Does the problem statement define:

1. The constituents of the problem
2. The projected solution
3. The organizational location of the problem within the district

Structure: Structure refers to systems of authority and systems of work flow.

2.1 What positions and/or units are designated as responsible for tasks related to the problem at the institutional, managerial and technical levels of the district?

2.2 Are positions and/or units given clear-cut tasks establishing specialization of activities related to the problem at the institutional, managerial, and technical levels of the district?
2.3 What authority structure related to the problem controls activities through positions and/or units at the institutional, managerial, and technical levels of the district?

2.4 What control procedures related to the problem effect implementation at the institutional, managerial, and technical levels of the district?

2.5 What information systems related to the problem effect the implementation at the institutional, managerial, and technical levels of the district?

2.6 What standard rules related to the problem effect the implementation of the change impacting on the uses of time, space, resources, etc., at the institutional, managerial, and technical levels of the district?

Technology: Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

3.1 What materials are used in work operations that affect the problem at the institutional, managerial, and technical levels of the district?

3.2 What work operations are described as affecting the problem situation at the institutional, managerial, and technical levels of the district?

3.3 What knowledge is required and described explicitly or implicitly affecting the problem at the institutional, managerial, and technical levels of the district?

3.4 What are the uncertainties, exceptions, and problems involved in the work processes at the institutional, managerial, and technical levels of the district?
### 3.5

In relation to the identified uncertainties how are the work processes structured, i.e., long-linked, mediated, or intensive sequences?

**Actors:** Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

| 4.1 | What aptitudes are required to apply techniques and to operate within the structures described in the problem statement? | NA | N | I | NC | Y |
| 4.2 | What training is required to apply techniques and to operate within the structures described in the problem statement? | NA | N | I | NC | Y |
| 4.3 | What experience is needed to apply techniques and to operate within the structures described in the problem statement? | NA | N | I | NC | Y |
| 4.4 | What provisions does the problem statement suggest to increase aptitude through training to improve work operations? | NA | N | I | NC | Y |
| 4.5 | What provisions does the problem statement describe to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels? | NA | N | I | NC | Y |
| 4.6 | What arrangements are implied or stated in the problem statement to provide individuals opportunity to interact positively with peers and others as they work within the district? | NA | N | I | NC | Y |
| 4.7 | What arrangements are implied or stated in the problem statement to provide rewards for achievement to enhance the self esteem and the reputation of individuals as they work within the district? | NA | N | I | NC | Y |
| 4.8 | What arrangements are implied or stated in the problem statement which provide autonomy and control for individuals as they work within the district? | NA | N | I | NC | Y |
Implementation Plan Governance Section

- Directives: 1, 6

"The board of education and the new superintendent must develop and maintain an effective working relationship with each other. This should include a clarification of their roles and responsibilities as policy makers and the chief school administrator."

**Task:** Task refers to organizational purposes, goals, work, including operationally meaningful subtask.

1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation?

The plan addresses the separate directives taken from the "Level III Review Report." The plan does not provide a broad statement describing a solution to the problem situation as a whole. The problem statement did not define a problem situation with constituent parts.

In the problem statement analysis this review suggested that there is an implied proposition defining the district's problem situation and prescribing a broad solution at the institutional level. The text suggests that if governance functions were articulated to conform to a bureaucratic ideal then district deficiencies would be alleviated. The directive examined here contributes to a solution framed to correct deviations from bureaucratic norms for governance of the district.

1.2 Does the implementation plan give a description of the district's mission - its central task(s).

The plan does not describe a central mission for the district. This section of the plan clusters two related directives given in the "Level III Review Report." The directives do target the implied solution to the district's flawed governance. The solution is process oriented and is framed to realign hierarchical roles and functions.

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact?

The plan vaguely refers to a clarification of roles and improved working relations between board members and the superintendent. The plan prescribes a retreat for board members "...to gain deeper insight into the nature of the improvements they desire and the methods by which such improvements can be accomplished." This suggests that the difficulties in relationships are not clear to the parties. If this is the case then the plan might set forth, (1) objectives to identify and examine these difficulties; (2) activities to discover and analyze the difficulties; (3) procedures and acts to remedy these difficulties.

The plan lists a set of conferences and workshops for board members. It is possible to infer the linkage between these broad educational opportunities and the correction and clarification of role performance. However, the plan would be clearer if the kinds of training planned were defined explicitly and the purposes were explained clearly.
Governance Directives 1.6 (continued)

1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors may include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

This section of the plan references the need to improve hierarchical integration within the implementing agency, at the governance level of the district. However, consideration of other factors listed above might provide a focus for examination and clarification of roles as well as consideration of the relationship between the board and the superintendent. If the "implementation agency" is taken as the board of education, the framework might have helped retreat participants to conduct a productive self study.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

The plan does not define constituents of the problem solution. The plan prescribes events as opportunities to solve problems. In turn, the process for clarifying roles and improving working relationships are given in vague terms.

The plan does identify the organizational location of the governance problems. Since the underlying causes for the identified problems are not stated in the "Level III Review Report," it isn't clear that activities to address difficulties are oriented to the appropriate location within the organization.

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

The goal, objective and tasks prescribed to correct the board's working relationships and to clarify role functions are oriented to improve the order of institutional relations. As noted above the goal statements are vague. Implied in the plan is the notion that communication through discussion and training will correct the imbalances in board/superintendent relations. Since the goal statements are so vague the reviewer can't discern if the aim of the retreat includes the purpose of improving
Governance Directives 1.6 (continued)

communication. Increased communication would appear to be a result but not necessarily an intended purpose for the retreat.

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

The format of the plan does not easily allow for the inclusion of text explaining the thinking of the planners. The logic linking the goal statements must be inferred from the document. The given objective for this section of the plan is actually a statement rephrasing the directive. It does not add meaning to the goal statement of the directive. The tasks (activities) defined in the plan are not distinctly statements of means but are occasions for the means to correct identified problems at the institutional level of the organization. The clarity of these means statements would be improved by including an explanation of what specific outcomes are intended and how these outcomes will be achieved.

2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goal - objectives - tasks?

The plan does not state explicitly the causal relatedness between levels of goal statements. In part, this lack of causal relatedness is derived from the vagueness of the problem statement. Since the problem statement only identified the "symptom" of the problem situation and only implied the nature of the problem as a whole, the plan is reduced to a set of activities addressing symptoms. In turn, the symptoms, i.e., ineffective relationships between the board and the superintendent, are vaguely defined so that it isn't clear what change is needed or intended to correct the symptom. As a result, the plan provides for open situations - conferences, workshops, retreats, which are settings, opportunities, events that may occasion an improvement in the relationships of members and their understanding of role functions.

Structure: Structure refers to systems of authority and systems of work flow.

3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?

The first task given in the plan is attendance at seminars, conferences and workshops by members of the board. There is no action deriving from these experiences that is oriented toward a specific task. The plan might state that board members would collect and report information specifically related to improvements in board relations, role definition, operations and procedures. As it stands, the plan merely defines the passive attendance of members at general orientation sessions for boards of education.

The second task describes a retreat of board members with the superintendent which was held prior to the development of the plan. The responsibility for the task is not designated to an identified unit or individual. It is assumed that the parties participating are responsible for the event. This activity is not given as a projected task for the plan but is recorded in the plan as documentation of compliance with the State's directive. The plan could include a set of intended activities resulting from the retreat.
Governance Directives 1,6 (continued)

Technology: Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

4.2 What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?

The plan seems to imply that given the opportunity for exposure to information and the occasion for discussion, the board will develop a program/plan to improve relations and role functions. In both tasks defined in this section of the plan the operations are vaguely defined communication processes. In a sense this is a plan to plan. The planners have escaped the obligation to project a plan of action for public scrutiny. The planners have offered a conventional device which acknowledges the need for action for change without taking the risk to say what the action will be.

4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?

The plan implies that general knowledge concerning board operations provided through workshops will correct governance operations in relation to role definitions and functions. In addition, the plan implies that indepth discussion among board members will produce the information necessary to correct district deficiencies. Those assumptions should be examined directly because these opportunities could be structured to produce specific knowledge concerning the status of the district in particular and the dynamics of board relations.

4.4 In relation to the identified uncertainties how are work processes to be structured, i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional, managerial, and technical levels of the district?

The only work processes suggested in this section of the plan are interactions anticipated at the board retreat. These are not structured in the plan, but this plan implies intensive sequences with the whole group interacting about the state of the district. The plan might provide more detailed descriptions of the retreat activities to give a picture of the work and the operations that are intended and expected.

Actors: Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

5.4 What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?

The plan projects general training opportunities for board members. However, it is not clear what techniques they are to learn to operate within the governance structure of the organization. The
Governance Directives 1.6 (continued)

plan also provides opportunity for board interactions at a retreat, however, the plan is not clear about the techniques that will be learned through this process.

5.5 What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and operate within the structure provided in the plan?

The plan provides for board members to access "experts" through conferences, workshops and seminars. However, the areas of knowledge and targeted techniques for improved board operations are not identified in the plan. Therefore, training sessions may or may not access personnel with appropriate expertise for participating board members.

5.6 What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and to operate within structures defined in the plan?

The plan implies that the board's two day retreat provided opportunity for positive interactions among board members. However, this outcome is not projected as a positive intention of the plan. Since the problem statement did not define the source of conflict in board/superintendent relations, a two day retreat may prove an opportunity for positive interactions or disaster depending on the substance and structure of discussions.
### Task: Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

<table>
<thead>
<tr>
<th>Question</th>
<th>NA</th>
<th>N</th>
<th>I</th>
<th>NC</th>
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<tr>
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<td>NA</td>
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<td>Does the implementation plan give a description of the district's mission - its central task(s).</td>
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<td>NA</td>
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<td>NC</td>
<td>Y</td>
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<tr>
<td>Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
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</tr>
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### KEY

- **NA**: Content of the question does not apply to the problem.
- **N**: Information is not contained in the document.
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Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic conditions and technology.

Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?
**Structure:** Structure refers to systems of authority and systems of work flow.

<table>
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<tr>
<th>3.1</th>
<th>What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?</th>
<th>NA N I NC Y</th>
</tr>
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<tbody>
<tr>
<td>3.2</td>
<td>Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
</tr>
<tr>
<td>3.3</td>
<td>What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
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<td>3.4</td>
<td>What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
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<td>3.5</td>
<td>What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
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<td>3.6</td>
<td>What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
</tr>
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**Technology:** Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

| 4.1 | What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district? | NA N I NC Y |
4.2 What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?

4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?

4.4 In relation to the identified uncertainties how are work processes to be structured i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional, managerial, and technical levels of the district?

Actors: Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

5.1 What aptitudes are required to apply techniques and to operate within the structures provided in the plan?

5.2 What training is required to apply techniques and to operate within the structures provided in the plan?

5.3 What experience is needed to apply techniques and to operate within the structures provided in the plan?

5.4 What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?

5.5 What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and to operate within the structure provided in the plan?
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<tr>
<th>5.7</th>
<th>What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan?</th>
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<tr>
<th>5.8</th>
<th>What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and operate within structures defined in the plan?</th>
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</table>
Governance Directive: 2

"The procedure for the review and update of policies should be formalized to ensure appropriate guidance and direction to the district administration."

Task: Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation?

The problem statement implied that failure to adhere to bureaucratic norms was the overarching problem accounting for district deficiencies. This directive is a procedural correction of bureaucratic practice. The directive indicates that the process of formalizing policy review is the means to ensure appropriate direction for district administration. While the review process may be necessary to ensure appropriate guidance and direction to administration, it is not sufficient to effect a guarantee of the appropriateness of that guidance.

1.2 Does the implementation plan give a description of the district’s mission - its central task(s).

The problem statement gave this directive as a central task to correct district deficiencies. The plan states an objective, "To review and update all Board of Education policies"; this objective is given as a statement of means but is only a rephrasing of the directive. It doesn't add meaning and define measures to achieve the directing goal.

Objectives might define criteria for the review process. For example, should the review examine policies for impact on student attendance, academic performance, discipline? Should the review examine policies for consistency and efficiency of district operations? While the directive is vague, the objectives of the plan should clarify specific intentions the planners have in mind to insure that policies do give appropriate guidance to administration.

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact?

The plan does not state changed expectations but certainly these are intended. If policies and procedures are modified to give direction to administrators, then changed expectations will result. The directive suggests that administration needs new, changed guidance for its actions. However, the goal, objective and activities projected in the plan do not indicate what kind of change is desired - what constitutes appropriate guidance for new behaviors or continuing traditions.

In the broader sense the plan is silent concerning policy changes and expectations between members of the district and others. Since the problem statement is vague about interactions between the district and external entities, the plan does not define the shape of changes in these relationships to be expressed in policy documents.

Finally, the problem statement does not discuss the relationship between district policies and district deficiencies. Therefore, the implementation plan remains vague, in fact empty of specific content for changes in board policies relating to district performance who does what to whom.
Governance Directive: 2 (continued)

1.4 Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others?

The directive in the plan is broad enough to encompass policies that impact internal and external district relations. However, since the problem statement was almost silent concerning the district's interaction with external agencies, state and federal entities, it seems that the focus for policy consideration is chiefly internal to the district.

1.5 Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement?

The plan implies that an obstacle to achieving the task of reviewing and updating policies is lack of expertise on the part of the board. This implied obstacle is to be overcome by using the services of a consultant. The plan indicates that a consultant will objectively evaluate all existing formal policies. However, the problem statement implies that it is the board which must review its policies. It is implied but not stated that the consultant will work with the board to examine and evaluate policies. The plan should state stages of the review procedure if there are anticipated stages in the review process.

1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors may include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

It is not clear if planners view policies as obstacles or opportunities for task achievement. The plan is vague about the nature of the district's central mission and the role of the governance function in relation to it. Consequently, the plan is not clear about the relation of policies to the district's mission and to impediments and opportunities to achieve the mission. It seems that the planners accept the implied assertion in the directive that if policies are clear and consistent then district performance will improve. However, policies can be clear, consistent and wrong in relation to improvement in district performance. Since the problem statement and directive are vague about the nature of policy factors affecting performance, the plan is also vague. The plan leaves the task of assessing policies to a consultant and the plan is silent on the criteria the consultant should apply to the evaluation process. Do planners assume that policies will be reviewed in relation to district deficiencies?
Governance Directive: 2 (continued)

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

The objective for the goal restates in broad terms the general sense of the directive. If the objective(s) separated the components of the directive and made explicit, inferences to be drawn from the directive, the plan could provide the constituents of the problem. For example: (1) an objective might state that policies would be reviewed by a representative body to assess the relationship between policies and district deficiencies; (2) an objective might state that the process for policy review would include stages of review with the board giving final approval to district policies. As the plan stands, the consultant is expected to structure the task or to perform the review individually. The statements in the plan appear to be offered as evidence of compliance with the state's directive and do not seem to be given as significant actions for improving district operations and functions.

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

The directive given in the plan suggests efficiency and order were values of the goal statement. The problem statement implies the need to correct bureaucratic practices in the district to restore hierarchical relations and to bring order to district operations. It might be useful to examine policies for their adaptiveness to the district's problem situation; for their impact on production, efficiency, job satisfaction, culture and communication.

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

As noted above the objective of the plan is not a statement of means to achieve the goal of the plan. It does not add meaning by describing how the goal will be achieved. The tasks (activities) of the plan are not defined explicitly and only reiterate the goal statement given in the directive.

3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?

While the consultant role is identified as the position responsible for tasks, district personnel are also listed as responsible for the policy review process. The plan does not state specifically the tasks within the review process for which staff is accountable.
3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?

There is no indication in the plan concerning the management and control of the decision process for modifying district policies. It is most unlikely that a consultant will decide independently what the substantive and procedural content of board policies will be for a specific district situation.

Technology: Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?

The plan implies that the knowledge of an expert is required for the policy review process. However, the plan does not state what particular expertise is needed for the work. Since the task is vaguely defined it is not clear what specialized knowledge is requisite.

Actors: Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

5.5 What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and operate within the structure provided in the plan?

The plan provides that a consultant will conduct a systematic process of review for all existing policies and will codify these policies for uniform application. Since the plan does not state criteria for the analysis of district policies, it is not clear what type of experience is needed for the role of the reviewer. For example, if one of the criteria for the review is to garner district consensus for district policies and practices, then the consultant should be expert in designing consensus building processes. If the criteria includes the need to examine district policies in relation to identified deficiencies, then the consultant should be expert in the problems of urban education as well as the formulation of policy language. The plan should more clearly define the task of the policy review so that the required expertise for the consultant position can be determined. Further, the method and procedure for accessing the experience of the consultant for the review process should be defined within the planning document.
**WORKING PAPERS: IMPLEMENTATION PLAN ANALYSIS**

Document Section  **Governance: Directive 2**

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**Task:** Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation?

```
NA  N  I  NC  Y
```

1.2 Does the implementation plan give a description of the district's mission - its central task(s).

```
NA  N  I  NC  Y
```

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact?

```
NA  N  I  NC  Y
```

1.4 Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others?

```
NA  N  I  NC  Y
```

1.5 Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement.

```
NA  N  I  NC  Y
```

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**KEY**

- **NA** Content of the question does not apply to the problem.
- **N** Information is not contained in the document.
- **I** Information in the document is incomplete, limited.
- **NC** Information in the document is not clear, vague, abstract.
- **Y** Information is contained in the document.
1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

1.7 Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic conditions and technology.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?
**Structure:** Structure refers to systems of authority and systems of work flow.

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<tr>
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<th>Answer</th>
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<tr>
<td>3.2 Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
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<tr>
<td>3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
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<tr>
<td>3.4 What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
</tr>
<tr>
<td>3.5 What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
</tr>
<tr>
<td>3.6 What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?</td>
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**Technology:** Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

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<td>4.1 What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td>NA N I NC Y</td>
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</table>
4.2 What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?  NA N Y

4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?  NA N Y

4.4 In relation to the identified uncertainties how are work processes to be structured i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional, managerial, and technical levels of the district?  NA Y

Actors: Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

5.1 What aptitudes are required to apply techniques and to operate within the structures provided in the plan?  NA Y

5.2 What training is required to apply techniques and to operate within the structures provided in the plan?  NA Y

5.3 What experience is needed to apply techniques and to operate within the structures provided in the plan?  NA Y

5.4 What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?  NA Y

5.5 What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and to operate within the structure provided in the plan?  NA Y
What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and operate within structures defined in the plan?

What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan?

What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and operate within structures defined in the plan?
Governance Directive: 3

"The board of education and the superintendent should develop and implement procedures, communication vehicles and activities designed to strengthen their working relationship with the board of school estimate and the city council especially as it relates to the review of the district’s annual budget requests."

Task: Task refers to organizational purposes, goals, work including operationally meaningful subtasks.

1.1 Does the implication plan provide a broad statement describing the solution to the problem situation?

As previously stated, the plan does not provide a broad statement giving the framework for the solution to the problem situation. Since the content of the plan is structured in response to the problem statement and since the problem statement does not define the problem situation with its constituent parts, the plan reflects the atomistic construction of the problem statement. It was noted that there is an implied problem definition which indicates that the failure to adhere to bureaucratic norms is the underlying problem affecting the district’s governance function. This directive addresses one aspect of that reordering of hierarchical patterns and relations.

1.2 Does the implementation plan give a description of the district’s mission - its central task(s).

The directive gives a broad but clear statement concerning this central task. However the objective is only a summary statement reiterating the sense of the directive, adding no meaning. Discrete objectives providing goals and means statements to explicate the separate parts of the directive should be included in the plan.

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact?

The plan states specific behaviors for actors involved in interagency transactions. The activities describe structures for communicating between members of the board, The Board of School Estimate, the mayor and members of the City Council. The tasks are responsive to the mandate given in the directive to develop procedures to strengthen the working relationship. However, since the problem statement was vague in its explanation of the source of the unsatisfactory relationship between and among agencies, it isn’t clear that the structures established in the plan are sufficient to correct difficulties in their transactions.

1.4 Does the implementation plan give a prescription for the district’s role in a larger system which guides the district’s actions in certain directions and not in others?

The plan provides that the district will communicate more efficiently with agencies of the city - the Mayor, City Council, Board of Schools Estimate. The role is narrowly defined to procedural matters required in the formal processes of budget preparation. A broader more diffuse "friendly" role is prescribed in the plan through activities such as sending newsletters and inviting officials to district functions.
Governance Directive: 3 (continued)

1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors may include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

The directive and activities of the plan emphasize hierarchical integration within and among implementing agencies. Further the plan seems designed to elicit the commitment of implementing officials to an improved relationship among organizational entities.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of the problem solution factors

The plan does not provide a coherent proposal describing a solution to the unsatisfactory relationships between agencies of the city and the district. The narrow definition of communication difficulties between agencies is addressed in the plan and the organizational location of problem solution factors is given explicitly in the plan.

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

The plan addresses communication and efficiency goals. These improvements in communication and efficiency are given as solutions to the conflict in relationships between governmental agencies and the Board of Education.
Governance Directive: 3 (continued)

Structure: Structure refers to systems of authority and systems of work flow.

3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional managerial and technical levels of the district?

The plan specifically names the positions responsible for implementing activities. The plan does mandate actions of the Board of School Estimate members; it is not clear that the district board can control and direct the actions of these individuals requiring them to attend board meetings.

3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?

The plan does not state the authority structure which will oversee the implementation of the set of activities prescribed to achieve the goal set in the directive.

3.5 What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

The plan establishes a set of informational activities to effect the changes projected in the directive. Formal and informal information processes are prescribed in the plan including meetings, newsletters and invitations to attend functions of the district. However, these activities are not given as a "system" of interrelated actions to achieve the goal of the directive.

3.6 What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?

The plan does not specify rules for the implementation of the activities prescribed to achieve the purpose of the directive. The only rule given is that budget materials will be submitted in a "timely and expeditious manner." Again there is the underlying assumption that there is no substantive problem with budget development and that existing difficulties arise from a lack of efficiency in the district's preparation process.

Technology: Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

4.1 What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district?

The problem statement does not explain why past budget reports were late or otherwise unsatisfactory to municipal authorities. Further, the problem statement does not describe the work processes involved in the budget development process in the district. The question then remains open as to the influence of technical factors on the efficiency of budget preparation and production. For example, do materials used in the process include an assessment of needs in the district? Is there a long-range plan for building the educational program including yearly estimates for purchasing textbooks and equipment? What planning documents are used in the budget preparation, production and defense?
Governance Directive: 3 (continued)

4.2 What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?

The plan implies that when documents are provided to agencies in a timely and efficient manner, the work of the business transactions between agencies will proceed efficiently. This assumption should be considered, studied and examined more closely because it is difficult to believe that substantive problems concerning the financing of the district, and the performance of the district generally are not factors that contribute to conflicts between agencies of the city and district.

4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?

The plan does not indicate areas of knowledge required to effect the goal given in the directive. It is assumed that the board and staff have requisite technical knowledge to do the work of governance of the district and to relate to other governmental institutions beyond the district.

**Actors:** Actors refer to people as individuals or groups to achieve the goals of the organization.

5.1 What aptitudes are required to apply techniques and to operate within the structures provided in the plan?

Implicit in the plan is the assumption that board members are able to conduct the technical processes necessary for budget development and to engage in positive and constructive relationships with governmental agencies. Aptitudes required are not stated but are implied in tasks defined in the plan. Not only are technical aptitudes assumed but the plan seems to assume that board members and staff can assure a collegial or professional relationship with political and bureaucratic members of external agencies.

5.2 What training is required to apply techniques and to operate within the structures provided in the plan?

The plan generally references training for board members to improve board/superintendent relationships. Training opportunities to improve technical skills for budget development and skills for enhancing group relations are not given for this goal. Such training might prove advantageous if difficulties in intergroup relations are based on substantive matters, as well as procedural issues.

5.3 What experience is needed to apply techniques and operate within the structures provided in the plan?

If the plan projected a study of the conflict between intergovernmental agencies and the district, then a consultant with broad experience and knowledge about these relations might assist the board. If the difficulties in relations are caused by substantive issues, then consultants with appropriate experience might help resolve differences. Without this kind of analysis the type of experience needed can't be assessed.
Governance Directive: 3 (continued)

5.6 What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and operate within structures defined in the plan?

The plan states that the district will invite officials to district functions; that meetings will be scheduled with sufficient notice to encourage attendance. The plan provides opportunities for interaction but does not overtly structure the events to produce positive interactions. It is assumed, apparently, that these interactions will happen if the time and place are provided.
WORKING PAPERS: IMPLEMENTATION PLAN ANALYSIS

Document Section Governance: Directive 3

Task: Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation? NA N I NC Y

1.2 Does the implementation plan give a description of the district's mission - its central task(s). NA N I NC Y

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact? NA N I NC Y

1.4 Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others? NA N I NC Y

1.5 Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement? NA N I NC Y

KEY

NA Content of the question does not apply to the problem.
N Information is not contained in the document.
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1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors include:

1. Clear consistent policy objectives
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4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

1.7 Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic conditions and technology.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?
**Structure:** Structure refers to systems of authority and systems of work flow.

3.1 **What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?**

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3.2 **Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district?**

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3.3 **What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?**

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</table>

3.4 **What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?**

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3.5 **What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?**

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3.6 **What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?**

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**Technology:** Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

4.1 **What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district?**

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<tr>
<td>4.2 ______ What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?</td>
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<td>4.4 ______ In relation to the identified uncertainties how are work processes to be structured i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional managerial, and technical levels of the district?</td>
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Governance Directive: 4

"The board of education and the superintendent must develop effective communication vehicles with parents and community members to ensure that accurate and timely information regarding the district is disseminated widely and frequently."

Task: Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation?

The problem statement reported community dissatisfaction with schools and the district. Broadly stated community complaints indicate distrust of the district as an institution. The growth of enrollment in private and parochial schools was given as evidence of the failure of community confidence in the district. The directive addresses a narrow aspect of the problem. The directive requires procedural corrections to a substantive problem. The directive mandates that the board and superintendent communicate more effectively and that information concerning the district is communicated to the community. The directive does not order the district to address the content of community concerns.

1.2 Does the implementation plan give a description of the district's mission—its central task(s)?

The plan implies that the reports of community task forces established by the superintendent will have impact on the development of a three-year plan. However, the plan is vague about the role of community groups in the planning process and in district activities in general. The objective given in the plan states "... parent/community representatives will have greater involvement in the district's activities." The goal, objective(s) and tasks for improving community relations would be clearer if statements were more specific about roles, structures and processes for involving the community in the district.

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact?

The plan defines expectations for staff activities such as meetings with PTA groups, developing a district newsletter, issuing school newsletters. It is not clear that these expectations are changed or if these processes were occurring in the past.

1.4 Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others?

The plan defines the district role in this case as an initiator of communications. The directive and the tasks given in the plan describe communication travelling out to a community which receives information. The receptive role of the district is not defined. The plan only vaguely refers to greater involvement and participation on the part of parents and community.
Governance Directive: 4 (continued)

1.5 Does the implementation plan prescribe activities to overcome obstacles or take opportunities for task achievement?

The plan explicitly defines activities which take or create opportunities to achieve communication with parents and community groups. The plan is vague or silent about opportunities for receiving communications and engaging in two-way interactions with community groups.

1.6 Does the implementation in plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement? Factors may include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

The plan implies that community recommendations from task force reports will be accommodated in the district's three-year plan. In all probability some of these recommendations would address policy/statutory factors affecting district performance. The plan is vague about the commitment of district officials to the recommendations of community participants. The plan is also vague about the continued formal access of community groups. It is assumed that the existing task forces created by the superintendent will dissolve after their report is received by the board. Activities projected in the plan suggest routine structured communications with PTA groups and not the establishment of an on-going advisory council or other structured processes for community input.

1.7 Does the implementation plan address non-statutory factors affecting the achievement of district tasks? Factors may include changes in socioeconomic and technological influences.

The plan does not address political, social, racial, economic or technological influences on district performance in general nor in relation to community participation in district activities. The development of a three-year plan that takes into account the social/economic profile of the district may be intended by planners. However, the implementation plan does not state explicitly intentions to address these non-statutory factors that may influence district performance.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

Since the plan only addresses a single aspect of community dissatisfaction - the need to communicate more effectively - the plan cannot be described as addressing the constituents of the problem solution. As noted above, the problem statement did not frame the symptoms of parent and community unrest into a broadly defined problem. The statement listed areas of dissatisfaction but only directed the district to improve communication vehicles to insure accurate and timely information to the community.
Governance Directive: 4 (continued)

In addition, the problem statement alludes to numerous parent and community complaints about district staff. While these were considered inappropriate for inclusion in the report, a sense of the dissatisfaction for inclusion in the report, a sense of the dissatisfaction in general terms might indicate that training for staff to improve relations with the community is warranted.

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution of the problem situation?

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

The plan is centered in communication as the means to effect an improvement in community relations. However, other goals such as adaptiveness, order, and culture might be considered as purposes to be incorporated in a plan to improve community support and confidence in the district.

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals—objectives—tasks?

There is a logical relationship between the directive, objective and activities of the plan. However, there is a gap in the logic between the text of the problem statement and the directive given to address the community problem is distrust.

2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goals—objectives—tasks?

As indicated above, there is a logical relationship between these components of the plan. The fact that the goal given does not embrace the whole of the problem and in fact only addresses a single aspect, the communications problem, suggests that implementing the activities given in the plan will not "solve" the problem of community distrust and loss of confidence in the district.

Structure: Structure refers to systems of authority and systems of work flow.

3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?

The plan places responsibility for developing communications apparatus with district administrators. Board members are designated communicators only in relation to civic organizations and general public presentations. The plan might expand the role of the board by including board communication within the district newsletter, etc.
Governance Directive: 4 (continued)

3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?

While the plan does not indicate overall responsibility for developing public information vehicles to any one unit or individual in the district management team, there is a significant and dominant role for the superintendent in the allocation of responsibilities for activities. Principals are also key to the implementation of the plan.

3.4 What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

The plan does not indicate control procedures for monitoring communications to parents and the community at different levels of the organization. For example, it is not clear that school level newspapers will follow a prescribed model or that principals will submit newspapers to the office of the superintendent prior to publication. In an environment of community distrust it might be useful to indicate in the plan the development of district training and assistance to school staff developing formal communication vehicles such as newsletters to parents and community.

3.5 What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

The plan does not identify information systems to be used to develop communications vehicles. The role of the public information office is not defined in the plan and criteria for content of information for vehicles is not given. In short, the implementation plan might include a set of subtasks which reference the development of an information system to insure the quality and quantity of communications with the community at the school and district level.

Technology: Technology refers to technical tools—problem-solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

4.1 What materials/equipment are prescribed in work operations to effect the change at the institutional, managerial and technical levels of the district?

The plan prescribes the use of print media for most of the communications to community and parent groups. These printed communications include a district newsletter, monthly calendars and bi-yearly newsletters from school sites. In a general statement concerning communications, the plan indicates the use of news media as a technique to reach the community. If the plan included the development of a public information plan to include various forms of outreach, it is more likely that the whole range of technologies available for communication would be included in a more systematic way. For example, the district probably has access to cable stations for local programming and it could establish a district hot line and a taped message to keep interested publics informed.
Governance Directive: 4 (continued)

4.2 What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?

The plan provides a series of activities that are not joined in a coherent program for community participation. The operations for the dissemination of information through print vehicles are treated as separate, discrete and routine work process. However, the development and publication of these publications involves complex work processes. For example, the quality of the composition and presentation of newsletters can have great impact on the perceptions of the target communities. The plan seems to take for granted the production process involved in communications activities.

4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?

To conduct a successful communications campaign, technical knowledge concerning print media is needed. In addition, the conduct of public presentations and local school open-houses are activities that can be greatly enhanced when responsible parties are knowledgeable about communications processes for different audiences. It may be that in this district principals and other staff are expert in these areas but the problem statement and the contents of the plan do not give evidence of that expertise. A comprehensive communications plan would include training for staff speaking for the district, in print and in person, to insure that individuals have the competencies necessary to succeed.

4.4 In relation to the identified uncertainties, how are work processes to be structured, i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional, managerial, and technical levels of the district?

The plan is silent concerning the development and production processes involved in publishing and disseminating print communications. The task of communication through print media and in large group settings is essentially a mediated technique whereby recipients of communications are treated in categories such as parents and community as a whole. The categories are broad, conventional groupings served by school districts. A public information plan might identify subsets of groups and also devise more interactive modes of communication. For example, intensive sequences might structure a group of "experts" to interact with identified subsets of the parent and community groups, i.e., grandparents.

Actors: Actors refer to people as individuals or groups roles to achieve the goals of the organization.

5.1 What aptitudes are required to apply techniques and to operate within the structures provided in the plan?

The plan requires that principals and district staff have the ability to speak and write effectively. Moreover, the plan assumes that these individuals have the ability to communicate empathetically and persuasively. These aptitudes are not specifically identified in the plan as prerequisite to communication with the community.
Governance Directive: 4 (continued)

5.2 What training is required to apply techniques and to operate within the structures provided in the plan?

The plan does not include training to increase skills in communication. A comprehensive approach to the need for improved communications would incorporate training and support for this very sensitive and important aspect of the effort change public perception of the district.

5.3 What experience is needed to apply techniques and operate within the structures provided in the plan?

The plan requires that staff have access to an individual or a program which will give personnel the advantage of experience in the art of public communications. The district indicates that it has the service of public relations staff. This staff is not included as a resource for activities beyond the production of the district newsletter. Perhaps the plan would benefit from designating a larger role for the public relations staff in the conduct of public information activities across the district. In fact, this staff might be assigned responsibility for developing a comprehensive, detailed plan of action for improved community relations.

5.8 What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and to operate within structures defined in the plan?

As noted above, the plan assumes the autonomy of individuals developing communications instruments. In this case it seems that the autonomy is too vaguely defined and unwarranted. Further, it is probable that if individuals err in their communications with parents and create crises for the district, they will suffer negative consequences. To avoid these unfortunate situations, a comprehensive public information plan would stipulate a process for guiding individuals and establishing district controls over communication processes.
**Task:** Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

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<tr>
<th>Question</th>
<th>NA</th>
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**KEY**

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<td>Information in the document is not clear, vague, abstract.</td>
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2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

1.7 Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic conditions and technology.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

2.1 Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?
Structure: Structure refers to systems of authority and systems of work flow.

3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district? NA N I NC Y

3.2 Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district? NA N I NC Y

3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district? NA N I NC Y

3.4 What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district? NA Y I NC Y

3.5 What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district? NA Y I NC Y

3.6 What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district? NA Y I NC Y

Technology: Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

4.1 What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district? NA N Y I NC Y
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**Actors:** Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

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5.7 What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan?

5.8 What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and operate within structures defined in the plan?
Governance Directive: 5

"The Board of Education and the superintendent must develop procedures and processes to solicit and encourage input from parents and members of the community and respond appropriately to their questions, concerns and suggestions."

Task: Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation?

While the problem statement did not name the problem addressed in this directive, the sum of the text indicates that the district is suffering a crisis of community distrust. The implementation plan does not provide a broad goal statement to restructure district/community relations to restore community confidence or any other overarching goal to address the broad problem of community dissatisfaction.

1.2 Does the implementation plan give a description of the district’s mission—its central task(s)?

The plan does not describe a central mission but does provide a set of central tasks. This directive is given as a central task to improve district performance. As noted in previous analyses of sections of the implementation plan, the statement of objectives does not add meaning to the content of the goal statement given in the directive. If anything, the objective is less informative concerning means to achieve ends than the originating directive. It appears that the objective is merely a pro forma statement given to comply with the structure of the planning document. The objective should identify specific aspects of the directive to amplify, specify, indicate actions to fulfill the intentions of the directive statement.

The activities or tasks listed in the plan are clearly stated specific actions to achieve the broad goal of the directive. Since the plan is not structured in a framework of objectives, the activities are separate, discrete operations that are not logically linked. They are a set of scattered, unconnected activities related to the broad intention of the directive statement.

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact?

It appears that many of the tasks reported in the plan are not new expectations but are continuing activities of the district management team. The plan does state that the district will employ a full-time Director of Community Resources and Human Relations. However, the plan does not indicate the role of this individual in relation to the goal. Most of the activities suggest a commitment to continuing standard and routine communications with parents and community.

Interestingly, the plan does not state any new or changed interaction between the board and the community. While this section of the plan addresses the governance operations of the district, the plan actually assigns virtually all tasks to district management. One wonders if the board had been asked to consider or to generate new ideas for improved community relations?
Governance Directive: 5 (continued)

1.4 Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others?

This goal statement in a general way concerns the district's relation to the larger environment or system in which it operates. The directive tentatively suggests that the district access the larger community to "read" the direction it is giving to the educational organization. Unlike corporate organizations which must respond to the marketplace, the district's continued existence is not dependent on the approval of the community. On the other hand, long-term dissatisfaction with the district leads to parent/student flight and to ultimate failure of the district to achieve at a satisfactory level.

In light of the evidence given in the problem statement of community alienation, the directive and the activities of the plan seem unresponsive. Most of the items are routine procedures used traditionally by school districts to interact with the community. The plan gives little or no indication of response to the depth and scope of the community's concerns as evidenced by flight to private and parochial schools.

1.5 Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement?

The plan prescribes specific activities which are appropriate to the achievement of the directive. The activities are designed to take advantage of ordinary opportunities in the routine processes of a school district operation to achieve the goal of the directive. For example, the plan stipulates that the superintendent will attend Back to School Night, as calendar permits, to meet with parents and the superintendent will send all schools copies of district policies related to parents for distribution. These activities are very limited in scope and do not show effort to seize opportunities to change public perception of the district.

1.6 Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement? Factors may include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

The plan implies that community recommendations from task force reports will be accommodated in the district's three-year plan. In all probability, some of these recommendations will be related to district policies and/or statutory factors. Sometimes proposed improvements are indirectly related to statutory regulations. For example, academic programs for disadvantaged students are under some circumstances supportable through Chapter 1 or state compensatory programs. Districts may not have explored all possible ways of applying these funding sources to address student needs. This consideration would be counted under allocation of financial resources and decision rules of implementing agencies. Since the plan does not address substantive matters and is limited to projecting process solutions to community/district relations, it does not indicate the direction the
Governance Directive: 5 (continued)

district will take to address the content of community concerns. Therefore, it is not clear how the
district will overcome obstacles or achieve objectives in relation to policy/statutory factors.

1.7 Does the implementation plan address non-statutory factors affecting the achievement of
district tasks? Factors may include changes in socioeconomics and technology.

The plan states that task forces established by the superintendent will focus on areas of
concern to the community and the district. It may be that some of these concerns relate to the
socioeconomic and political status of the district. Since the content of these concerns is not stated
in the plan, one cannot conclude that these matters are to be addressed by the district.

1.8 Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

The directive and most activities of this section of the implementation plan are centered in
the goal to improve communication with the community. While this may be a good thing to do and
it probably is an element in the problem solution for the district’s deficiencies, neither the problem
statement nor the plan explain the relationship between a communications gap and the district’s
problem situation.

As noted above, the plan allocates tasks to improve communications at the governance level
to district administration. The board, which is the governing agency, is not responsible for conducting
activities with the exception of inviting the public to board workshops and meetings.

1.9 Does the implementation plan provide a clear description of the goals, objectives and tasks
to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

The directive and activities are oriented to the goal of improving communications with the
community. It is not clear how the role of the Director of Community Resources and Human
Relations will impact district/community relations. The directive states that the board and the
superintendent will respond appropriately to community questions, concerns and suggestions.
Activities and the stated objective of the plan do not reference this aspect of the given goal statement.
This statement implies the need for the district to adapt to the needs of the community in action as
well as word. This factor in the directive is not addressed in the plan explicitly and there is barely an
implicit statement of the district’s intention to change in response to community concerns.
Governance Directive: 5 (continued)

2.0 Does the implementation plan describe the logical relationship between levels of goal statements: goals—objectives—tasks?

The logic of this section of the plan falters because the objective does not add meaning nor does it encompass the whole meaning of the directive. Activities then are an assortment of tasks broadly related to the intention of the directive statement. The plan is a loosely constructed assortment of atomistic parts which are all tangentially connected to the general purpose of improving communications.

Structure: Structure refers to systems of authority and systems of work flow.

3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial, and technical levels of the district?

Each discrete activity has designated staff responsible for its implementation. No one unit or individual is allocated responsibility for implementing the directive as a whole.

3.2 Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district?

The plan states tasks with staff designated responsibility for insuring their implementation. The tasks are not broken down into component parts with elements of tasks assigned to specialized personnel. These components of the tasks are assumed or implied. For example, the plan requires that the district will sponsor a curriculum fair to show parent and the community the programs and materials used in schools. This is a complex task assigned to the director for curriculum and a committee. It is assumed that they will break down the task and assign parts to appropriate staff.

3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?

The plan does not designate an authority structure to control the implementation of activities. It is implied that control of the set of tasks is under the position of the superintendent in the absence of a designated unit for control of the whole effort.

Technology: Technology refers to technical tools—problem-solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

4.1 What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district?

The materials used for task achievement are chiefly print matter distributed for communicating or receiving information. For example, principals are required to submit parent sign-off sheet after reviewing the district annual plan and the superintendent will send copies of board
Governance Directive: 5 (continued)

policies for distribution through the schools. The plan states that a summary of board meetings will be distributed to PTA and community groups and board minutes will be open to public review. The heavy dependence of the communication goal on printed material as the source of information raises some questions of efficiency and effectiveness. In light of the fact that most people gain information from the media and not from print matter, the plan might gain from inclusion of other forms of materials and equipment for communicating with the public.

4.2 What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?

The plan depends heavily on formal communications operations to achieve the improved relation with the community. The plan does not indicate informal mechanisms to improve community input to the district. The curriculum fair is the most informal process suggested to achieve communications improvement with parents and the community. The planners might explore informal processes such as small group discussions with the superintendent and principals to elicit parent concerns and to develop appropriate responses.

4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial and technical levels of the district?

The plan relies heavily on the literacy of the parent and community groups to process information from the district. This reliance should be examined in light of the changing socioeconomic profile of the district. Information concerning the level of education of parents of students attending the district is not given in the problem statement. If examination of this issue reveals low literacy rates among district constituents and this is not a factor the district can control or change, then the plan is weakened by this heavy reliance on a knowledge base that is lacking.

4.4 In relation to the identified uncertainties, how are work processes to be structured, i.e., longlinked, mediated, or intensive sequences to implement the change at the institutional, managerial and technical levels of the district?

Most of the work processes indicated in the plan are structured as mediated operations. The communications are oriented to categories of people within the community. There are two examples of intensive sequences in which parents are included in decision-making groups, i.e., principal interviews and delayed school openings. The mediated sequence is designed for optimal communications from the district to the groups. It is not a process that facilitates communications from parents and community to the district.

Actors: Actors refer to people as individuals or groups in roles to achieve the goals of the organization.

5.1 What aptitudes are required to apply techniques and to operate within the structures provided in the plan?

It was observed that several of the tasks given in the plan require literacy on the part of the parents and community members. This literacy is counted as a knowledge base and not as an
aptitude. Aptitude implies a potential for gaining and using knowledge. It is assumed in the plan that these groups have the necessary knowledge and therefore the aptitude to process the information disseminated in print form by the district.

In relation to staff aptitudes required to achieve tasks, it is not clear how the new position, Director of Community Resources and Human Relations will be used. As a result the aptitudes and knowledge required for the position remains in question.

5.2 What training is required to apply techniques and operate within the structures provided in the plan?

The activities projected in the plan assume that parent participants have knowledge concerning the content of the district annual plan, selection criteria and processes for selecting principals and background information concerning areas of concern to the community and the district. The plan provides no indication that training will be provided to enable parents and community to participate in activities with a requisite knowledge base.

5.5 What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and operate within the structure provided in the plan.

The plan implies that the position of the new director will provide the district staff, parents, community with assistance from an individual with appropriate experience levels to enhance community participation. However, the plan provides no specific information concerning the role and the functions of the position and, therefore, it remains unclear whether this position will provide needed support for the community outreach program.

5.6 What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and operate within structures defined in the plan?

The plan structures large group sessions such as Back to School Night, a curriculum fair, board meetings, as opportunities for individuals to interact on a positive basis. However, this aspect of the plan appears to be an unintended consequence of the mediated process for achieving the goal of the directive.
WORKING PAPERS: IMPLEMENTATION PLAN ANALYSIS

Document Section: Governance: Directive 5

Task: Task refers to organizational purposes, goals, work, including operationally meaningful subtasks.

1.1 Does the implementation plan provide a broad statement describing the solution to the problem situation? NA N I NC Y

1.2 Does the implementation plan give a description of the district's mission - its central task(s). NA N I NC Y

1.3 Does the implementation plan state changed expectations for members of the district and others with whom they interact? NA N I NC Y

1.4 Does the implementation plan give a prescription for the district's role in a larger system which guides the district's actions in certain directions and not in others? NA N I NC Y

1.5 Does the implementation plan prescribe activities to overcome obstacles or to take opportunities for task achievement. NA N I NC Y

KEY

NA Content of the question does not apply to the problem.
N Information is not contained in the document.
I Information in the document is incomplete, limited.
NC Information in the document is not clear, vague, abstract.
Y Information is contained in the document.
Does the implementation plan prescribe activities to address policy/statutory factors which are obstacles or opportunities to task achievement. Factors include:

1. Clear consistent policy objectives
2. Adequate causal theory
3. Allocation of financial resources
4. Hierarchical integration within and among implementing agencies
5. Decision rules of implementing agencies
6. Commitment of implementing officials
7. Formal access by outsiders

Does the implementation plan address non-statutory factors affecting the achievement of district tasks. Factors may include changes in socioeconomic conditions and technology.

Does the implementation plan define:

1. Constituents of the problem solution
2. The organizational location of problem solution factors

Does the implementation plan provide a clear description of the goals, objectives and tasks to effect a solution to the problem situation? Types of goal statements may include:

1. Adaptiveness
2. Production
3. Efficiency
4. Job satisfaction
5. Order
6. Culture
7. Communication

Does the implementation plan describe the logical relationship between levels of goal statements: goals - objectives - tasks?

Does the implementation plan describe the causal relatedness between levels of goal statements: goals - objectives - tasks?
### Structure:
Structure refers to systems of authority and systems of work flow.

#### 3.1 What positions and/or units are responsible for tasks prescribed to implement change at the institutional, managerial and technical levels of the district?

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th>NC</th>
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<tr>
<td>Y</td>
<td></td>
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</tbody>
</table>

#### 3.2 Are positions and/or units given clear-cut tasks establishing specialization of activities to implement change at the institutional, managerial, and technical levels of the district?

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>I</th>
<th>NC</th>
<th>Y</th>
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</table>

#### 3.3 What authority structure is prescribed to control implementation of activities at the institutional, managerial, and technical levels of the district?

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>I</th>
<th>NC</th>
<th>Y</th>
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</table>

#### 3.4 What control procedures are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>I</th>
<th>NC</th>
<th>Y</th>
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</table>

#### 3.5 What information systems are prescribed to implement the change at the institutional, managerial, and technical levels of the district?

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<thead>
<tr>
<th></th>
<th></th>
<th>I</th>
<th>NC</th>
<th>Y</th>
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</table>

#### 3.6 What standard rules are prescribed impacting the uses of time, space, resources, etc. at the institutional, managerial, and technical levels of the district?

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<thead>
<tr>
<th></th>
<th></th>
<th>I</th>
<th>NC</th>
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</table>

### Technology:
Technology refers to technical tools - problem solving inventions like computers, report card systems, textbooks, media. Technology covers all instruments and methods designed to achieve goals.

#### 4.1 What materials/equipment are prescribed for in work operations to effect the change at the institutional, managerial, and technical levels of the district?

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th>NC</th>
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<tbody>
<tr>
<td>Y</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
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<td>------------------------------------------------------------------------</td>
<td>----</td>
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</tr>
<tr>
<td>4.2 What operations are explicitly or implicitly prescribed in the plan to effect the change at the institutional, managerial, and technical levels of the district?</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>4.3 What knowledge is required and prescribed explicitly or implicitly to effect the change at the institutional, managerial, and technical levels of the district?</td>
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<tr>
<td>4.4 In relation to the identified uncertainties how are work processes to be structured i.e., long-linked, mediated, or intensive sequences to implement the change at the institutional managerial, and technical levels of the district?</td>
<td></td>
<td></td>
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<tr>
<td><strong>Actors:</strong> Actors refer to people as individuals or groups in roles to achieve the goals of the organization.</td>
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</tr>
<tr>
<td>5.1 What aptitudes are required to apply techniques and to operate within the structures provided in the plan?</td>
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</tr>
<tr>
<td>5.2 What training is required to apply techniques and to operate within the structures provided in the plan?</td>
<td>NA</td>
<td>N</td>
<td></td>
<td>NC</td>
</tr>
<tr>
<td>5.3 What experience is needed to apply techniques and to operate within the structures provided in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
</tr>
<tr>
<td>5.4 What provisions does the plan project to increase aptitude through training to apply techniques and to operate within structures defined in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
</tr>
<tr>
<td>5.5 What provisions does the plan project to increase aptitude by developing experience levels of existing staff and/or accessing personnel with appropriate experience levels to apply techniques and to operate within the structure provided in the plan?</td>
<td>NA</td>
<td>N</td>
<td>I</td>
<td>NC</td>
</tr>
</tbody>
</table>
5.6 ___________ What arrangements are implied or stated in the plan to provide individuals opportunity to interact positively with peers and others as they apply techniques and operate within structures defined in the plan? NA N I NC Y

5.7 ___________ What arrangements are implied or stated in the plan to provide rewards for achievement that enhance the self esteem and the reputation of individuals as they apply techniques and operate within structures defined in the plan? NA N I NC Y

5.8 ___________ What arrangements are implied or stated in the plan which provide opportunity for autonomy and control for individuals as they apply techniques and operate within structures defined in the plan? NA N I NC Y
PART II. Summary Analysis

Introduction

This summary highlights major issues and questions raised through the application of the model to the content of planning documents. The inquiry was conducted to assess elements of the organizational change strategy given or implied in a district plan for reform. The inquiry identified elements of the strategy which were unclear—vague or abstract. The inquiry probed to indicate deficits in the change strategy and to reveal a lack of linkage between and among elements of the change strategy. This summary critique is given to help planners “see” through the text of planning documents to trace the change strategy projected in the plan. The critique attempts to raise assumptions of the plan to a conscious level, so that planners may reflect on the meaning of the plan reflected in the document.

The summary analysis is based in the detailed inquiry of the prior section analysis and worksheets for each section. The responses given in the section analyses and the worksheets are judgments. These judgments are warranted assertions concerning the elements of the change strategy given in the plan. The judgments are not claims of truth; they are beliefs grounded in a process of inquiry that is open to inspection. The summary analysis presents the judgments of the inquiry in relation to broad questions about the construct of the change strategy given in planning documents.

1. What are the elements of the organizational change strategy given in the planning documents?
2. What elements of the organizational change strategy are unclear—vague or abstract?
3. Is there a lack of linkage between and among elements of the change strategy given in the planning documents?
4. What are the incongruities in the organizational change strategy given in the text of the planning documents?

1. What are the elements of the organizational change strategy given in the planning documents?

Examining the patterns of assessments recorded on worksheets for each directive of the plan, the analysis indicates that the plan as a whole emphasizes technology as the dominant element in the district's strategy for change. This judgment is warranted by an examination of the pattern of responses for each indicator for each core variable for all goals, objectives and tasks defined in the planning document. The premise of the analysis is that the inclusion of text defining and implying the use of the core variable as a method for achieving goals indicates that the plan is stressing the use of that variable as a significant element of the change process. This is not to say that the planners intend to emphasize a particular factor, but rather that the document, standing alone, indicates that one element dominates the strategy given in the plan.

To trace trends in the levels of inclusion and exclusion of indicators for core variables, the percentages for "N's" for each variable for all directives of the plan were calculated and contrasted. That variable with the lowest percentage of "N's" was assessed as the least excluded variable in the text of the planning document. Table 7 displays the calculations for indices of exclusion for indicators for each core variable and for all directives of the plan. The chart shows that percentages for each factor: task (33%); structure (63%); technology (3%); actors (65%), indicate that technology is markedly lower in indices of exclusion than other variables.
Further, positive indices for inclusion: "I"; "NC"; "Y", were calculated and percentages for each variable for all directives were compared. That variable with the highest percentage of positive indices for inclusion was assessed as the most included variable in the text of the planning document. Figure 10 displays the calculation for indices of inclusion for indicators for each core variable and for all directives of the plan.

The chart shows that percentages for each factor: task (25%); structure (12%); technology (25%); actors (12.5%), indicate that technology is markedly higher for indices of inclusion than variables, structure and actors and is equivalent to task for indices of inclusion.

Table 9 displays the calculation for "Y" ratings that indicate unambiguous assessments of inclusion of indicators in the text of the planning document. Even when the ratings for "NC" (Information in the document is not clear, vague, abstract); "I" (Information in the document is incomplete, limited); are excluded as indices for inclusion of indicators for variables, the percentage of positive indices for technology remains high (30%) in relation to other variables: task (20%); structure (23%); actors (10%).

The analysis of ratings for indicators for each variable for all directives in the plan suggests that the planning document emphasizes technology--technical tools--problem-solving inventions like computers, report card systems, textbooks, media--instruments and methods designed to achieve goals. Technology as a term is used to include materials and equipment for work operations; knowledge required to conduct operations; patterns of work processes--long-linked, mediated or intensive sequences.

The ratings for structure and actors indicate that these factors are present in the plan at approximately the same level. Table 7 shows that when indicators rated as "N" (Information is not contained in the document) are calculated in percentages for all indicators for all directives, 63% of the indicators for structure are rated as excluded from the text of the plan. The same calculation for actors indicates that 65% of the indicators for actors are rated as not included in the text of the plan.

When broad indicators for inclusion: "I"; "NC"; "Y"; are calculated and estimated as percentages these factors are counted as included at approximately the same level. Table 8 shows that 12% of indicators for structure are rated as included: 12.5% of indicators for actors are rated as included in the text of the plan. These percentages suggest that these factors are present in the plan but are given low significance in the strategy presented in the text of the planning document.

Table 9 shows that when indicators rated as "Y" (Information is contained in the document) are calculated for these factors, 23% of the structural indicators are rated as included and 10% of the indicators for actors are rated as included in the text of the plan. This suggests that structure is a stronger element in the change strategy than actors.

In conclusion, these estimates suggest that the change strategy given in the planning document stresses technology as the dominant factor effecting the change process with structural approaches as a secondary element in the overall strategy. Those aspects of the organization concerning motivation, aptitudes, training, experience, peer and group interaction, rewards for achievement, and needs for autonomy and control are least included in the district's plan for reform.

2. What elements of the organizational change strategy are unclear--vague or abstract?

Part I, Section Analysis, details comments and questions concerning aspects of the plan and elements of the change strategy which are unclear--vague and abstract. This summary highlights lack
of clarity in task definition as a significant weakness in the plan; a weakness that influences the shape and form of other variables in the strategy for change.

A survey of all indicators for all directives of the plan Table 10 shows that two variables were rated high for lack of clarity. Task indicators were rated as lacking in clarity at the 36% level; technology indicators were rated as lacking in clarity at the 35% level. Structure was assessed as lacking clarity at the lowest level, .06% and actors were rated at the 22.5% level for lack of clarity.

Analyzing these ratings it is noted that technology was identified as the most included variable and it is also rated high for lack of clarity. Thus the variable ranked as the dominant variable for the organizational change strategy is also the variable rated high for lacking in clarity. This holds true even when only unambiguous ratings for including, "Y" ratings, are counted (Table 9). Thus this analysis holds that technology is the dominant variable for the change strategy given in the implementation plan and that it is also rated high for lack of clarity.

The analysis of remaining variables indicates that actors which was rated at the highest level, 65% for indices of exclusion, is at the 22.5% level for lack of clarity. Since this variable was rated at the lowest level for "Y" ratings, 10%, it is clear that all measures of the variable, actors, indicate that it is least included in the text and that when it is included it is high for lack of clarity.

Task is rated at approximately the same high level as technology for lack of clarity. However, Table 9 shows that its ranking for "Y" ratings is only at the 20% level. This suggests that ratings for lack of clarity which are factored into the table for broad inclusion of indicators account for the equivalent ranking of task and technology. Thus task is the least clear, highly included factor in the strategy.

In the model "task" refers to organizational purposes, goals, work including operationally meaningful subtasks. Applying Dewey's method of inquiry, the model incorporates the problem definition as a formative influence controlling the hypothesis for change. The broad purposes and goals of the plan emerge as consequences of the formulation of the problem. Vagueness in the statement of the problem then has impact on the strategy as a whole.

The section analysis for the problem statement indicates that the problem definition was not given in the plan. The content of the section suggests, implies that deficits in the governance function of the district are caused by failure to adhere to conventions of a bureaucratic structure of hierarchical controls. This definition of the problem is never stated explicitly and is therefore never explained, defended or even described. It is merely assumed. Apparently, the premise of the argument is that if hierarchical relations were correctly ordered then governance dysfunctions would cease. Since this assumption is never made explicit in the problem statement, it remains an unexamined assertion—an unwarranted assumption.

The goals, objectives and tasks of the plan are derived from this unstated premise. The solution is framed as a correction of bureaucratic processes and procedures. The formulation of the problem fails to take into account substantive matters in relation to the district's documented deficiencies. Perhaps, if the underlying assumption were stated explicitly, planners would reexamine the explanatory framework that establishes the problem solution. Perhaps, if this assumption were given for consideration, it would be rejected.
3. Is there a lack of linkage between and among elements of the change strategy given in the planning documents?

To assess lack of linkage between and among elements of the change strategy indicators which directly and specifically reference logical and causal connections in the problem definition and the solution statement were considered separately. Those questions referring to the vertical logic from goal statements to objectives to activities given in the plan were considered separately. Finally, the linkage between the elements identified as high for inclusion as elements of the change strategy were examined.

Indicators which directly and specifically reference logical and causal linkages in the problem statement analysis are:

Indicator 1.1
- 1.2
- 1.8

Indicators which directly and specifically reference logical and causal linkages in the implementation plan analysis are:

Indicator 1.1
- 1.2
- 1.8
- 1.9
- 2.0
- 2.1

These indicators were arranged to display the frequency of ratings for the five criteria given for the analysis: "NA," "N," "I," "NC," "Y." The results are provided in Table 11. The frequency ratings show that 36.8% of the scores for indicators for logical/causal linkage are scored "N," not included in text; 26.3% are rated "I," incomplete; 26.3% are rated "NC," not clear. Only 10.5% of the 38 ratings are scored "Y," included in the text of the planning documents. Thus, 52.3% of all ratings for indicators for linkage indicate less than satisfactory assessments for inclusion of statements concerning linkage and 36.8% of all ratings for indicators for linkage indicate no inclusion of information concerning linkage.

When the content of subtexts for indicators is examined to identify the substance of lapses in logical/causal linkage, consistent patterns in the content of the documents surface. The following analysis concerns the vertical pattern of goals, objectives and activities and the horizontal relationship between elements of the strategy: task, structure, technology and actors.

The Section Analyses detail deficits in discrete separate elements of the change strategy. Here, the interest is in the broad pattern of connections linking elements of the change strategy. Given the framework of the model, the elements of the change strategy may be considered vertically and horizontally. Tracking the elements of the strategy vertically, the review traces the logic of goals, objectives and activities stemming from the definition of the problem. Viewing the elements of the strategy horizontally, the review examines the relationship between core variables of the model: task, structure, technology, and actors.

Considering the elements of the change strategy on a vertical track, one discerns lapses in the logic connecting the problem statement, directives (goals), objectives and activities of the plan. In general, the failure of the problem statement to define the broad problem of governance and to link
the governance function to district deficiencies weakens the plan as a statement of means. In short, the problem statement fails to establish a problem situation. The statement does not define the relationship between the governance function and the manifest failures of the district in an explicit and coherent manner. Since the originating problem statement defines the governance problem as a deviation from bureaucratic norms without reference to district dysfunctions, the pattern of directives, objectives and activities is shaped to establish conformity with hierarchical standards. Given the severity of district deficits, it appears that this direction of the plan is limited and trivial.

Setting these concerns aside, an examination of the pattern of goals, objectives and activities indicates that on a consistent basis objectives of the plan do not expand the meaning given in goal statements. In several cases the objectives barely mirror the content of the directives. They say less than the goal statements from which they derive. Objectives appear to be included as pro forma elements of the planning document. Ordinarily, objectives would provide specific and concrete definitions of tasks to achieve the broad purposes given in goal statements. These objectives seem to serve no useful purpose in the construction of the plan.

The plan is replete with listings of activities related to the broad purposes given in the goal statements. For example, under Directive 4 numerous items that are routine activities in school districts are listed as means to develop communication vehicles. The plan does not map a network of actions into a coherent communications plan. One must simply make a leap of faith that discrete and atomistic pieces of the plan will cumulatively effect the ends of the plan.

Tracing the pattern of elements horizontally across the grid of the model, prior findings indicate that technology is given as the dominant element in the strategy for change. Task, deriving from the problem statement, is narrowly defined and limited to conventional corrections of bureaucratic relations. Further, it is vaguely defined in directives and objectives of the plan. As a result techniques - work operations are not directly linked in a causal relation to task definitions. The technologies seem to be loosely associated with the purposes of the plan but are not linked in a tight causal connection. Finally, there is virtually no linkage between technology, the predominant element of the change strategy and actors. The plan largely ignores experience, motivation, rewards for achievement, needs for autonomy, as factors supporting the application of technology.

In summary, application of the model to the governance section of this plan indicates that failure to define the constituents of the problem situation prevented the construction of a hypothesis—a coherent plan—to correct and transform the situation. The problem statement implied that failure to adhere to bureaucratic norms was the underlying cause for governance dysfunction. The statement failed to link governance operations to multiple district deficits identified through state review.

From the unstated premise of the problem statement follows a set of directives to correct hierarchical patterns. Many of the directives are vague or abstract, giving little direction to shape the pattern of activities for the plan. This vagueness is in part a result of the limited structure of the planning document. The structure does not allow for descriptive or explanatory text to expand the meaning given in the directive statement. For example, one must guess what is meant by developing an "effective working relationship" between the board and administration.

It appears that lack of clarity defining the problem situation may be a function of perceived political necessity. So much is unstated and unexplained. The crafters of the problem statement may not have chosen to describe the underlying causes for governance dysfunctions believing that orders to change behaviors would be sufficient to effect necessary improvements. However, since governance operations were not linked to district deficiencies, i.e., student attendance and student achievement, it is difficult to envision these procedural improvements effecting a correction to the substance of the district's failures.
4. What are the incongruities in the organizational change strategy given in the text of the planning documents?

Analysis of inclusion/exclusion of factors indicated that technology is the dominant element in the change strategy given in the plan. A review of comments, observations and questions concerning indicators for technology across the plan reveals that the most prevalent technique prescribed is the revision, development, dissemination of printed material. Print matter is the vehicle for correcting numerous difficulties: appropriate guidance and direction to district administration will be assured by an update of board policies; Board of Education relations with governmental agencies will be strengthened by producing appropriate budget materials, forwarding board agendas, newsletters and other documents to officials; communication with community and parents will be improved by disseminating district newsletters, calendars and plans; community input will be assured by distribution of board policies, summaries of board meetings.

This is not to argue that these actions are not appropriate measures for districts communicating with various publics. This emphasis on the use of print matter as a technique is counted as incongruous because it is undoubtedly the weakest vehicle for interacting with the community. A strategy so dependent on a technology that is not interactive and that is inaccessible to large numbers of people in an economically and educationally disadvantage community, deserves reexamination.
Table 7 Indices for Exclusion of Indicators

("N" Rating)

<table>
<thead>
<tr>
<th>Directives</th>
<th>1/6</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>Total Items</th>
<th>Total Negative Assessments</th>
<th>Percentage of Total Assessments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task (11 indicators)</td>
<td>6</td>
<td>4</td>
<td>2</td>
<td>1</td>
<td>5</td>
<td>55</td>
<td>18</td>
<td>33%</td>
</tr>
<tr>
<td>Structure (6 indicators)</td>
<td>6</td>
<td>5</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>30</td>
<td>19</td>
<td>63%</td>
</tr>
<tr>
<td>Technology (4 indicators)</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>20</td>
<td>6</td>
<td>3%</td>
</tr>
<tr>
<td>Actors (8 indicators)</td>
<td>5</td>
<td>7</td>
<td>4</td>
<td>6</td>
<td>4</td>
<td>40</td>
<td>26</td>
<td>65%</td>
</tr>
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</table>
Table 8 Indices (Broad) for Inclusion of Indicators

("I"; "NC"; "Y" Rating)

<table>
<thead>
<tr>
<th>Directives</th>
<th>Task (33 indicators)</th>
<th>Structure (18 indicators)</th>
<th>Technology (12 indicators)</th>
<th>Actors (24 indicators)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1/6</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Task</td>
<td>4</td>
<td>7</td>
<td>10</td>
<td>12</td>
</tr>
<tr>
<td>Structure</td>
<td>0</td>
<td>1</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>Technology</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>Actors</td>
<td>3</td>
<td>1</td>
<td>4</td>
<td>2</td>
</tr>
</tbody>
</table>
Table 9 Indices (Unambiguous) for Inclusion of Indicators

("Y" Rating)

<table>
<thead>
<tr>
<th>Task (11 indicators)</th>
<th>1/6</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>Total Items</th>
<th>Total Positive Indices</th>
<th>Percentage of Positive Indices</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>1</td>
<td>7</td>
<td>0</td>
<td>2</td>
<td>55</td>
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<td>20%</td>
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<tr>
<td>Structure (6 indicators)</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>3</td>
<td>1</td>
<td>30</td>
<td>7</td>
<td>23%</td>
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<tr>
<td>Technology (4 indicators)</td>
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<td>0</td>
<td>1</td>
<td>1</td>
<td>4</td>
<td>20</td>
<td>6</td>
<td>30%</td>
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<tr>
<td>Actors (8 indicators)</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>40</td>
<td>4</td>
<td>10%</td>
</tr>
</tbody>
</table>
Table 10 Indices for Lack of Clarity of Indicators

(*NC* Rating)

<table>
<thead>
<tr>
<th></th>
<th>1/6</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>Total Items</th>
<th>Total Lack of Clarity Assessments</th>
<th>Percentage of Total Assessments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task (11 indicators)</td>
<td>3</td>
<td>5</td>
<td>1</td>
<td>7</td>
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<td>55</td>
<td>20</td>
<td>36%</td>
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<tr>
<td>Structure (6 indicators)</td>
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<td>0</td>
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<td>0</td>
<td>1</td>
<td>30</td>
<td>2</td>
<td>.06%</td>
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<tr>
<td>Technology (4 indicators)</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>20</td>
<td>7</td>
<td>35%</td>
</tr>
<tr>
<td>Actors (8 indicators)</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>3</td>
<td>40</td>
<td>9</td>
<td>22.5%</td>
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</table>
Table 11 Indices for Logical/Causal Linkages

<table>
<thead>
<tr>
<th>Ratings</th>
<th>NA</th>
<th>N</th>
<th>I</th>
<th>NC</th>
<th>Y</th>
</tr>
</thead>
<tbody>
<tr>
<td>Problem Statement (3 indicators)</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implementation Plan (30 indicators)</td>
<td>13</td>
<td>8</td>
<td>9</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Total Ratings (38)</td>
<td>14</td>
<td>10</td>
<td>10</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>% Ratings</td>
<td>36.8%</td>
<td>26.3%</td>
<td>26.3%</td>
<td>10.5%</td>
<td></td>
</tr>
</tbody>
</table>
The review of district governance functions was conducted to examine roles and interactions between the board of education, district administrators and municipal officials to assess the impact of these relationships upon the district's deficiencies. Staff members from the office of compliance interviewed the members of the board of education and board of school estimate, district administrators, the current and past presidents of the Orange Administrators and Supervisors Association, the incumbent mayor and the mayor-elect, representatives from community organizations and parents. The reviewers examined board of education meeting minutes, the district's policy manual and district and school objectives.

The Orange Board of Education consists of five members appointed by the mayor for five-year terms. The terms of the board of education members are staggered: one member's team expires in May of each year. Under the leadership of the former president (1986-88), the board operated as a committee of the whole, although previously various standing committees were in place. During the Level III review, all five members of the current board of education and two former members were interviewed. The primary purposes of the interviews were to assess the board members' awareness and understanding of their role and responsibilities as members of the board of education; to assess the effectiveness of the working relationship between the board of education and the chief school administrator and between the board of education and the mayor, city council and board of school estimate; and to identify the sources upon which the board members rely for information regarding the district.

Generally, while the board of education members articulated their role as policy makers, they also were able to identify instances when they, as individuals or as a body, had overstepped the role of board members. These instances seemed to increase as the relationship with the former superintendent deteriorated. The current board president identified as one of his goals the clarification of the roles and responsibilities of the board of education and the superintendent.

The board members agreed that their working relationship with the former superintendent had become ineffective. They felt the former superintendent worked in isolation, did not share appropriate information with the board and refused to implement board policies. An example of this refusal was the
former superintendent's failure to complete written annual evaluations of principals and central office administrators. The board of education's participation in the educational planning process under the former superintendent was minimal according to the board of education members. The 1987-88 annual plan submitted by the former superintendent was not approved by the board. The acting superintendent's revisions to the plan were approved by the board of education and submitted to the county superintendent for approval.

During the Level III review, the district leadership was in transition. Since the acting superintendent had been appointed by the current board of education, it was to be expected that the working relationship between the acting chief school administrator and the board of education would be a harmonious one which it seemed to be. This would be expected particularly in comparison to the ineffective working relationship between the board of education and the former superintendent. With the appointment of the superintendent, the continued development and maintenance of an effective, harmonious working relationship between him and the board should be a priority. The current superintendent, during his term as acting chief school administrator, seemed to develop an effective, productive working relationship with the board of education.

The former superintendent had been the district's chief school administrator for approximately 13 years. He had also served as assistant superintendent and acting superintendent before becoming the district's chief school administrator. During the latter part of his tenure, the working relationship between the superintendent and the board of education became unproductive, which greatly interfered with the effective conduct of district operations. Negotiations were begun to reach an agreement between the board of education and the superintendent to terminate his services as chief school administrator. After several months of discussion, terms were reached and the superintendent resigned. The resignation became effective on July 1, 1988 although the superintendent ceased serving the district in October, 1987.

The district's business administrator/board secretary was appointed acting superintendent until a new chief school administrator was hired. This individual had held several positions in the district including administrative assistant to the superintendent, acting director of elementary education, director of personnel, associate superintendent for personnel and business administrator/board secretary. He had also previously served as acting superintendent for several months when the superintendent was out ill.
In designing the superintendent’s search process, the board of education decided to include the board attorney as an active participant with them in making the selection. Although the board members originally stated that they would do the initial screening of the applicants’ vita, they actually delegated this activity and the selection of the finalists to the board counsel. The board counsel was interviewed about the superintendent’s search process.

In response to advertising in the *Star Ledger* and in the New Jersey Association of School Administrators’ publication for the position of superintendent of schools for Orange, the board counsel received letters of interest from 30 individuals who were sent an application and a request to submit full vita. Sixteen individuals submitted full applications and vita.

The 16 complete application packages were reduced to six finalists, including the acting superintendent. The board counsel prepared a set of questions for the board of education members’ use to ensure consistency during the interview process. The board of education interviewed each of the finalists and at its May 10, 1988 meeting, the acting superintendent was appointed to the position of superintendent, effective July 1, 1988.

The city’s municipal elections have been held on the second Tuesday in May for the past 25 years. According to board of education policy, that body meets for its regular business meeting on the second and fourth Tuesdays of each month. The board of education calendars for the 1985-86 and 1986-87 school years changed the May meetings to the first Tuesday of the month to avoid conflict with the election night activities. A similar adjustment was not made in the 1987-88 board of education meeting schedule. As a result, the appointment of the superintendent was made at a board of education meeting on a night when the community’s attention was focused on the results of its mayoral and council members elections. The failure to adjust the May 10, 1988 meeting and the placement of the appointment of the superintendent on the agenda of this meeting was perceived by some parents and community members as poor timing and perceived by others as an attempt to exclude the public from participating in or observing the board’s decision-making process. These perceptions were based, in part, on the incumbent mayor’s demonstrated support of the acting superintendent and on the incumbent mayor’s defeat in the May 10th election.

The superintendent’s search process for the selection of the new chief school administrator was flaws:
The participation of the board counsel in the process and the delegation to him of the responsibility of recruiting candidates, screening credentials, establishing criteria for the selection of finalists, determining the candidates to be interviewed by the board of education and developing the questions to be used during the interviews was unorthodox.

The small number of applicants for the position after the initial advertisement demonstrated a poor job of marketing, advertising and recruiting for the position.

The absence of community and district staff in the recruitment, interview and selection process and the appointment being made at a board meeting attended by few community members supported the perception that the process was designed to be covert, exclusionary and secretive.

These observations and conclusions about the superintendent's search process are directed at the board of education to highlight a serious flaw in the district's governance function. The efficacy of their selection of a superintendent cannot be determined until the new chief school administrator has had the opportunity to function in that role over time.

The board members described the incumbent mayor as very supportive of the school district. The board members expressed mixed feelings about the support of the city council and its members who sit on the board of school estimate. The city council cut one million dollars from the district's 1988-89 budget. Subsequent to the Level III review, the board of education and the city council reached an agreement to restore $500,000 to the budget.

The board members described various sources from which they received information about the district. Again, the board members described the need to develop these sources due to the lack of information given to them by the former superintendent. By comparison, the board members felt better informed about the district based on the amount and content of information they were receiving from the acting superintendent. The current board president expressed his desire to reinstitute formal committees to involve the community and to seek input from community members.

As one of his initiatives, the acting superintendent developed eleven task forces of parents, staff members, students and community members to address several issues facing the district. The issues addressed included items such as the review of the district's continuous progress structure for grades K-8; review of the district's physical facilities
needs; study of extracurricular, instructional and athletic programs K-12; examination of the possibility of extending the school day; and ways to promote positive public relations. The reports and recommendations were due to be submitted to the superintendent either in May, 1988 or October, 1988. The membership of the task forces included approximately 225 parents, students and community members. District administrators served as facilitators of each of the task forces and district staff also participated as members of the groups.

The district’s policy manual was reviewed. The manual contained policy updates and revisions indicating a procedure for regular policy review. The board readopts the existing policies at its annual reorganization meeting.

The board of school estimate is a body made up of the mayor, two city council members and two members from the board of education. The board of school estimate meets annually to review the board of education’s budget, primarily that portion of the budget to be raised by local taxes. After the review and approval or disapproval by the board of school estimate, the acceptance or rejection of the budget is decided by the full city council.

Interviews with the city council members who sit on the board of school estimate and with the incumbent mayor indicate that the relationship between the board of education and the board of school estimate is not satisfactory. The members of the board of school estimate do not feel the district’s budget is presented to them in a timely fashion, or in a format which is clear and easily understood. The board of education members expressed the feeling that the members of the board of school estimate do not take the budget review seriously, especially since the full city council also has to vote on the budget.

The alliance of the acting superintendent and the incumbent mayor became evident to the community during their activities regarding the district’s proposed long-range building plan, Project Pride. The development of the building plan was begun in 1983 when the board of education directed the business administrator to develop a focus for the district to determine and address its facilities needs. The result was a long-range building plan which included:

- building two new schools;
- renovating and expanding the Heywood Avenue School; and
- converting the middle school into a community recreation center for use by youth and adult groups.

In order to gain support for Project Pride, the mayor and business administrator made presentations to community groups.
throughout the city. During the interview with the mayor, he stated that at a crucial point in the activities related to Project Pride, the city was faced with a $40 million deficit and the project had to be set aside. Project Pride was revised, but the mayor expressed doubts about the city council’s willingness to support the expenditure. The project is currently being reviewed to assess its continued appropriateness for meeting the district’s facilities needs.

The municipal election was held on May 10, 1988. The incumbent mayor was defeated by an attorney who became the city’s first black mayor. In an interview with the mayor-elect, he expressed his desire to provide the best education for the city’s students. His stated reservations regarding Project Pride are partly those of a municipal leader who must respond to many requests for new facilities from various municipal agencies. The mayor-elect understands and supports the necessity of addressing the district’s facilities needs which pose health and safety hazards. However, he feels strongly that emphasis needs to be placed on holding district administrators and staff more accountable for the success of educational programs as demonstrated by improved student achievement. Both the new municipal leaders and the new district and board of education leadership have the opportunity to develop and maintain an effective, productive working relationship with each other.

Community Involvement

During the Level III review, meetings were held by the compliance unit staff members with members of school and district level organizations and representatives from several community groups. The purpose of the meetings was to identify the opportunities available for parents and community members to communicate with the board of education members and with district administrators and to assess the effectiveness of their input. The groups who participated in these various meetings included: the League of Women Voters, the Committee for the Achievement of Educational Excellence in Orange and school parent-teacher organizations.

The major concerns expressed by the representatives of the parent and community groups were:

- the board of education’s lack of responsiveness to parental and community members’ concerns;
- the absence of effective communication between the superintendent and the community;
- the perception that the superintendent’s search and selection process was not an impartial one;
the lack of instructional supplies and materials in some schools;

poor student attendance at Orange High School; lack of parental notification of student's absence;

the lack of parental confidence in the schools as evidenced by the large number of parents who send their children to private and parochial schools, especially after the sixth grade.

Numerous allegations, inappropriate for inclusion here, were made regarding specific teaching staff members, district administrators, municipal officials and district procedures. These allegations were outside the scope and purpose of the Level III review. However, the widespread nature of the allegations and their acceptance as fact by a segment of the community demonstrate the need for more effective communication forums and more responsiveness to the community on the part of district administrators and board of education members.

Findings

1) The working relationship between the former superintendent and the board of education deteriorated over several years to the point of ineffectiveness.

2) The roles and responsibilities of the board of education and the superintendent have become blurred as a result of the ineffective working relationship with the former superintendent.

3) The board of education's policy manual reflects updates and revisions which were developed over the years.

4) The working relationship between the board of education, the city council and the city council members who sit on the board of school estimate is not an effective one.

5) Under the former superintendent, the board of education's role in the education planning process was minimal.

6) For the past several years, the board of education has operated as a committee of the whole. The new board president is considering re-instituting several standing committees.

7) The unorthodox superintendent's search process demonstrated a serious governance flaw on the part of the board of education.
8) The city council cut one million dollars from the district's 1988-89 budget request. The district has appealed the cut to the Commissioner of Education.

9) There is a lack of confidence in the school district as demonstrated by the large number of students who attend private and parochial schools, especially after the sixth grade.

10) A segment of the community feels the board of education and district administration are unresponsive to their concerns.

**Directives**

1) The board of education and the new superintendent must develop and maintain an effective working relationship with each other. This should include a clarification of their roles and responsibilities as policymakers and the chief school administrator.

2) The procedures for the review and update of policies should be formalized to ensure appropriate guidance and direction to the district administration.

3) The board of education and the superintendent should develop and implement procedures, communication vehicles and activities designed to strengthen their working relationship with the board of school estimate and the city council especially as it relates to the review of the district’s annual budget requests.

4) The board of education and the superintendent must develop effective communication vehicles with parents and community members to ensure that accurate and timely information regarding the district is disseminated widely and frequently.

5) The board of education and the superintendent must develop procedures and processes to solicit and encourage input from parents and members of the community and must respond appropriately to their questions, concerns and suggestions.

6) The board of education must become knowledgeable of its responsibilities, roles and functions in the district’s governance operations and refrain from delegating those roles inappropriately.
Governance

Directives: 1, 6

The board of education and the new superintendent must develop and maintain an effective working relationship with each other. This should include a clarification of their roles and responsibilities as policymakers and the chief school administrator.

Objective:

To improve relationship and understanding of the role of Chief School Administrator and members of the Board of Education.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. To attend state and national seminars, workshops and conferences designed to address the duties and functions of the respective positions.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Advanced Boardmanship Workshop</td>
<td>Board President</td>
<td></td>
<td>Jul 1988</td>
</tr>
<tr>
<td>b. N.J. School Boards Leadership Conference</td>
<td>Vice-President</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. National School Boards Association Conference</td>
<td>Board President</td>
<td></td>
<td>Feb 1988</td>
</tr>
<tr>
<td>d. N.J. School Boards Legislative Conference</td>
<td>BOE Members</td>
<td></td>
<td>Mar 1988</td>
</tr>
<tr>
<td>e. N.J. School Boards Association New Board Member Orientation</td>
<td>Board President</td>
<td></td>
<td>Apr 1988</td>
</tr>
<tr>
<td></td>
<td>Mrs. Rivera</td>
<td></td>
<td>Jun 1988</td>
</tr>
<tr>
<td>2. Fall Retreat - Board and superintendent participated in a 2 day retreat designed to assist board members to gain deeper insight into the nature of the improvements they desire and the methods by which such improvements can be accomplished.</td>
<td></td>
<td></td>
<td>Sep 23-24, 1988</td>
</tr>
<tr>
<td></td>
<td>BOE</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Superintendent</td>
<td></td>
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</table>
The procedures for the review of an update of policies should be formalized to ensure appropriate guidance and direction to the district administration.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>To review and update all Board of Education policies.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Obtain services of a consultant:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. To objectively evaluate through a systematic process of review, all existing formal and informal policies,</td>
<td>Consultant(s)</td>
<td>District Personnel</td>
<td>July 1989</td>
</tr>
<tr>
<td></td>
<td>Budget</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. To appropriately codify all policies in order to assure uniform application.</td>
<td>DAP Obj. 5F</td>
<td>DAP Obj. 6S</td>
<td></td>
</tr>
</tbody>
</table>
Governance

Objectives:

The board of education and the superintendent shall develop and implement procedures, communication vehicles and activities designed to strengthen their working relationship with the board of school estimate and the city council especially as it relates to the approval of the district's annual budget requests.

Objectives:

To improve communications between municipal government and the board of education.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The members of the Board of School will attend board of education meetings.</td>
<td>Board of School Estimate Members</td>
<td>Superintendent Board Secretary</td>
<td>Bi-monthly board meeting Sep 1988-Jul 1989</td>
</tr>
<tr>
<td>2. Staff of communication will submit all budget materials in a timely and expeditious manner to the board of school estimate.</td>
<td>School Budget Superintendent Board Secretary</td>
<td>Board Secretary</td>
<td>Mar 1989</td>
</tr>
<tr>
<td>3. Members to carry out statutory functions shall be informed with sufficient notice.</td>
<td>Board Secretary</td>
<td>Board Secretary</td>
<td>On-going</td>
</tr>
<tr>
<td>4. Issue of communication agenda will be sent to the mayor and members of the city council.</td>
<td>Board Agenda Superintendent</td>
<td>Superintendent</td>
<td>On-going</td>
</tr>
<tr>
<td>5. A newsletter and other documents shall be sent to the mayor and members of the city council.</td>
<td>Newsletters Director of Community Affairs</td>
<td>Director of Community Affairs</td>
<td>On-going</td>
</tr>
<tr>
<td>6. Documents to all appropriate functions to the mayor and members of the city council.</td>
<td>DAP Obj. 11B Director of Community Affairs</td>
<td>Director of Community Affairs</td>
<td>On-going</td>
</tr>
</tbody>
</table>
Governance


The board of education and the superintendent must develop effective communication vehicles with parents and community members to ensure that accurate and timely information regarding the district is disseminated widely and frequently.

Objective:

By January 1989, task forces will complete their study, analysis, and planning as it relates to various components of the district. Each designated Task Force reports of activities, accomplishments and recommendations for implementation.

By February 1989, parent/community representatives will have greater involvement in the district's activities.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Superintendent will continue to meet with presidents from the PTO/PTA to discuss the setting of district goals.</td>
<td>Level III Review Report Task Force Report DAP Obj. 11A.G</td>
<td>Superintendent</td>
</tr>
<tr>
<td>2.</td>
<td>A district newsletter with coverage of staff and students in the Orange Public Schools will be sent home to parents and residents.</td>
<td>Newsletter DAP Obj. 11B</td>
<td>Dir. C.R.</td>
</tr>
<tr>
<td>3.</td>
<td>Each principal will send to parents: a. a monthly calendar b. a bi-yearly newsletter (1st and 3rd parent conferences)</td>
<td>Stamps DAP Obj. 11C</td>
<td>Principal</td>
</tr>
<tr>
<td>4.</td>
<td>Superintendent will develop a three year annual district plan and review it with appropriate professional and community groups.</td>
<td>DAP Obj. 11D</td>
<td>Superintendent</td>
</tr>
<tr>
<td>5.</td>
<td>Election Day will be set aside for &quot;Open House&quot; visitation for parents and community</td>
<td>DAP Obj. 11E</td>
<td>Principal</td>
</tr>
<tr>
<td>6.</td>
<td>Principals will have an evening &quot;Open House&quot; with parents to share program information, etc.</td>
<td>DAP Obj. 11F</td>
<td>Principal</td>
</tr>
<tr>
<td>7.</td>
<td>Involve parents in the learning process through participation in programs designed to help parents help their children.</td>
<td>Chap II Funding DAP Obj. 11G</td>
<td>Principal</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Expanded family math program.</td>
<td>Rutgers Consortium</td>
<td>BSI Supervisor for Education Equity</td>
<td></td>
</tr>
<tr>
<td>b. Public policy school course.</td>
<td>Institute for Citizen Involvement in Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Communicate through news media, churches, civic organizations, general public presentations, other formal/informal means of communications.</td>
<td>Superintendent Board</td>
<td>Dir. C.R.</td>
<td></td>
</tr>
</tbody>
</table>
Governance

Directive: 5.

The Board of Education and the superintendent must develop procedures and processes to solicit and encourage input from parents and members of the community and respond appropriately to their question, concerns and suggestions.

Objective:

To solicit and encourage input from parents and the community.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Superintendent will attend Back to School Night, as calendar permits, to meet with parents and listen to concerns.</td>
<td>Principals - School Calendars - DAP Obj. 11C</td>
<td>Superintendent - Principals</td>
<td>Sept-Oct.</td>
</tr>
<tr>
<td>3. Superintendent requires all principals to submit parent sign-off sheets after principals have reviewed DAP with the parents.</td>
<td>DAP Obj. 11A.G - Principals - Staff</td>
<td></td>
<td>Sep-Nov.</td>
</tr>
<tr>
<td>4. Superintendent sends to all schools for distribution all policies directly related to parents.</td>
<td>Board Policies</td>
<td>Superintendent - Principals</td>
<td>On-going</td>
</tr>
<tr>
<td>5. Parent(s) will be part of the interview committee for principal opening at their respective school, where applicable.</td>
<td>Dir. Personnel - Parent(s) - Appropriate District</td>
<td></td>
<td>When needed</td>
</tr>
<tr>
<td>6. Parent representatives' participation in a committee for snow-day delayed school openings and/or early dismissal.</td>
<td>Superintendent</td>
<td>Dir. C.R. Committee</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>7. A curriculum fair, at one location, designed to show parents and community the programs and materials used by the district in the schools.</td>
<td>Superintendent - ASAA - Dir. C.R. - Principals - Supervisors - Staff</td>
<td></td>
<td>Oct. 22, 1988</td>
</tr>
<tr>
<td>8. Summary of Board of Education meetings will be sent to principals, PTO/PTA Presidents, and community groups.</td>
<td></td>
<td>Dir. C.R.</td>
<td>Monthly</td>
</tr>
<tr>
<td>ACTIVITY</td>
<td>RESOURCES</td>
<td>STAFF</td>
<td>TIMELINESS</td>
</tr>
<tr>
<td>----------</td>
<td>-----------</td>
<td>-------</td>
<td>------------</td>
</tr>
<tr>
<td>9. Board of Education workshop meetings, as well as meetings, are open to the public to express their concerns.</td>
<td>Board Agenda</td>
<td>Board of Education Superintendent</td>
<td>Monthly</td>
</tr>
<tr>
<td>10. Board minutes are open to public for review.</td>
<td>Board Minutes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Task Forces established by the superintendent will focus on areas of concern to the community and district.</td>
<td>DAP Obj. 11G</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Analysis of Data

This review of the analysis of the data is presented to provide a description of the method used to sort and interpret data from the screening instruments for the model. The description of the methodology is given so that other researchers may replicate the application of the model.

The researcher reviewed the complete set of planning documents for the demonstration case. The sample selected for the test was the governance section of the documents. This section was selected because it was the first section in the "Level III Review Report" and the district's "Corrective Action Plan." As the first section of the set of documents, it contained information that was not dependent on references to information given in prior sections of the text. In order to present the analysis of the model without unnecessary and irrelevant complications, the researcher selected the sample that was simplest for a reviewer to follow.

The researcher then applied the problem statement analysis worksheet, proceeding question by question through the governance section of the problem statement given in the "Level III Review Report." The researcher searched the entire text to "find" an explicit, implied, partial, or unclear answer to each question. The entire text of the problem statement was always searched for each answer since the same content might inform more than one question. As each question was addressed to the text, the researcher wrote notes, comments, observations and questions to maintain a record of
impressions and to provide a guide to explain the assessment given for each indicator of the model. These commentaries are reported in Part I of the demonstration critique. The limits of the search were bounded by the content for each indicator. The indicators are broad enough to apply to a wide range of situational contexts but each indicator is oriented to specific subject matter.

The fact that the researcher was very familiar with the literature and research that form the grounding for the indicators may have influenced the interpretation given to the questions. In other words, it is not certain that others less aware of the background for the questions would attach the same meaning to the indicators. Words are not algebraic formulas with terms having fixed meanings. Thus replication of the process for analyzing data may require some standardized orientation to the meaning of the generic questions. But even a standard program of instruction concerning the content of the indicators will not assure that each reviewer holds that information free of biases and subjective interpretation.

After observations were recorded, the researcher rated each indicator on the problem statement worksheet for criteria: "NA," not applicable; "N," not included; "I," incomplete; "NC," not clear; "Y," included. These ratings were summations of impressions, observations and questions raised by the assessment given in the subtext for each indicator. The same process for analyzing data was followed
for the review of the implementation plan. However, the
structure of the plan with separate sections for goal
statements, made the inquiry process simpler but more
exhaustive. All questions in the sequence were addressed to
each section of the plan.

While the search process for each indicator ranged over
the entire text of the sample document, the researcher found
that prior assessments for indicators tended to inform
subsequent judgments for indicators. The process built a set
of perceptions concerning the content of the text as a whole.
Thus it seemed that assessments for indicators at the end of
the sequence of questions were influenced by data that was
"treated" in prior indicators. This phenomena may occur
because each sequence of questions contains so many indicators
and the text studied is quite limited in the sample document.
It is as though the data is reviewed over and over again from
slightly shifting perspectives. Thus the process of
considering the subject matter cycles and recycles until a
judgment is formed. This process resembles Dewey's notion of
the reconstruction of experience in which a hypothesis
develops as the mind processes facts through an emerging
generalization that guides the inquiry.

The content of the problem statement was subjected to an
assessment using a total of 27 (twenty-seven) indicators. The
content of the implementation plan was subjected to assessment
using a total of 29 (twenty-nine) indicators. Thus the
inquiry was a close examination of the subject matter for both
the problem statement and the implementation plan documents. This close examination is identified as the first level of analysis.

The procedure for forming judgments concerning: the profile of the organizational strategy given in the plan; the elements which lack clarity; the lapses in linkage between and among elements of the plan; and incongruities in the strategy of the plan; were drawn from the reconstructed data developed through the application of the screening instruments for the model at the first level of analysis.

Findings for questions addressed in the "Summary Analysis" for the critique were conclusions drawn from a second level of analysis. The first level of analysis was the process of applying the indicators of the model to the text of the problem statement and the implementation plan. The second level of analysis of data was the process of integrating the separate findings for each indicator. In this process the reconstructed data was sorted and pooled to draw second level conclusions concerning the elements of the model, not merely the indicators of the model. The findings from the sorting and pooling of the reconstructed data are reported in the "Summary Analysis" for the demonstration critique.

The data contained on the worksheets for the problem statement analysis and the implementation plan analysis were sorted and pooled to provide evidence for responses to questions addressed in the sample critique. For example, the first question posed for the demonstration critique was, "What
are the elements of the organizational change strategy given in the planning document?" To discover which elements of the strategy: task, technology, structure and actors, are given as the dominant variables for change in the plan, the ratings for indicators were counted and calculated in percentages. Those variables estimated as most included in the text of the plan were assessed as the dominant elements in the district's strategy for change. Table 8 reports findings from calculations for elements most included; Table 7 reports findings from calculations for elements most excluded.

The calculations for percentages for inclusion, exclusion, lack of clarity, and indicators for linkage formed the first level base for the critique. However, these numerical calculations do not provide data concerning the content, the substance of the elements of the strategy. In order to describe the elements of the strategy, lack of clarity in the strategy, lapses in the logic of the strategy and incongruities in the strategy, the subject matter, the substance of the elements was examined.

The content of the subtexts of indicators for elements was examined to determine patterns, repeating themes in the content of the elements. For example, across the analysis the fact that the problem statement did not provide an explicit definition of the governance problem in the district was consistently referenced as a lack of clarity in task which created vagueness in the change strategy and a lapse in the logic of the strategy.
This re-examination of the content of the elements was not structured into a form comparable to the worksheet forms developed for the analysis of indicators of the model. The second level analysis depended on the content of the first level analysis reported in the subtexts for indicators and the worksheets. The second level analysis was a process of searching for patterns and themes in the reconstructed data in response to the four questions asked for the summary analysis:

1. What are the elements of the organizational change strategy given in the planning documents?
2. What elements of the organizational change strategy are unclear, vague or abstract?
3. Is there a lack of linkage between or among elements of the change strategy given in the planning documents?
4. What are the incongruities in the organizational change strategy given in the text of the planning documents?

Findings for Research Questions

The test for construct validity was designed to provide evidence to answer research questions addressed in this study:

- Does application of the integrated model expose the elements of the organizational change strategy that are given in planning documents?
- Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract - in planning documents?
- Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?
Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

In this section of the study findings for each of the research questions are reported. The findings concern: (1) the results of the test for construct validity in relation to the demonstration case; (2) the implications of these results for application of the model to other cases. The findings for the research questions for the demonstration case restate findings given in the "Summary Analysis" section of the critique. The implications of these findings for other cases concern the replicability of the demonstration case. The report of findings for each research question is structured to address both of these considerations.

Research Question Two

Does application of the integrated model expose the elements of the organizational change strategy that are given in planning documents?

The test for the construct validity of the model demonstrated that the model exposed elements of the change strategy given in the sample set of planning documents. In the demonstration case the protocol of the model was applied to sample documents.

The demonstration case indicates (1) the district's strategy was structured on technology as the dominant factor to effect change; (2) consideration of actors - people, individuals, role incumbents - was the least emphasized factor
in the district's strategy for change; (3) task - goals, objectives and activities - were oriented to procedural corrections of bureaucratic dysfunctions and hierarchical patterns of the organization at the governance level.

These findings were based on scrutiny of planning documents applying all generic questions of the model to all sections of the text relating to governance operations. In addition to notations and observations raised by the inquiry, summary worksheets rated the content of the documents for inclusion and exclusion of indicators for variables. Ratings for inclusion and exclusion of variables were calculated to determine the profile of the change strategy given in the planning documents. These results for the test case indicate that application of the model in this demonstration exposed the elements of the change strategy given in these planning documents.

While application of the model indicated elements of the change strategy in a particular case, this does not prove that application of the model would result in similar findings in all other cases. Here the concern is the application process, not the construct of the model. The test case demonstrated the application of the model but does the test case provide sufficient mapping procedures to allow replication of the application to other cases?

Findings concerning the replicability of the application process indicate two levels of analysis. The first level of analysis is the application of the indicators to the text of
planning documents; the second level of analysis is the integration of the reconstructed data from the first level to form interpretations of the meaning of the plan as a strategy for change.

The review of the analysis of the data indicates that the model provides a mapping procedure that guides the first level of analysis of documents. The mapping procedure gives criteria for assessing text through sets of indicators for core elements and through categories for rating indicators as "NA," not applicable; "N," not included; "I," incomplete; "NC," not clear; "Y," included. The model structures the inquiry so that the process can be replicated for other cases.

The test case demonstrated the method used to calculate the underlying strategy given in the planning documents. The procedure included the calculation of percentages for the inclusion and exclusion of elements by tallying the cumulative ratings for inclusion and exclusion of indicators. The cumulative ratings were translated into percentages allowing comparisons between and among the four core elements: task; structure; technology; actors.

The test case demonstrated that the content of the text of the problem statement and the implementation plan was systematically and exhaustively scrutinized through the application of more than 25 questions to each subsection of the documents. The content of the text was subjected to many questions with different emphases. The consistency and the intensity of the close inquiry were controls reducing
impulsive, subjective or merely intuitive responses to the content of the text. The requirement to explain, describe and question the content of the text in relation to the indicators was a control to improve the researcher's disciplined response to the document.

These "rules" for applying the model are demonstrated in the test case and are applicable to an analysis of any set of planning documents. Therefore, the case for replicability of the application of the model to other planning documents is confirmed by the demonstration case for the first level of analysis.

The second level of analysis in the test case was demonstrated in the findings of the "Summary Analysis." This summary integrated findings from the first level of analysis, the item by item inquiry reported in Part I of the critique. The integration of findings included reports of findings from the first level analysis and interpretations of the meaning of the findings in relation to the change strategy as a whole. This process involved examination of the content of the subtexts for indicators. The process was a search for patterns, repetitions, themes, reiterated throughout the subtexts for indicators.

Thus the second level of analysis, interpretation, also used cumulative criteria as an index of significance. For example, throughout the analysis of the implementation plan, the absence of a formulation of a problem definition was referenced. The frequency and repetition of this as a factor,
contribute to lapses in the logic of the strategy, raised this matter above others as a consideration for the critique.

The four questions posed by the critique served as the integrating points for the second level of analysis.

1. What are the elements of the organizational change given in the planning documents?
2. What elements of the organizational change strategy are unclear, vague or abstract?
3. Is there a lack of linkage between or among elements of the change strategy given in the planning documents?
4. What are the incongruities in the organizational change strategy given in the text of the planning documents?

Basically, these are John Dewey’s questions - concerning the hypothesis for reconstruction of a problematic situation. What are the terms and conditions of the hypotheses? Are these terms and conditions given in a logical framework? The broad questions given in the summary analysis are guidelines to the inquiry but they do not exert the close controlling discipline on inquiry that the regimen of the indicators exercised on the first level of analysis. However, the requirement that responses to these questions are given in a formal document is a control on subjectivity and is a discipline which places judgments in the public domain, subject to scrutiny and criticism.

It has been shown that the method given for application of the model is sufficiently explicit to allow for replication of procedures for use in other cases. It was also shown that
the critique is conducted on two levels of analysis. While the first level of inquiry is highly structured, the second is a more open process of interpretation. This finding holds for research question one.

The finding indicates that application of the integrated model exposed the organizational change strategy given in the demonstration planning documents. Further, the finding holds that the application process demonstrated in the sample case is replicable. Replication of the application of model for the first level of analysis is found to be highly probable while replication of the model for the second level of analysis is found to be possible but more problematic than replication at the first level of analysis.

Research Question Three

Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract - in planning documents?

Application of the model indicated elements of the organizational change strategy which were not clear in the text of planning documents for the demonstration case.

As stated previously, the process of analyzing data for the demonstration case involves two levels of analysis. At the first level of analysis data drawn from the application of the indicators for the screening instruments is pooled, sorted and compared. At the second level of analysis the findings from the first level are scrutinized for the relationship
between and among identified elements of the change strategy. Thus, findings for research question three are presented for the two levels of analysis with data reported for the demonstration critique included.

For the first level of analysis it was found that two variables rated high for inclusion as elements of the change strategy were also ranked high for lack of clarity. Task indicators were rated as lacking in clarity at the 36% level; technology indicators were rated as lacking in clarity at the 35% level. When only unambiguous ratings for inclusion, "Y" scores were counted, technology was still the dominant element in the change strategy given in the planning documents. Thus the dominant variable in the strategy was also found to be high for lack of clarity. Indeed both variables, task and technology which were the two elements rated highest for inclusion in the strategy are also rated highest for lack of clarity. Table 10 reports data for ratings of indicators and for comparative percentages for indices of lack of clarity.

Structure, was rated at the .06% level, lowest for lack of clarity. This element was also rated high for exclusion at the 63% level. Thus, while structure is not emphasized as an element in the organizational strategy, it is described with clarity in the planning documents.

Actors, referring to indicators for motivation, preparation, training and support for people and roles in the organization, was lowest for inclusion and is rated fairly high for lack of clarity at the 22.5% level. Since this
element was rated lowest for unambiguous ratings for inclusion, "Y" ratings, at the 10% level and it is rated high for lack of clarity, it is found that this element is least included in the change strategy and where it is included it is high for lack of clarity.

In summary, the first level of analysis indicates that the two variables most emphasized in the change strategy: task and technology, are also the variables highest for lack of clarity. This finding holds true even when only unambiguous "Y" ratings are used to estimate the most included elements of the strategy given in the planning documents.

At the second level of analysis the content of the text identified in the subtexts for indicators was examined for repeated themes, issues, questions, observations. Here a pattern deriving from initial vagueness in the problem statement was found throughout subtexts for task. As noted in the "Summary Analysis" for the critique, the district problem situation was never stated explicitly. It was merely assumed that deficits in the governance function were caused by failures in bureaucratic controls. The goals, objectives and activities derived from this vaguely defined problem reflect this lack of clarity.

Examination of the subtexts for the element, technology, indicates a pattern of vaguely defined operations to achieve tasks. The plan establishes occasions, events, activities which are given as vague opportunities for task achievement.
The plan sets up situations for work operations but does not define what people will actually do to achieve goals.

Since the dominant elements of the change strategy are technology and task and since these elements frequently exhibit lack of clarity, the critique concludes that the hypothesis for change given in the planning documents requires further consideration. In particular, consideration should focus on clarifying the premise for the change strategy and the techniques for achieving the goals of the plan.

The findings from the demonstration case indicate on the first level of analysis that application of the model indicates lack of clarity in planning documents. The demonstration case also indicates that the second level of analysis, interpreting and integrating first level findings is not a mysterious, intuitive process.

The search for patterns and themes lacking clarity is not a process subject to mathematical formulation. However, it is a process which can be documented through reference to subtexts for indicators. Granted that findings at the second level are dependent on the validity of the findings for the first level, nevertheless, the process is defined so that the method can be replicated to other cases.

**Research Question Four**

Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?
Application of the model in the demonstration case indicated lack of linkage between and among elements of the organizational change strategy given in the text of planning documents for the demonstration case.

At the first level of analysis those indicators directly referencing logical and causal linkages in the problem statement and the implementation plan were separated and analyzed for ratings: "NA," "N," "I," "NC," "Y." As reported in the "Summary Analysis" for the critique, this analysis indicated that of 38 ratings for indicators of linkage only 10.5% were scored "Y," included in the text of the planning documents. Indicators for linkage scored "N," not included, were calculated at the 36.8% level. Indicators for linkage scored "I," incomplete, were counted at the 26.3% level. Thus, 52.3% of all ratings for indicators for linkage indicate assessments for linkage and 36.8% of all ratings for indicators for linkage indicate no inclusion of information. Table 11 reports ratings and calculations of percentages for ratings given in worksheets for the screening instruments for the problem statement analysis and the implementation plan.

Data at the first level of analysis indicate lack of linkage between and among elements of the organizational strategy. Second level analysis conclusions indicate that lack of linkage between the problem statement, goals, objectives and activities of the plan. As stated in the "Summary Analysis" for the critique, the problem statement fails to establish a definition of the problem situation. The
statement failed to establish the relationship between the governance function and the manifest failures of the district in an explicit and coherent manner. Further, it was found that on a consistent basis, the objectives of the plan did not expand the meaning of goal statements and did not link in a logical, causal chain with the activities given in the plan.

In summary, it is found that application of the model does indicate lack of linkage between and among some elements of the change strategy given in planning documents for the demonstration case. Further, it is found that the first level analysis is capable of replication to other cases. Also the demonstration case indicates that even second level analysis can be replicated through systematic examination of subtexts for indicators for logical and causal linkages.

Research Question Five

Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

Application of the model in the demonstration case indicated incongruities in the organizational change strategy given in the text of planning documents. This finding was based on second level analysis of findings from prior questions. The identification of incongruities is a deduction from a set of deductions.

The demonstration case modelled the process to identify incongruities between elements of the change strategy. In the demonstration case technology was found the dominant element
in the change strategy given in the plan. Subtexts for technology were examined and the content was considered in light of other findings. This examination indicated a lack of fit between the prevailing technique, use of print media for communication and the profile of the community. It was found that the selected technique for communication was largely inaccessible to the target groups in the community.

The process for identifying incongruities was straightforward. After the elements of the strategy were identified the content of subtexts for elements was reviewed for patterns: continuities in observations, questions and issues. Patterns for the content of elements were examined in light of patterns for the content of other elements. Patterns of content were examined for the "fit" between elements. The incidence of lack of fit was reported for the dominant element of the strategy. Undoubtedly, other examples of incongruities can be found in the text of the plan. The demonstration case selected the clearest and most repeated incongruity found in planning documents.

While the method of identifying incongruities is replicable, it should be noted that the notion of "lack of fit" as a factor limiting the effectiveness of a change strategy is not proven. The idea of fit as a criterion for judging relations between core variables is central to a contingency perspective. As noted in the literature review the notion of fit is a slippery concept and empirical tests of fit have been difficult to establish.
The study described a theoretical framework for organizational change integrating a contingency perspective with John Dewey's theory of inquiry. The elements of the framework: task; technology; structure; and actors were derived from Leavitt's contingency model. Generic questions defining the content for elements were developed through examination of expert accounts, research studies and theoretic formulations. The questions serving as indicators for core variables were designed by the researcher.

The structure of the model with two screening instruments was designed by the researcher to reflect Dewey's definition of a hypothesis for change as the transformation of a problem situation. In this construction the implementation plan stands as a hypothesis for organizational change with a guiding generalization that the elements to be transformed are task, structure, technology and actors. In Dewey's formulation the hypothesis for change is developed in light of the clarification of the whole problem situation. The design of the model reflects the mirrored relation between the definition of the problem situation and the projected solution given in the implementation plan.

The intention in developing the model was to describe a theoretical framework that displays elements of a change strategy in planning documents for school districts attempting reform initiatives. The model should be broad enough in scope
to capture significant aspects of the change process in any district preparing for substantial change.

The underlying premise applying to all such districts is that a reform initiative is an organizational change. A change is not layered onto an organization; it is absorbed within the organization through adjustments in core elements of the organization. This will occur whether or not adjustments are intended. Planned change initiatives attempt to control and determine the adjustments made to accommodate the change.

The tests for content validity and construct validity were designed as initial assessments of the design of the model as a framework that displays elements of a change strategy in planning documents. The test for content validity was constructed to access the judgment of an external jury of experts to evaluate the relevance of generic questions of the model as indicators of an organizational change strategy in a school district. The findings from the test for content validity indicate a tendency toward agreement by the jury to accept indicators and variables of the model as significant factors determining an organizational strategy for change in a school district.

The test for construct validity was designed to assess whether the application of the model as a whole would display elements of a change strategy in planning documents. Here the test was limited to a specific case of a district implementation plan. Findings reported above indicate that
the demonstration case revealed an organizational change strategy indicating areas of weakness and lack of clarity in the plan.

While the test case provides positive evidence to support the contention that the model works to display elements of a change strategy in planning documents, the case is limited to a single instance of application. Thus a generalization to other cases of planning documents is not proven. On the other hand, there is reason to pursue the effort to try the model as a method to screen and analyze a change strategy given in district planning documents. The reason for continued effort is not merely because the capacity to critique plans on a systematic basis advances the interests of educational policy analysis and organizational theory but because the failure of reform initiatives in troubled districts is now at the level of a national crisis.

While the framework of the model was designed to disclose an organizational change strategy given in planning documents, the model was also structured to guide a process of critique to assess the value of a plan as a statement of means. In other words not only should the model uncover the organizational change strategy in a plan, it should structure a method for critiquing the plan as a means statement.

In Dewey’s formulation the hypothesis for change is both the end and the means for the transformation of the problematic situation. The end-in-view is the reconstruction of the problem and the reconstruction of the problem occurs in
the shaping of elements and pattern of elements of the situation. In this case the elements of the organizational situation are the core variables of the model. The concrete case of the problematic situation and the hypothesis for change is uncovered through a process of inquiry.

Thus the test of means is directly related to the definition of the problem situation. A process to critique the means statement should move between the definition of the problem and the statement of ends to serve as means. In a sense the means statement has no meaning except in relation to the problem situation. This notion is not stressed in current conventions for planning. The focus of much effort in the field of implementation studies has been oriented to the future, the identification of obstacles to implementation. In Dewey's formulation, the eye moves between the existing situation and the projected future to judge the value of means as a bridge between a problem and its solution.

The application of the model in the test for construct validity demonstrated the process for assessing a plan as a statement of means. The process was designed to apply each generic question for the problem statement analysis to the content of a problem definition statement. That application raised questions concerning underlying assumptions given in the document to define and explain the district's problem situation.

The generic questions for the implementation plan analysis were applied to a sample section of the
implementation plan. The questions raised observations in relation to the problem situation and to the clarity of the elements of the plan. This dense study of the problem definition and the implementation plan raised questions concerning the utility of means given in the plan to resolve the problem situation of the district.

As indicated above, the results of this test cannot be generalized to other cases for assessing plans as statements of means because the application was limited to a single case. However, it was found that the method for applying the model is replicable to other cases. The results were encouraging, suggesting an effort to broaden the sampling of applications to assess the value of the model as a method to critique plans as statements of means.
CHAPTER V

SUMMARY, CONCLUSIONS, RECOMMENDATIONS

Introduction

This chapter presents a brief summary of the study as a whole with concluding remarks concerning findings for research questions addressed in the dissertation. The remainder of the chapter addresses recommendations for further refinement of the model, application of the model and further research for the use of the model as a tool for analysis.

Summary of the Study

In the general introduction to the study I explained my reasons for developing a model to manage broad system reform initiatives in school districts. My interest was in the need to improve plans for implementation of reform initiatives in urban districts. This interest grew from experience in large district reform efforts in New Jersey, North Carolina and California. In addition, working for the New Jersey Department of Education, I had the opportunity to review complex plans for district reform proposals and to struggle to assess these plans for their quality as statements of means to improve district performance.
In short, this study grew from a genuine concern about a truly problematic situation. My interest was not in describing the multiple problems and dilemmas of urban education, nor in prescribing specific solutions to those problems. My interest was in designing a conceptual model to be used by practitioners considering a plan of action for educational reform at the district level.

During the course of graduate studies I was introduced to contingency theory which seemed useful for guiding practical action since it underscores a limited set of variables as factors to manage an organizational change process. Contingency theory is a structuralist perspective which can focus to different depths of organizational structure. On the surface of the organization, management and technical subsystems interact in obvious ways. Beneath this surface there are deeper interacting structures which account for organizational change processes. The model developed in this study was designed to capture elements of change at the surface and deeper levels of the organization.

The model developed was constructed to allow the practitioner opportunity to reflect on the meaning of projected actions and to conduct an inquiry that raises significant considerations derived from a range of disciplines. Further, the model was designed to provide a conceptual map for critiquing plans at a point in time when
administrators have the time to consider action in a reasoned manner.

Design of the Model

The model for critiquing implementation plans for educational reform initiatives was formed through integration of Leavitt’s contingency perspective and John Dewey’s theory of inquiry. These formulations set the framework for the content of the model. Core variables: task; technology; structure; and actors from Leavitt’s construct were studied separately to incorporate content from a variety of sources into the framework of the model.

Generic questions derived from studies concerning organizational task definition, structuralism, human behavior in organizations and technology were developed for each of the core variables of the model. These questions were arrayed on two screening instruments: a "Problem Statement Analysis Worksheet," and an "Implementation Plan Analysis Worksheet." The instruments were structured to allow the critique to scan and study documents comprising a district implementation plan. Thus the construct was translated into a mechanism to be used for a systematic critique of a complex plan of action.

Design of the Study

The study was designed to respond to five research questions:

1. Does the integrated model structure questions that disclose elements of an organizational change strategy?
2. Does application of the integrated model indicate elements of the organizational change strategy that are given in planning documents?

3. Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract in planning documents?

4. Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?

5. Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

To address these questions two tests were applied to screening instruments for the model. The test for content validity was structured to assess the validity of generic questions as indicators for an organizational explanation of a problem situation and as indicators for elements of an organizational change strategy in a school district. The test for construct validity was designed to demonstrate that application of the model reveals: the elements of an organizational change strategy given in a set of planning documents; elements of the organizational change strategy which are not clear; lack of linkage between and among elements of the change strategy; and incongruities between and among elements of the change strategy.

Findings for each of the research questions indicated that tests for content and construct validity provided positive evidence affirming but not proving each of the research questions. A summary of these separate findings is
given below. The findings also yielded information concerning the process of applying the model that merit emphasis in this summary of the study.

Findings for the test for construct validity indicated that the application of the model involves two levels of analysis. At the first level of analysis indicators for the screening instruments were applied directly to the text of the planning documents. The assessment for criteria for each indicator was estimated and recorded on the screening instrument worksheets. Subtexts for each indicator were developed in response to the text of the document subsection under review. Thus, the first level of analysis was overtly structured by the content of the screening instruments for the model.

At the second level of analysis four broad questions structured the inquiry:

1. What are the elements of the organizational change strategy given in the planning documents?

2. What elements of the organizational change strategy are unclear - vague or abstract?

3. Is there a lack of linkage between and among elements of the change strategy given in the planning documents?

4. What are the incongruities in the organizational change strategy given in the text of the planning documents?

At the second level the analysis searched subtexts and cumulative data from the first level to draw inferences
concerning each of the broad questions for the critique. While analysis of the cumulative responses given in the worksheets was straightforward, the search for patterns and themes in the content of the subtexts was less structured by the model. The researcher found that recurring, repeated, frequent themes and patterns tended to shape the content of findings for each of the broad questions addressed in the critique but this search for patterns was not structured as precisely as the examination at the first level of analysis. This finding indicates that a finer structuring of the second level of analysis would clarify the application process for replication of the model to other cases. Implications for this finding are given in the recommendations section of this chapter.

A second finding from the application of the model concerns the reliance upon frequency patterns to determine assessments at each level of the analysis. While the design of the study structured calculations for frequency of ratings to measure jurors' responses in the test for content validity, and while the study incorporated calculations for frequency ratings for criteria assessing documents in the demonstration case, the researcher found that frequency patterns also affected judgments even when frequency measures were not overtly prescribed for the application procedure. The researcher observed that repeated patterns of responses in the content of subtexts for indicators at the first level of
analysis tended to affect perception of content at the second level of analysis. Certainly, this identification of patterns is a natural process and frequency of items focuses attention on recurring content, however this aspect of the application process was not structured into the design of the model. Implications of this finding are given in the recommendations section of this chapter.

Following is a brief summary of findings for each of the separate research questions addressed in the study.

**Conclusions from Research Findings**

**Research Question One**

Does the integrated model structure questions that disclose elements of an organizational change strategy?

Analysis of jury responses to indicators for variables of the model indicated tendency toward agreement with core variables as factors to determine an organizational change strategy. These results give evidence that it is not true that the model does not disclose elements of an organizational change strategy. In addition, responses of jurors do affirm the statement that questions given in the model disclose elements of an organizational change strategy. These findings are limited by the small size and homogeneous composition of the jury which assessed the content of the model. This limitation is addressed in the recommendations section of this chapter.
Research Question Two

Does application of the integrated model expose the elements of the organizational change strategy that are given in planning documents?

The test for construct validity of the model demonstrated that the model exposed elements of the change strategy given in the sample set of planning documents. The finding provides evidence for confirmation of the research question. However, the demonstration case was conducted by a single individual, therefore it is not proven that the application of the model would yield the same results if it were applied by others. It was noted that the researcher had greater familiarity with literature relating to core elements and indicators of the model than other users. This difference in knowledge base could affect the understanding of the meaning of generic questions given in the screening instruments. This limitation is addressed in the recommendations section of the chapter.

Research Question Three

Does application of the integrated model indicate elements of the organizational change strategy which are not clear - vague, ambiguous or abstract in planning documents?

Application of the model indicated elements of the organizational change strategy which were not clear in the text of planning documents for the demonstration case. At the first level of analysis the text of the planning document was studied for a single criterion - lack of clarity. The "NC" rating covered three forms of lack of clarity - vagueness,
ambiguity and abstraction. These three forms of lack of clarity are different problems in concept definition. The subtexts for indicators commented on specific lack of clarity in relation to the content of the generic questions, however the screening instruments for the model could incorporate criteria distinguishing among the different forms of lack of clarity for finer analysis of documents. This finding is discussed in the recommendations section of this chapter.

Research Question Four

Does application of the integrated model indicate lack of linkage between and among elements of the organizational change strategy embedded in the text of planning documents?

Application of the model in the demonstration case indicated lack of linkage between and among elements of the organizational change strategy given in the text of planning documents for the demonstration case. The finding was based on direct assessment of text using questions keyed to query the logical and causal linkages in the content of the plan. Only those questions which explicitly referenced these linkages were used for the assessment. Additional questions among the indicators are tangentially related to the subject of logical linkage, however these were not used in the analysis. This aspect of the response to the research question is addressed in the recommendations section of this chapter.
Research Question Five

Does application of the integrated model indicate incongruities in the organizational change strategy embedded in the text of planning documents?

Application of the model in the demonstration case indicated incongruities in the organizational change strategy given in the text of planning documents. This finding was the only finding based entirely on a second level analysis. The model did not structure questions at the first level for this criterion. Since congruity is an assessment based on comparison of two or more elements, a judgment concerning incongruity between or among elements cannot occur until the elements are described. However, the second level analysis for the model could provide a structure for discerning regularities or patterns for identifying incongruities in the elements of the change strategy given in planning documents. This possibility is addressed in the recommendations section of this chapter.

Recommendations

Recommendations are clustered into three categories:

1. Recommendations to refine the integrated model
2. Recommendations to apply the integrated model
3. Recommendations to develop future research

The integrated model was designed as an instrument to probe complex plans for the implementation of reform initiatives in school districts. The model is not a guide for structuring a planning process. The model does not stipulate
norms for guiding the development of a plan. There is no silent premise that "bottom up" plans are better than "top down" plans. The underlying assumption forging the design of the model is that actions projected for a reform initiative matter a great deal. Unlike corporate enterprises, school districts have wide scope goals embedded in social values that are difficult to translate into concrete action and that are often in conflict. As a result, implementation of reform proposals in school districts has failed in the past and is failing now. The simple idea for the model proposed here is that deep consideration of the change strategy given in formal planning documents can improve implementation efforts for educational reform initiatives.

While the idea to scrutinize formal documents is simple enough, the task is exceedingly complex. The study presented in this dissertation indicates the complexity of elements of organizational change and the complexity of the analytic process. In some respects, this initial effort to map and interpret the change strategy given in documents is awkward and clumsy. The recommendations developed here are suggestions for improving the design and the use of the model. Whatever its limitations, the model provides a means to move beyond everlasting exhortations to restructure schooling and a means to probe the surface of formulas for change in practical situations.
Reinement of the Model

Recommendation One

The study found there is a need to insure that meaning of indicators of the model is explained to standardize application of the model. It was noted that the researcher had familiarity with source material which generated the content for indicators of the model. It cannot be assumed that users would have equal levels of knowledge about the meaning and significance of the generic questions given in the model. It is recommended that a guide to the model provide background and explanatory text to prepare users to apply the model. The guide should translate academic references into "ordinary language" to the degree possible so that language is not a barrier to use of the model.

Recommendation Two

The study found that the term, lack of clarity, was used to encompass vagueness, ambiguity and abstractness. While subtexts for indicators described and explained some instances of lack of clarity, in the main, the term itself remained vague. It is recommended that the model incorporate additional criteria to discriminate forms of lack of clarity. This recommendation is suggested because lack of clarity was identified in research concerning failed implementation efforts as a strong factor contributing to aborted change initiatives.
Recommendation Three

The study found that application of the model involved two levels of analysis. At the first level of analysis the indicators given in the screening instruments were applied directly to the text of the planning documents. At the second level of analysis cumulative data from the first level was interpreted to identify elements of the change strategy and to define elements lacking clarity, indicating lack of logical and causal linkage and suggesting incongruities between and among elements of the change strategy. While interpretation of pooled data from worksheets was a structured process, the search across subtexts for indicators to identify patterns in elements of the change strategy was only broadly structured by the four key questions of the critique. It is recommended that the design of the model should be refined to structure the second level of analysis to insure replicability and standardization of the use of the model.

Recommendation Four

As stated above there is a need to refine the model at the second level of analysis to trace patterns and themes between and among elements of the change strategy. Special attention should be given to develop a structure for assessing incongruities. It was noted that this question concerning incongruities relied entirely on conclusions drawn from prior questions of the critique. The inquiry addressing incongruities should be refined to include key questions for
a more systematic and consistent analysis of the relation between elements of the change strategy.

**Application of the Model**

**Recommendation Five**

For purposes of the study and for practical reasons the application of the model for the demonstration case was performed by the researcher alone. As previously noted, the application of the model by a single individual does not protect the conclusions of the critique from the possible biases and limitations of subjectivity. It is recommended that a structure for group or team application of the model should be developed and included in the guide for use of the model.

This structuring of the operation of the model would not only reduce subjectivity but would make the application of the model a more efficient and practical process. The demonstration case selected only a sampling of the planning documents used for the study. The researcher found that the process for developing a first draft response for a single directive section of the plan required approximately four to five hours. This included application of all the generic questions to the section, completing the work sheet analysis and writing the subtexts for indicators. The length of time and the length of the documented analysis would seem an impediment to adoption for use in school districts. Therefore it is recommended for purposes of improving objectivity and
utility that a structured process for team or group analysis should be developed for application of the model at the district level.

**Future Research**

**Recommendation Six**

The study found that analysis of jury responses for variables of the model indicated tendency toward agreement with core variables as factors to determine an organizational change strategy in a school district. However, findings indicated that the sample size and the homogeneity of the jury limit the certainty of conclusions drawn from their responses. It is recommended that the existing model, with refinements suggested for the second level analysis, should be subjected to a broader sample of jurors to further validate the content of the model.

**Recommendation Seven**

The study was structured to use frequency patterns as evidence of significance of factors of the change strategy given in planning documents. Not only was frequency the criterion for significance at the first level of analysis, it was the criterion for responses to questions at the second level of analysis. It is recommended that a study comparing the relationship between findings for a critique using the model against attitudes and perceptions of key actors in the target district would provide evidence for the use of
frequency as a measure of significance of elements of the change strategy given in formal planning documents.

Concluding Remarks

In the introduction to this study, I described experiences that shaped my interest in developing a model to critique plans for educational reform. Since 1977 I have been directly involved in designing, developing and implementing structural reform initiatives in districts undergoing desegregation. As an administrator in Montclair, New Jersey, Raleigh, North Carolina and Richmond, California, I was responsible for program implementation for magnet schools and specialty schools in systems designed for voluntary school choice. In the course of experiences as a principal, assistant superintendent and associate superintendent in different social and political environments I learned the value of plans which are clear, which take into account the organization as a whole and which respond to the reality of the district’s problem situation. I learned the ultimate importance of understanding the deeper structures of the organization which are susceptible to change. I learned that a district organization is a human invention and not a phenomenon of nature.

Over the several years I was developing this study I was also working in school districts and in the New Jersey Department of Education. As a result, the dissertation was influenced by my experiences and my experiences were shaped by
the developing dissertation. So the study is more than an exercise to complete a doctoral program, it is the distillation of my experiences as well.

At this writing the problems of urban school districts seem past the crisis stage. After almost a decade of the "reform movement" urban districts across the country are severely dysfunctional. The reform movement has issued numerous proposals for change but these must be implemented within the boundaries of district organizations. Here is the sticking point. School districts are complex organizations and implementation of substantive change cannot be achieved by mere rhetoric of reform or by vague good intentions. For example, the effective schools advocates say reform will occur at the school level. Here is a structural solution to the problem of gross failure and decline of school districts. But this is not a plan - it is an impulse. It ignores the reality of the organization as a whole. It ignores the impact of state regulations, union contracts and legal restraints that must be taken into account as these factors are elements of the problem situation.

The need to scrutinize carefully, to probe the deeper significance of the change strategy for these districts is more important than ever. The model proposed here is offered as a modest contribution to the reform effort. It does not focus on forces that impede or forge social change. It is however, an instrument that can enhance the rationality of
organizational direction. It is my heartfelt hope that the model, refined and improved, will serve as an instrument for thoughtful consideration of organizational action affecting a generation of learners.
BIBLIOGRAPHY


Appendix A
LEVEL III REVIEW REPORT

Office of Compliance
New Jersey Department of Education
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>1</td>
</tr>
<tr>
<td>Executive Summary</td>
<td>10</td>
</tr>
<tr>
<td>Governance</td>
<td>13</td>
</tr>
<tr>
<td>Management</td>
<td>20</td>
</tr>
<tr>
<td>Educational Programs</td>
<td>28</td>
</tr>
<tr>
<td>Program Deficiencies Review</td>
<td>39</td>
</tr>
<tr>
<td>Basic Skills Improvement Program</td>
<td>47</td>
</tr>
<tr>
<td>Special Education</td>
<td>53</td>
</tr>
<tr>
<td>Staff Attendance</td>
<td>68</td>
</tr>
<tr>
<td>Student Attendance</td>
<td>70</td>
</tr>
<tr>
<td>Finance</td>
<td>76</td>
</tr>
<tr>
<td>Facilities</td>
<td>84</td>
</tr>
</tbody>
</table>
LEVEL III REVIEW REPORT
THE ORANGE SCHOOL DISTRICT

Introduction

The New Jersey State Department of Education, Office of the Essex County Superintendent, conducted Level I monitoring of the Orange School District in December, 1984. The Level I report, issued February 6, 1985, indicated that the district failed to achieve state standards for certification in the following elements and indicators:

Element 4  Student Attendance
 Indicator 4.1  Average daily attendance rate for the district is 90 percent or higher.
 Indicator 4.3  Average daily attendance rate for each school is 85 percent or higher.

Element 5  Facilities
 Indicator 5.3  The district has a board approved plan to upgrade or eliminate all substandard classrooms.

Element 7  Mandated Programs
 Indicator 7.5  The Annual Special Education Plan has been approved by the county superintendent.

Element 8  Achievement in State Mandated Basic Skills
 Indicator 8.2  Seventy-five percent (75%) of the pupils in grades three and six in each school equal or exceed: (a) state-prescribed percentile scores in both reading and math on standardized commercial tests, or (b) state-prescribed scores on department-approved local criterion reference tests.

The district developed and implemented an improvement plan. Level II monitoring, conducted beginning on March 30, 1987, indicated that the district failed to achieve state standards for certification in the following elements and indicators:

Element 3  Comprehensive Curriculum/Instruction
 Indicator 3.2  The curriculum is being implemented.

Element 4  Student Attendance
 Indicator 4.1  Average daily attendance rate for the district is 90 percent or higher.
Indicator 4.3  Average daily attendance rate for each school is 85 percent or higher.

Indicator 4.4  An attendance improvement plan has been implemented for each school where the average daily attendance rate is below 84.9 percent.

Element 5  Facilities

Indicator 5.2  Building inspections have been performed by the district within the last year to ensure adherence to health and safety laws.

Element 6  Professional Staff

Indicator 6.1  All professional staff members are certified in their area(s) of assignment.

Indicator 6.3  There is a review/improvement process to address staff absenteeism if the annual rate of occasional staff absenteeism exceeds 3.5 percent.

Indicator 6.4  Tenured and nontenured teaching and administrative staff are observed and evaluated according to law.

Element 7  Mandated Programs

Indicator 7.1  The Basic Skills Improvement (BSI) Plan has been approved by the county superintendent.

Indicator 7.3  The Bilingual/ESL Education Plan has been approved by the county superintendent.

Indicator 7.5  The Annual Special Education Plan has been approved by the county superintendent.

Element 8  Achievement in State Mandated Basic Skills

Indicator 8.1  Seventy-five percent (75%) of the pupils tested in grade nine in each school have passed the state's 9th grade Minimum Basic Skills Test (score of 65 in math, 75 in reading).

Indicator 8.2  Seventy-five percent (75%) of the pupils in grades three and six in each school equal or exceed: (a) state-prescribed percentile scores in both reading and math on standardized commercial tests, or (b) state-prescribed scores on department-approved local criterion reference tests.

Indicator 8.3  A basic skills improvement plan has been developed for each school in the district that did not have
seventy-five percent (75%) of the ninth grade pupils meeting the state standards of 65 in math and 75 in reading on the basic skills tests.

**Element 10**  
**Financial**

**Indicator 10.4** The annual district audit has been conducted according to requirements.

On July 6, 1987, the county superintendent informed the district superintendent and board secretary of her findings. The county superintendent indicated at that time that a Level III review of the district would be scheduled for the academic year 1987-88.

The preliminary compliance review was conducted from February 22 through June 29, 1988 by staff of the New Jersey Department of Education Office of Compliance; the program deficiencies review was conducted on April 25, 26, 27, 28, 1988 by educators from New Jersey school districts serving as members of an external team. In addition, staff members of the department's Bureau of Facility Planning Services conducted an evaluation of the district's facilities, staff members of the Division of Compensatory/Bilingual Education reviewed Orange's FY 1988 Basic Skills Improvement (BSI) Application program activities, and a team of education program specialists from the department assessed the district's special education program and services. The Level III review was conducted to ascertain conditions which resulted in the district's failure to achieve certification in Level II and to prepare directives to correct the district's deficiencies. The review process consisted of two major components:

- Preliminary Compliance Review
- Program Deficiencies Review

The sections of this report present the findings and directives of the separate reviews.

The Preliminary Compliance Review section summarizes the analysis of governance, management, and fiscal operations affecting the district's educational program including:

- an examination of roles and interactions between the board of education, district administrators, and municipal officials to assess the impact of these relationships on district deficiencies;

- a review of formal management structures and decision-making processes to determine the impact of these organizational patterns on the educational program (The compliance unit studied patterns of authority and communication between and among administrators, including the superintendent, central office staff, and building principals);

- a review of the district's fiscal operations to determine compliance with established financial practices and to assess the impact of these operations on educational program delivery.
The program deficiencies review section provides the external committee's conclusions drawn from:

--- examination of district documents;
--- analysis of district data;
--- interviews with district staff;
--- visitations to schools and classes; and
--- observations of instructional activities.

The Level III Report is organized to provide the district with specific findings identifying factors which have prevented the district from receiving state certification. Narrative sections describe and explain observations and judgments formed through the Level III review process. The directives of the report prescribe changes to improve the management and school-level delivery of educational programs. These directives form the framework for the design of the district's corrective action plan.

The Level III review included on-site examination of district documents and reports; interviews with district staff, members of the board of education, and community members; and observations of instructional activities. The cooperation, courtesy, and assistance of district personnel, members of the board of education, and the community were greatly appreciated.
Orange School District
Level III Review

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EXECUTIVE SUMMARY

During the time of the Level III review in Orange, the district's leadership was in transition. The former superintendent resigned as the district's chief school administrator in October 1987 and the business administrator/board secretary was appointed acting superintendent. The city was also in the midst of a mayoral campaign and the school district was a major issue discussed by the candidates.

The board of education membership has been fairly stable: three of its members are currently serving their second five-year terms. Over the past several years, the working relationship between the board of education and the former superintendent had deteriorated to the point of ineffectiveness. Negotiations to terminate his services took several months and were completed in October 1987.

The business administrator/board secretary was appointed acting superintendent in October 1987. Although he maintained the district's organizational structure as developed by the former superintendent, the acting chief school administrator put in place several initiatives to help begin to address the district's needs. These initiatives included appointing a five-member crisis intervention team to monitor and assess the district's progress towards meeting the goals of its annual plan; establishing task forces, composed of parents, students, community members and district staff members, to study various areas and make recommendations to the superintendent; creating a PTA council and a teachers council to exchange opportunities for input from these groups; and arranging for the district's participation in the Academy of Advancement of Teaching and Management.

The key central office administrative position, associate superintendent for personnel and staff development, was vacant during the Level III review activities. The district's organizational structure resulted in the isolation of the members of the management team and made accountability difficult.

The administrative leadership at the middle school and at the high school has been unstable. There have been three principals and two acting principals at the high school since 1975 and four principals at the middle school since 1974.

The recruitment process instituted by the board of education to select a new district superintendent was not planned or implemented in a manner consistent with superintendent selection procedures used by most school districts in New Jersey. While the scope and purpose of the Level III review process precludes a judgment on the results of the selection procedures, the fact that only 16 viable candidates competed for the position reflects upon the ineffectiveness of the board's recruitment process.

The acting superintendent was appointed superintendent in May 1988, effective July 1, 1988. The superintendent's new district organization, approved by the board of education on June 28, 1988, is inequitable in the assignment of responsibilities and spans of control; has duplicative areas of
responsibility; and includes the use of seven positions with unrecognized titles.

Many of the representatives of the parent and community organizations who attended meetings with staff members from the office of compliance felt that the board of education and the district administration were unresponsive to their concerns, questions and suggestions. Numerous allegations were made regarding their poor treatment and regarding district staff members, policies and procedures.

The district's ungraded, continuous progress organization at the elementary level is not clearly understood, nor consistently implemented in the district. The lines of administrative authority and responsibility for the delivery of educational programs and services were not clear. There were no formal procedures in place to guide the evaluation of curriculum or to monitor the implementation of the curriculum in the classrooms. Results of standardized tests were not being utilized to identify students' skills deficiencies on a district-wide basis. There were inconsistencies in the implementation of the basic skills remedial programs and services in the district. There were no textbooks in the district for social studies or science although committees were reviewing various books and preparing to make recommendations for texts in these areas. The use of the Holt management system varied between buildings.

Timelines for the observation and evaluation of teaching staff members were not being adhered to in the middle school and in the high school. The district's inservice activities were not meeting the needs of many of the teachers interviewed. The personnel function was adversely affecting the educational programs; several staff vacancies were not filled and several teacher transfers were made with insufficient notice given to the individuals involved.

The district's facilities were adversely affecting the delivery of educational programs and services. Multiple classes and instructional activities were being conducted in common spaces and locations.

Numerous examples of noncompliance were identified in the district's federal and state compensatory and bilingual/ESL programs and in the district's provision of programs and services to educationally handicapped students.

The plan to address the high rate of student absenteeism at Orange High School was not being implemented. No individual had been assigned the responsibility of monitoring student attendance in the district. The district's plan to improve staff attendance had not been fully implemented and lacked central office coordination and follow-up.

The review of the district's fiscal practices and procedures and business office operations demonstrated several improprieties including violations of the Open Public Meetings Act; overexpenditures of account line items; lack of agreement between financial reports A-148 and A-149; late submission of financial reports to the board of education; payments made without proper documentation; and violations of state statute and code regarding emergency contracts.
The facilities review of five of the nine schools identified a significant number of violations of the various codes governing facilities.

Conclusion

Based upon the examination of the Level III preliminary compliance review and program deficiencies review, no comprehensive compliance investigation is warranted, at this time.

The superintendent must establish a corrective action plan, incorporating the directives of the Level III report. This plan must be developed in accordance with the format established by the department of education and approved by the board and then submitted to the county superintendent for approval within 45 days.
GOVERNANCE

The review of district governance functions was conducted to examine roles and interactions between the board of education, district administrators and municipal officials to assess the impact of these relationships upon the district's deficiencies. Staff members from the office of compliance interviewed the members of the board of education and board of school estimate, district administrators, the current and past presidents of the Orange Administrators and Supervisors Association, the incumbent mayor and the mayor-elect, representatives from community organizations and parents. The reviewers examined board of education meeting minutes, the district policy manual and district and school objectives.

The Orange Board of Education consists of five members appointed by the mayor for five-year terms. The terms of the board of education members are staggered: one member's term expires in May of each year. Under the leadership of the former president (1986-88), the board operated as a committee of the whole, although previously various standing committees were in place. During the Level III review, all five members of the current board of education and two former members were interviewed. The primary purposes of the interviews were to assess the board members' awareness and understanding of their role and responsibilities as members of the board of education; to assess the effectiveness of the working relationship between the board of education and the chief school administrator and between the board of education and the mayor, city council and board of school estimate; and to identify the sources upon which the board members rely for information regarding the district.

Generally, while the board of education members articulated their role as policy makers, they also were able to identify instances when they, as individuals or as a body, had overstepped the role of board members. These instances seemed to increase as the relationship with the former superintendent deteriorated. The current board president identified as one of his goals the clarification of the roles and responsibilities of the board of education and the superintendent.

The board members agreed that their working relationship with the former superintendent had become ineffective. They felt the former superintendent worked in isolation, did not share appropriate information with the board and refused to implement board policies. An example of this refusal was the former superintendent's failure to complete written annual evaluations of principals and central office administrators. The board of education's participation in the educational planning process under the former superintendent was minimal according to the board of education members. The 1987-88 annual plan submitted by the former superintendent was not approved by the board. The acting superintendent's revisions to the plan were approved by the board of education and submitted to the county superintendent for approval.

During the Level III review, the district leadership was in transition. Since the acting superintendent had been appointed by the current board of education, it was to be expected that the working relationship between the acting chief school administrator and the board of education would be a
The former superintendent had been the district's chief school administrator for approximately 13 years. He had also served as assistant superintendent and acting superintendent before becoming the district's chief school administrator. During the latter part of his tenure, the working relationship between the superintendent and the board of education became unproductive, which greatly interfered with the effective conduct of district operations. Negotiations were begun to reach an agreement between the board of education and the superintendent to terminate his services as chief school administrator. After several months of discussion, terms were reached and the superintendent resigned. The resignation became effective on July 1, 1988 although the superintendent ceased serving the district in October, 1987.

The district's business administrator/board secretary was appointed acting superintendent until a new chief school administrator was hired. This individual had held several positions in the district including administrative assistant to the superintendent, acting director of elementary education, director of personnel, associate superintendent for personnel and business administrator/board secretary. He had also previously served as acting superintendent for several months when the superintendent was out ill.

In designing the superintendent's search process, the board of education decided to include the board attorney as an active participant with them in making the selection. Although the board members originally stated that they would do the initial screening of applicants' vita, they actually delegated this activity and the selection of the finalists to the board counsel. The board counsel was interviewed about the superintendent's search process.

In response to advertising in the Star Ledger and in the New Jersey Association of School Administrators' publication for the position of superintendent of schools for Orange, the board counsel received letters of interest from 30 individuals who were sent an application and a request to submit full vita. Sixteen individuals submitted full applications and vita.

The 16 complete application packages were reduced to six finalists, including the acting superintendent. The board counsel prepared a set of questions for the board of education members' use to ensure consistency during the interview process. The board of education interviewed each of the finalists and at its May 10, 1988 meeting, the acting superintendent was appointed to the position of superintendent, effective July 1, 1988.

The city's municipal elections have been held on the second Tuesday in May for the past 25 years. According to board of education policy, that body
meets for its regular business meeting on the second and fourth Tuesdays of each month. The board of education calendars for the 1985-86 and 1986-87 school years changed the May meetings to the first Tuesday of the month to avoid conflict with the election night activities. A similar adjustment was not made in the 1987-88 board of education meeting schedule. As a result, the appointment of the superintendent was made at a board of education meeting on a night when the community's attention was focused on the results of its mayoral and council members elections. The failure to adjust the May 10, 1988 meeting and the placement of the appointment of the superintendent on the agenda of this meeting was perceived by some parents and community members as poor timing and perceived by others as an attempt to exclude the public from participating in or observing the board's decision-making process. These perceptions were based, in part, on the incumbent mayor's demonstrated support of the acting superintendent and on the incumbent mayor's defeat in the May 10th election.

The superintendent's search process for the selection of the new chief school administrator was flawed:

- The participation of the board counsel in the process and the delegation to him of the responsibility of recruiting candidates, screening credentials, establishing criteria for the selection of finalists, determining the candidates to be interviewed by the board of education and developing the questions to be used during the interviews was unorthodox.

- The small number of applicants for the position after the initial advertisement demonstrated a poor job of marketing, advertising and recruiting for the position.

- The absence of community and district staff in the recruitment, interview and selection process and the appointment being made at a board meeting attended by few community members supported the perception that the process was designed to be covert, exclusionary and secretive.

These observations and conclusions about the superintendent's search process are directed at the board of education to highlight a serious flaw in the district's governance function. The efficacy of their selection of a superintendent cannot be determined until the new chief school administrator has had the opportunity to function in that role over time.

The board members described the incumbent mayor as very supportive of the school district. The board members expressed mixed feelings about the support of the city council and its members who sit on the board of school estimate. The city council cut one million dollars from the district's 1988-89 budget. Subsequent to the Level III review, the board of education and the city council reached an agreement to restore $500,000 to the budget.

The board members described various sources from which they received information about the district. Again, the board members described the need to develop these sources due to the lack of information given to them by the
former superintendent. By comparison, the board members felt better informed about the district based on the amount and content of information they were receiving from the acting superintendent. The current board president expressed his desire to reinstate formal committees to involve the community and to seek input from community members.

As one of his initiatives, the acting superintendent developed eleven task forces of parents, staff members, students and community members to address several issues facing the district. The issues addressed included items such as the review of the district's continuous progress structure for grades K-3; review of the district's physical facilities needs; study of extracurricular, instructional and athletic programs K-12; examination of the possibility of extending the school day; and ways to promote positive public relations. The reports and recommendations were due to be submitted to the superintendent either in May, 1988 or October, 1988. The membership of the task forces included approximately 225 parents, students and community members. District administrators served as facilitators of each of the task forces and district staff also participated as members of the groups.

The district's policy manual was reviewed. The manual contained policy updates and revisions indicating a procedure for regular policy review. The board readopts the existing policies at its annual reorganization meeting.

The board of school estimate is a body made up of the mayor, two city council members and two members from the board of education. The board of school estimate meets annually to review the board of education's budget, primarily that portion of the budget to be raised by local taxes. After the review and approval or disapproval by the board of school estimate, the acceptance or rejection of the budget is decided by the full city council.

Interviews with the city council members who sit on the board of school estimate and with the incumbent mayor indicate that the relationship between the board of education and the board of school estimate is not satisfactory. The members of the board of school estimate do not feel the district's budget is presented to them in a timely fashion, or in a format which is clear and easily understood. The board of education members expressed the feeling that the members of the board of school estimate do not take the budget review seriously, especially since the full city council also has to vote on the budget.

The alliance of the acting superintendent and the incumbent mayor became evident to the community during their activities regarding the district's proposed long-range building plan, Project Pride. The development of the building plan was begun in 1983 when the board of education directed the business administrator to develop a focus for the district to determine and address its facilities needs. The result was a long-range building plan which included:

- building two new schools;
- renovating and expanding the Heywood Avenue School; and
- converting the middle school into a community recreation center for use by youth and adult groups.
In order to gain support for Project Pride, the mayor and business administrator made presentations to community groups throughout the city. During the interview with the mayor, he stated that at a crucial point in the activities related to Project Pride, the city was faced with a $40 million deficit and the project had to be set aside. Project Pride was revised, but the mayor expressed doubts about the city council's willingness to support the expenditure. The project is currently being reviewed to assess its continued appropriateness for meeting the district's facilities needs.

The municipal election was held on May 10, 1988. The incumbent mayor was defeated by an attorney who became the city's first black mayor. In an interview with the mayor-elect, he expressed his desire to provide the best education for the city's students. His stated reservations regarding Project Pride are partly those of a municipal leader who must respond to many requests for new facilities from various municipal agencies. The mayor-elect understands and supports the necessity of addressing the district's facilities needs which pose health and safety hazards. However, he feels strongly that emphasis needs to be placed on holding district administrators and staff more accountable for the success of educational programs as demonstrated by improved student achievement. Both the new municipal leaders and the new district and board of education leadership have the opportunity to develop and maintain an effective, productive working relationship with each other.

Community Involvement

During the Level III review, meetings were held by the compliance unit staff members with members of school and district level organizations and representatives from several community groups. The purpose of the meetings was to identify the opportunities available for parents and community members to communicate with the board of education members and with district administrators and to assess the effectiveness of their input. The groups who participated in these various meetings included: the League of Women Voters, the Committee for the Achievement of Educational Excellence in Orange and school parent-teacher organizations.

The major concerns expressed by the representatives of the parent and community groups were:

• the board of education's lack of responsiveness to parental and community members' concerns;
• the absence of effective communication between the superintendent and the community;
• the perception that the superintendent's search and selection process was not an impartial one;
• the lack of instructional supplies and materials in some schools;
• poor student attendance at Orange High School; lack of parental notification of student's absence;
• the lack of parental confidence in the schools as evidenced by the large number of parents who send their children to private and parochial schools, especially after the sixth grade.

Numerous allegations, inappropriate for inclusion here, were made regarding specific teaching staff members, district administrators, municipal officials and district procedures. These allegations were outside the scope and purpose of the Level III review. However, the widespread nature of the allegations and their acceptance as fact by a segment of the community demonstrate the need for more effective communication forums and more responsiveness to the community on the part of district administrators and board of education members.

Findings

1) The working relationship between the former superintendent and the board of education deteriorated over several years to the point of ineffectiveness.

2) The roles and responsibilities of the board of education and the superintendent have become blurred as a result of the ineffective working relationship with the former superintendent.

3) The board of education's policy manual reflects updates and revisions which were developed over the years.

4) The working relationship between the board of education, the city council and the city council members who sit on the board of school estimate is not an effective one.

5) Under the former superintendent, the board of education's role in the educational planning process was minimal.

6) For the past several years, the board of education has operated as a committee of the whole. The new board president is considering re-instituting several standing committees.

7) The unorthodox superintendent's search process demonstrated a serious governance flaw on the part of the board of education.

8) The city council cut one million dollars from the district's 1988-89 budget request. The district has appealed the cut to the Commissioner of Education.

9) There is a lack of confidence in the school district as demonstrated by the large number of students who attend private and parochial schools, especially after the sixth grade.

10) A segment of the community feels the board of education and district administration are unresponsive to their concerns.
Directives

1) The board of education and the new superintendent must develop and maintain an effective working relationship with each other. This should include a clarification of their roles and responsibilities as policymakers and the chief school administrator.

2) The procedures for the review and update of policies should be formalized to ensure appropriate guidance and direction to the district administration.

3) The board of education and the superintendent should develop and implement procedures, communication vehicles and activities designed to strengthen their working relationship with the board of school estimate and the city council especially as it relates to the review of the district's annual budget request.

4) The board of education and the superintendent must develop effective communication vehicles with parents and community members to ensure that accurate and timely information regarding the district is disseminated widely and frequently.

5) The board of education and the superintendent must develop procedures and processes to solicit and encourage input from parents and members of the community and must respond appropriately to their questions, concerns and suggestions.

6) The board of education must become knowledgeable of its responsibilities, roles and functions in the district's governance operations and refrain from delegating those roles inappropriately.
MANAGEMENT

The preliminary compliance review of district management functions was conducted to examine the roles and interactions of central office and building level administrators and to assess the effectiveness of the district organizational structure. The activities of the review included interviews with the acting superintendent; the associate superintendent for curriculum development and implementation; acting business administrator; the director of pupil personnel services; the members of the crisis intervention team; and principals.

In October 1987, the individual who had been the superintendent since 1975 resigned and left the district. His resignation ended several months of negotiations and several years of a deteriorating relationship between him and the board of education. The board of education appointed the business administrator/board secretary to the position of acting superintendent during the superintendent's search process.

Under the former superintendent, the district's administrative organizational structure included the assistant superintendent for curriculum development and implementation; the associate superintendent for personnel and staff development; the business administrator/board secretary; the director of pupil personnel services; and the director of research, projects and public information. A line of authority extended from the superintendent to the building principals through the two associate superintendents. During the Level III review, the position of associate superintendent for personnel and staff development was vacant.

The acting superintendent maintained the district's organizational structure with one exception. In November 1987, he created a five-member crisis intervention team (C.I.T.) consisting of the following district personnel: two principals; a vice principal; the director of research, projects and public information; and a math coordinator.

Although several of the C.I.T. members continued to perform their regular duties on a limited basis, the C.I.T. members were assigned to the central office in order "... to study and analyze the results of Level II monitoring with immediate action to develop and implement strategies that will maximize our (the district's) efforts in correcting the failures as cited in Level II." (from Proposal: Crisis Intervention Team, 11/10/87)

The initial task of the C.I.T. was to review the goals and objectives submitted by the various schools to increase staff accountability and to unify the staff's efforts toward the accomplishment of district-wide goals and objectives. As part of an internal monitoring procedure, members of the C.I.T. visited each of the district's schools to assess the building-level progress towards the district's annual goals and objectives.

The acting superintendent revised the district's annual plan; the original district annual plan developed by the former superintendent had not been approved by the board of education. The revised plan was approved by the board and submitted to the county superintendent for approval. Additional initiatives implemented by the acting superintendent included the convening of 11 task forces of parents, students, community members and district staff.
to study various areas: the development of curriculum documents ("Do Now s"); pupil personnel services monitoring activities; district participation in the Academy for the Advancement of Teaching and Management; and administrative activity forms designed to increase uniformity and accountability among district administrators.

During his 16 years in the district, the acting superintendent has held several positions including administrative assistant to the superintendent; acting director of elementary education; director of personnel; associate superintendent for personnel; and business administrator/board secretary. He had also previously served as acting superintendent for several months when the superintendent was on sick leave.

The acting superintendent identified his major responsibilities as preparing for the Level III monitoring, maintaining calm in the district during the period of transition and establishing an effective working relationship with the board of education.

The acting superintendent described several vehicles he has established for the purpose of improving communications. The administrative council (acting superintendent, associate superintendent, the acting business administrator/board secretary, the directors and all principals) was a carry-over from the former superintendent. The council is basically for information-sharing. The acting superintendent established a PTA council as a vehicle for parent input. The teachers council, composed of the governor's recognition award winners and the president of the Orange Education Association, has as its major task the development and planning of inservice activities.

The acting superintendent identified several major problems in the district:

- The personnel procedures for interviewing and hiring staff need clarification and need the involvement of the superintendent.
- The board of education does not have a clear picture of the programs in the schools.
- The deteriorating relationship between the former superintendent and the board of education resulted in a loss of accountability at the school level.
- The basic skills program needs to be re-focused and revised to effectively meet students needs.
- The high student mobility rate must be addressed.

The acting superintendent identified several changes needed in the district's management and organization: encourage a team effort among the administrators who have been working in isolation too long; expand the communications with staff and the community; motivate principals and teachers through effective inservice and staff development activities; and improve the accountability of all district staff members.
The associate superintendent for curriculum development and implementation has been in that position since 1975 after holding several other teaching and administrative positions in the district. The associate superintendent described her major responsibility as the development and implementation of a consistent curriculum with appropriate texts. Over the years, additional areas of responsibility have been assigned to the associate superintendent.

The areas and staff members under her direct supervision included the compensatory education programs (state compensatory education and federal Chapter 1), supervision of the district instructional coordinators and general oversight of all instructional programs. Although the district organization under the former superintendent indicated a direct relationship between the associate superintendent and the principals, in practice, the associate superintendent's involvement in supervising and evaluating principals was minimal. The former superintendent utilized the results of the goals of the building improvement plans as the principals' evaluation. This was done in contradiction of the board of education's directive to the superintendent to complete evaluations for the principals. This year the acting superintendent completed written evaluations using the district's form for all central office and building principals. The associate superintendent participated with the members of the crisis intervention team in the school visitations and in the development of the criteria, goals and objectives upon which the acting superintendent would evaluate principals.

Under the former superintendent, the associate superintendent's involvement in developing the district's improvement plans was limited. At the former superintendent's request, she would develop sections of the plan which the superintendent might revise before incorporating them into the full plan.

The associate superintendent described the district's organizational structure as resulting in unclear lines of responsibility and accountability. She feels that, while some processes are in place to address the district's deficiencies, the activities are not being effectively monitored. The lack of oversight and sense of isolation has resulted in fragmentation and an absence of common goals and objectives among central office administrators and the principals.

During the Level III review, the position of associate superintendent for personnel and staff development was vacant.

The district's nine schools were under the direct supervision of eight principals: one principal served both the Lincoln Avenue and Forest Elementary Schools. The average length of service for building principals was 11 years. Several of the principals were reassigned four years ago, so a majority of the principals have been in their current assignments just since those transfers occurred. From 1975 to the present, the high school has been under the leadership of three principals and an individual serving at two different times as acting principal. During the same period, the middle school has had four different administrators in charge of the school.

The principals of the district's seven elementary schools, the middle school and the high school were interviewed by members of the office of compliance
regarding their roles and responsibilities; knowledge of building programs; building organization; and articulation with central office.

The elementary school principals have all been in their current assignments for at least three years. The high school principal assumed his position in July 1987. There was an acting principal at the middle school while the principal served on the crisis intervention team (C.I.T.).

All of the principals demonstrated a clear understanding of the programs and services being provided in their buildings. Principals reported that they were actively involved in the interview and selection process for building staff members. Principals described various levels of involvement in the supervision of instruction. One principal described spending 70% of time on instructional supervision; several principals did not identify this as one of their major responsibilities. The principals all stated that they reviewed teachers' planbooks routinely and regularly observed classes both formally and informally.

The principals felt they had adequate, meaningful input into the budget development process which begins in November of each year. By May, principals were usually notified of their allocations.

Developmental class sizes ranged from 21 to 24, although the class sizes at Forest Avenue School were larger and ranged from 22 to 27 students. The principals expressed varying levels of understanding and support of the district's continuous progress organization (K-8). Principals' input into the district planning and decision-making processes included participation on the curriculum steering committee and the administrative council. The principals reported receiving the information necessary to do their job effectively at administrative council meetings and through written communications from central office administrators. Most information received was both accurate and timely.

Principals identified some of the problems affecting poor student achievement as:

- low expectations for student performance;
- minimal home-school contact;
- low student motivation;
- poor nutrition of students;
- drug/alcohol abuse; and
- student mobility.

All but one of the principals felt that the high student transience rate had a significant effect on student achievement.
The individuals identified as responsible for supervising and evaluating the principals included the superintendent, the associate superintendent for curriculum development and implementation and the associate superintendent for personnel and staff development. The process and procedures for the evaluation of principals, as described by them, were not specific or consistent although all of the principals identified the associate superintendent for curriculum development and implementation as a participant in their evaluations.

On May 10, 1988, the board of education appointed the acting superintendent to the position of superintendent, effective July 1, 1988. During the Level III review, the acting superintendent discussed his perceptions and thoughts regarding the need for a restructured district organization. On June 28, 1988, the board of education approved a new district organization which had been submitted by the acting superintendent. Under the new organization, the superintendent has six direct reports as described below:

- assistant superintendent for academic affairs
- director, research and testing
- director, community resources/special projects
- director, personnel and human resources
- business administrator/board secretary
- principal/administrator in charge of technical development.

At the same board of education meeting, a revised high school organization was adopted showing four direct reports to the principal:

- dean of students
- administrative aide
- assistant principal/educational programs
- assistant principal/student affairs

A review of the new organization charts indicates the following:

- seven of the positions in the new district organization are unrecognized titles and require approval by the county superintendent for their use;
- two of the positions in the new high school organization are unrecognized titles and require approval by the county superintendent for their use;
- under the new district organization, the assistant superintendent for academic affairs has 12 direct reports including a director of funded and special projects; a director of pupil personnel services and 10 curriculum supervisors, K-12;
the director of pupil personnel services has seven direct reports;
the director of funded and special projects has four direct reports;
the new district organization does not identify curriculum
development as a specific responsibility of any position;
the district organization lists "special projects" as the
responsibility of two different directors;
the district organization lists "transportation" as a
responsibility of the director of pupil personnel services. Since
this area includes the technical activities of identifying routes
and the business-related functions of advertising for and awarding
contracts, this area would seem to be more appropriate to the
office of the business administrator/board secretary.

Findings
1. The district's organizational structure, designed by the former
superintendent and maintained by the acting superintendent through the
period of transition, did not clearly delineate roles, responsibilities
or identify accountability.
2. Under the former superintendent, central office and school-level
administrators had limited opportunity to participate in the district's
planning, problem-solving or goal-setting activities.
3. The acting superintendent initiated several activities designed to
monitor the district's progress towards its goals: expand the
opportunities for staff and community members to participate in the
educational planning process; and to improve the delivery of educational
services through increased inservice and staff development activities.
4. The process and procedures for supervising and evaluating the principals
were vague, not clearly understood by the principals and inconsistently
implemented.
5. There has been a high turnover rate of principals at the middle school
and at the high school.
6. The district's elementary level continuous progress organization is not
clearly understood nor uniformly implemented by principals.
7. Principals' spend varying amounts of their time supervising the
instruction in their buildings.
8. The majority of the principals identified the high student mobility rate
as a significant factor in the district's poor student academic
achievement.
9. The new district organization is inequitable in assignment of
responsibilities: does not specify curriculum development as an area of
responsibility; shows overlapping duties (i.e. special projects); and
includes five positions which have been assigned unrecognized titles.
10. The new high school organization includes two positions which have been assigned unrecognized title.

Directives

1. The superintendent and the board of education shall re-examine the newly adopted district organization. The focus of the re-examination should include:
   • making the spans of control and responsibilities of the positions more equitable to ensure effective supervision;
   • clarifying the overlapping areas of responsibility, i.e. special projects; and
   • justifying the utilization of positions which have been assigned unrecognized titles.

   The specific job descriptions for each position; the justification for the use of unrecognized titles; and copies of the requests for approval of the unrecognized titles which must be submitted to the county superintendents must be submitted as part of the corrective action plan activities for this directive.

2. The superintendent should assess the effectiveness of the various initiatives implemented during the transition period to determine which should be continued. The assessment should include input from the individuals who participated in the activities.

3. The processes and procedures for the supervision and evaluation of principals must be clarified. The procedures must be disseminated to all the appropriate individuals and implemented consistently.

4. The superintendent should identify the reasons for the high turnover rate of principals at the middle school and at the high school and develop a plan to stabilize the leadership in those two buildings.

5. Internal monitoring procedures must be developed and implemented to ensure consistency in the delivery of educational programs and services and in the supervision of instruction.

6. The significance of the impact of student mobility on the district's student achievement must be assessed. The assessment should include:
   • the identification of the actual rate of student mobility to include students moving within the district and those moving into the district;
   • the identification of the actual numbers of students who leave the district and at which point(s) they leave;
* the identification of the districts from which the majority of students transfer into Orange, and
* the determination of the actual impact, if any, of student mobility on the district's student achievement.

If it is determined that student mobility does have a significant impact on the district's student achievement, then the district must revise/adjust/modify the educational program to ameliorate the effects of student mobility.
EDUCATIONAL PROGRAMS

Staff members from the office of compliance reviewed the management and organization of educational services in the Orange School District to identify factors influencing student academic achievement within the district. The review was designed and conducted to determine:

1. the manner in which the district functioned in the broad context of the community's educational needs and ways in which the district built its educational program in response to those needs;

2. the status of present educational program development, implementation, and evaluation;

3. organizational patterns limiting the development, implementation, and evaluation of educational programs; and

4. appropriate directives to restructure organizational patterns inhibiting the development, implementation, and evaluation of educational programs.

The review process examined district documents, including curriculum guides, board of education meeting minutes, test results, staff evaluation instruments, district objectives, the district-developed employment and organizational chart, governance manual, written job descriptions, course enrollment data, an "Overview of the Instructional Program and Delivery of Services," a student mobility study (11/16/87), progress report cards, a proposal to establish the district's Crisis Intervention Team, district internal monitoring reports for all schools, and numerous representative memoranda and communications from the district's central administrative offices.

Individual interviews were conducted with the acting superintendent, associate superintendent for curriculum development and implementation, director of research, projects, and public information; director of personnel services; curriculum coordinators; building principals; and the five members of the district's Crisis Intervention Team. During the time of the interviews, no individuals were in the positions of associate superintendent for personnel and staff development and coordinator for secondary mathematics/science. One of the district's Crisis Intervention Team coordinators was attending an out-of-district conference and the director of career education was on a leave of absence; neither of the two was interviewed.

Based upon the review conducted by the compliance office, findings and directives have been developed and are included on the following pages. In preparing corrective action plan activities, the district is directed to incorporate, wherever possible, activities designed to bring about consistent, uniform practices throughout the district. Over the past years, the district appears to have been divided along several lines -- by school buildings, by leadership style, and by educational philosophy. As a result, a lack of consistency exists among the day-to-day educational practices of
In order to remedy this condition and to ensure effectiveness, consistent practices, steady monitoring, and administrative follow-through must be incorporated into the corrective action plans.

Continuous Progress Organization

Finding: A clear, consistent understanding of the district's "continuous progress" grade level organizational structure was not evident among the administrative staff members.

The district defines its grade level organizational structure as a "continuous progress" program. The continuous progress program was instituted in the district in 1971 in an attempt to accommodate the various individual learning abilities—styles of all students. In grades kindergarten through 8, students are grouped for language arts and mathematics instruction according to the students' functional performance level (The functional performance level is the student's placement along a district-determined continuum of measurable objectives in mathematics and language arts as determined by individually-administered skill tests.) According to the district document "Overview of the Instructional Program and Delivery of Services," placement of students for instruction in all other subject areas is determined by the number of years the student has been in school. After initial placement, the student is able to progress along the district's continuum of measurable objectives at his/her individual pace.

A lack of consistency in the district-wide understanding and implementation of the model does not permit its potential to be realized. Interviews with central office administrators indicated that there was no uniform, steadfast agreement on the manner in which the continuous progress program should operate. Comments indicated that it was "hard for staff members to internalize the continuous progress organization because they were locked into grades" and that there has been a "misinterpretation" of aspects of the program.

The "continuous progress" concept is not consistently applied in all subject areas. As previously stated, the criteria for placement of students in language arts and mathematics is not the same as the criteria for placement in other subject areas. As a result, a student may be placed at a variety of instructional levels. For example, a fifth-grade student may be functioning at a third-grade reading level and a sixth-grade mathematics level. In the "continuous progress" system, this student would be in a fifth-grade class for instruction in most subject areas, but would go to a third-grade class for reading instruction and to a sixth-grade class for math instruction. A drawback to this is that while the student would be using third-grade level materials for reading instruction, content areas reading materials (science, social studies, etc.) would be on a fifth-grade level. The use of reading materials that are above the student's functional reading level does not promote the sequential development of the child's reading skills.

In an effort to more adequately meet students' needs, the district revised its student promotion policy in September, 1987. It appeared that the promotion policy attempted to synthesize the ungraded, continuous progress program with a traditional, graded school organizational structure. However,
consistent terminologies are not used within the policy. For example, students' placement level is referred to as "grade," as "years in school," and as "...where they (students) are functioning on the continuum."

The progress report used at the elementary and middle school levels does not provide a clear picture of the student's progress and development. Technical educational terms, i.e., phonetic/structural analysis, reference skills, identifies future outcomes, and inference: explains observations, are used throughout the report card with no definitions provided for parents. The stated goal of the social studies curriculum is the development of students' critical thinking skills. Yet, the progress report does not include critical thinking skills under the social studies category. The progress report does not make a clear connection between the student's reading level and earned grade. For example, a student could receive an "A" in all reading skills included on the progress report, but be performing at a functional level that is a year or more below the grade level. The content areas of art, physical education, and music are inappropriately placed on the progress report in the same category as social behaviors such as "observes safety rules," "shows growth in self control," and "shows effort."

In February, 1988, the acting superintendent designated the formation of a task force committee "to review the present Continuous Progress organizational structure for grades K-8, to determine its effectiveness in meeting individual students' academic needs." The report of the task force, dated June 21, 1988, indicated that the concept of continuous progress should be abolished within the district. However, the committee's report stated that "...the task is not complete...(the committee) would be willing to continue to meet so that we can recommend a more meaningful report for the elementary schools, to the Board of Education."

**Directives**

1. The district shall examine the findings of the task force committee established to review the present continuous progress program. A determination shall be made whether to accept the committee's findings or to further study the program. Regardless of the grade level organizational structure (continuous progress—traditional grade structure, or a different model), the district shall implement the structure in all school buildings in a consistent and comparable fashion.

2. The district shall prepare a written program description of the identified grade level organizational structure, including:
   a) the educational philosophy upon which the structure is based;
   b) the rationale for implementing the structure within the Orange School District; and
   c) a full description of the manner in which the structure will operate with the district.
In order to foster a consistent understanding of the grade level organizational structure, the written program description shall be disseminated to all professional staff members as soon as possible. The district shall establish procedures whereby the public is informed of all elements of the written program description as indicated above.

3. The district shall devise and implement, during the 1988-89 school year, a plan for the ongoing, continuous inservicing of staff members on the grade level organizational structure and its operation and logistics. The inservice plan shall include an annual, year-end evaluation component designed to identify the inservicing needed to successfully continue the grade level organizational structure during the ensuing school year.

4. The district shall re-examine its student promotion policy to assure that there is a consistency of terminologies throughout and that the policy is in harmony with the district's grade level organizational structure.

5. The district shall revise the current elementary and middle school progress report in order to insure that the report provides a clear reporting record of the student's growth and development to parents and guardians.

Staff Responsibilities

Finding: A clear line of authority does not exist for all administrative positions relating to the delivery of educational programs and services.

Among the documents submitted to the compliance unit were the district's organizational chart and written job descriptions. A comparison of the two indicated that the working relationships described on the organizational chart were not the same as those included within some of the job descriptions. For example, the job description for principals indicated that they report to the superintendent, whereas the organizational chart indicates a direct line relationship to the two associate superintendents. The job description for social studies/elementary coordinator indicates that he/she reports to the superintendent, whereas the organizational chart shows a direct line relationship between curriculum coordinators and the associate superintendent for curriculum development and implementation.

During the interview process, no individual was in the position of associate superintendent for personnel and staff development, nor the position of coordinator for secondary mathematics/science.

Directives

1. The superintendent shall revise the district's organizational chart and/or written job descriptions in order to bring about a congruency between the documents, as well as to reflect the current, functional working relationships within the district.
2. The superintendent shall assess the necessity for maintaining the aforementioned positions within the district. If the positions are to be continued, the process for hiring individuals to fill the vacancies shall be completed in an expeditious fashion.

Curriculum Development/Implementation

Finding: The district has not established formal, structured procedures for the evaluation of curriculum, nor for monitoring the implementation of the written curriculum in the classroom.

A review was made of the approximately 150 curriculum documents referred to on the district's Index of Curricula/Course Guides, 1987-88. The presentation format for the more recently developed/revised curriculum guides consisted of a single-page form identifying the concept, objective, text/resources, evaluation procedures, and activities. Outline pages were also included which prescribed the suggested number of weeks for the teaching of instructional units. While this presentation format is effective, many of the guides included additional resource information which might be more appropriately included in a resource handbook than a curriculum guide.

A five-year cycle (1982-1987) of curriculum review and evaluation was approved by the board of education on December 1, 1984 and was submitted by the district to the Essex County Office of Education. The cycle identified the subject areas which were scheduled for curriculum revision during the five year period. There were no procedures described which would indicate that elements of the district's curriculum were formally evaluated by use of objectively gathered data. There was no indication that the cycle of curriculum revision was based upon the results of objective data-gathering devices, such as district-wide standardized tests, district-made tests, questionnaires, research studies, record reviews, rating scales, or observations of instruction. Additionally, the review of documents revealed that the scheduled cycle was not completely followed. Although the plan identified specific subject areas for revision/development, only some course guides within the area were revised. For example, business offerings were scheduled for 1986-87, but the only course guide completed was Accounting II. Health/Family Life/Physical Education were scheduled for 1985-86, but no course guides in these areas were revised/developed. Additionally, it was difficult to determine when revision/development of some guides had been completed since it was observed that the cover page of some documents reflected a different date, usually more recent, than the pages contained therein. Other documents did not indicate any revision/development date, nor the number of credits awarded for the course.

A curriculum steering committee is in operation within the district. The committee is administered by the associate superintendent for curriculum development and implementation. The committee meets on a monthly basis and consists of directors, coordinators, department chairpersons, team leaders, and principals. The purpose of the group is to identify annual curriculum needs, investigate the needs via task forces, and make recommendations for action to the district's administrative council.
Administrative efforts are made to recruit teaching staff during the summer to work on development and/or revision of curriculum documents. However, most of the high school-level documents were completed by a single staff member while elementary-level documents were completed by two or three individuals. The reason provided for this difference was that high school staff members were often involved in other summer work, such as summer school or HSPT summer programs. Upon completion, the guides that have been developed and/or revised are submitted to the associate superintendent's office for review. It must be noted that no procedure was in place to insure the input of the district coordinator or department chairperson in the subject area in which revision/development is made.

After the revised/developed guides are reviewed, responsibility for typing, duplicating, and distributing the guides rests with the associate superintendent. However, the interview process revealed that sufficient district resources were not made available for the typing and duplicating of the guides. The procedures for curriculum revision/development did not include any components designed to insure that revised/developed guides are typed, duplicated, and disseminated to teaching staff members by the beginning of the following school year. Limited value is accrued to the district in revising/developing curriculum documents without making the documents available to classroom teachers in a timely fashion.

Although there are curriculum guides in social studies and science, the district has not provided sufficient instructional materials to implement the programs in these two areas. No district-wide textbook series is in use for science or social studies for grades K through 6. During the interview process, district coordinators stated that textbooks for science and social studies had been selected. The plan is that the identified textbook series are to be purchased and implemented on a district-wide basis for the 1988-89 school year. It was also noticed that no district-wide textbook series was in use in health in the elementary schools. Directed reading activities in the content areas, i.e., science, social studies, and health, are a valuable method for expanding students' reading ability. In addition to offering increased time in the act of reading, content area reading activities increase the child's reading vocabulary, especially for words directly related to the subject matter. The major instructional tool used to teach science, social studies, and health within the district was duplicated material distributed to the students by the classroom teacher. The shortcoming of such a practice lies in the fact that reliance upon individual teacher-generated materials does not promote consistent, uniform implementation of curriculum.

The role of monitoring curriculum implementation, for the most part, is assumed by the district coordinators. Individual interviews were held with 13 of the 15 district coordinators. As a result of the interviews, it was determined that the scope of job responsibility varied among the individuals. For example, the district assigned a mathematics coordinator for grades K through 8, a social studies coordinator for grades K through 6, a bilingual coordinator for grades K through 12, and a language arts/social studies coordinator for grades 7 through 12. The coordination for most of the high school content areas was assumed by the department chairpersons. The written job description for coordinators described the overall function...
of the position as one in which assistance was provided to classroom teachers and building administrators in the development, implementation, and coordination of the assigned curricular program. However, during the review process, it was ascertained that some coordinators were assigned during the 1987-88 school year to other duties, i.e., acting assistant principal. Also, whereas some coordinators served as content area specialists for all schools within their assigned grades, other coordinators were assigned to specific school buildings and served as the general coordinator for all subject areas, i.e., an elementary social studies coordinator assigned to Central and Oakwood Schools, and an elementary language arts coordinator assigned to Haywood and Cleveland Schools.

The overall impression obtained from interviews was that no clear, consistent conception existed among the district's administrative staff members as to the role and function of the district coordinators.

Directives

1. A long-range plan containing a five-year written schedule and procedure for evaluation and improvement of all curriculum and educational services shall be developed and implemented. The plan shall include evaluation activities designed to objectively measure the effectiveness of the existing curriculum prior to the revision/development of curriculum documents.

2. In revising/developing new curriculum guides, the district shall use a presentation format, as is evident in the newly revised guides, which includes the concept, objective, text/resources, evaluation procedures, activities, and HSPT/CAT skill correlations. Consideration shall be given to expanding the form to include an indication of the pacing of instruction per objective. Revised curriculum documents at the high school level shall include the number of credits awarded for the course.

3. Prior to curriculum revision/development activities, inservice designed to bring about a consistent understanding of the goals of the curriculum document revision/development, as well as the terminologies (concept, objective, etc.) to be used therein, shall be given to the staff members involved in the activities.

4. A review shall be conducted of the district's current use of the position of district coordinator. The goal of the review shall be to determine the function within the organization which needs to be addressed and to develop and/or to revise a written job description in response to the identified need(s). Among other factors, the review shall consider:

a) the advantage to student achievement in defining the coordinator's position as a generalist as opposed to a content area specialist;

b) the potential benefits to curriculum articulation in assigning content area coordinators to grades K through 12 as opposed to utilizing coordinators at some grade levels and department chairpersons at others; and
the efficiency which may be gained in the district's management and operation by using possible alternative positions such as resource teacher, supervisor, or additional building-level administrative assistants.

5. The district shall revise its procedures for involving staff members in the revision/development of curriculum guides to expand the number of staff members actively participating in the curriculum revision/development. Alternative methods may include year-long curriculum development activities as opposed to, or in addition to, summer curriculum work. The revised procedures shall include methods designed to assure the input of those individuals responsible for monitoring the implementation of the curriculum.

6. The district shall adopt and implement in the elementary schools district-wide textbook series in science, social studies, and health.

Student Population Mobility

Finding: Procedures were not in place within the district to determine nor address the impact of student mobility upon academic achievement.

District administrators were questioned as to the degree to which student mobility was a factor affecting the students' academic achievement. Questions concerned student transfers between buildings within the district as well as student transfers in and out of the district. Responses to the questions varied widely, ranging from recognition of student mobility as a minor factor to classifying it as a "...big factor which other districts don't have to address." Responses to the questions also suggested that an accepted condition within the district was that a number of students transferred to private and/or parochial schools at the end of grades 6 and 8. It appears that the private and parochial schools serve as a readily available alternative for parents who may be dissatisfied with sending their children to the public middle and high schools.

At no point during the interviews was an indication or description given of actions being taken within the district to address the problems of student mobility, nor to objectively ascertain the degree to which student mobility affects academic achievement. A mobility study has been conducted by district staff on an annual basis. The study provides information as to the number of students transferring in and out of each grade and each school building. For the 1987-88 school year, the results indicated that the district "turnover rate" was 25.3% and the grades with the greatest student mobility were 1 and 9. However, the study was not designed to determine the impact of the mobility rate upon student achievement, nor to suggest methods whereby the effects of the mobility rate might be lessened.

Directive

The superintendent shall conduct a study of the mobility rate of the student population, including movement into the district, out of the district, and transfers between buildings within the district. The study shall be designed
to determine the degree to which student mobility affects academic achievement and, where appropriate, the factor(s) contributing to the movement of students to private and/or parochial schools. If the results of the study indicate that the mobility rate negatively influences student achievement, the superintendent shall develop and implement a plan to address the educational needs of the students involved. In addition, the plan shall include actions designed to respond to the causes which motivate parents to seek alternatives to public education.

Standardized Testing Program

Finding: The results of the student standardized testing program were not used to identify district-wide specific skill deficiencies of the student population.

The standardized tests administered to students within the district included the California Achievement Test, the New Jersey High School Proficiency Test, and the Brigance K and 1 Screen. Prior to the 1987-88 school year, the standardized test level administered to students was determined by the number of years which a student had been in school, starting with grade 1. This policy was used as an outgrowth of the district's "continuous progress" organization. In April 1988, a change in the district's testing policy was enacted; students were administered the standardized test for the grade level to which they were assigned. For example, a fifth-grade student who had been retained twice would have been given the seventh-grade test under the old policy, but the fifth-grade test under the new policy when standardized test results are returned to the district. Central office administrators perform an analysis of the test results, per school/per grade, to determine student strengths and weaknesses. The analysis is then disseminated to building principals. The test analysis is used to identify students eligible for the basic skills remedial programs. The analysis is also used by the classroom teacher to develop individual student improvement plans (ISIP's) for students not achieving minimum levels of proficiency. In the beginning of the school year, district coordinators provide inservice to building staff members on the interpretation of the test results analysis.

There was no evidence indicating that the standardized test results were analyzed to determine district-wide student academic needs. The identification of district-wide deficiencies would allow the district to focus its resources in an intensive, directed fashion upon the improvement of student skills recognized as those in which gains are most seriously needed. Such a practice would enhance the efficient use of resources by unifying the district's instructional efforts toward improvement in a limited number of skill areas. After the needs are identified, attention should be given to determining the cause of the deficiency, i.e., curriculum design, alignment of the curriculum with the standardized test, delivery of instruction, insufficient materials. While the district's inservice training program included several broad topics related to the development of students' basic skills, there was no indication that the training programs had been designed to address specific areas of greatest student weakness, nor that the standardized test results had been used to determine the need for the inservice training. An effective, district-wide inservice program focused on
new instructional techniques and current information on such topics as school effectiveness research would be advantageous to the staff's development and, in turn, have a positive effect upon student achievement.

Directives

1. The district shall continue to implement the standardized testing policy established for the 1987-88 school year. Students shall continue to be given the standardized test for the grade level to which they are assigned.

2. While maintaining the district's current practice of using standardized test results to identify individual student's needs, an expanded analysis of the results of all district standardized tests shall be conducted on a yearly basis to determine the district-wide area(s) of greatest student academic need. Once identified, an action plan shall be devised which focuses the district's resources, i.e., inservice training, technical assistance, use of instructional materials, upon improving the identified need(s).

3. The superintendent shall develop a district-wide system for the monitoring of classroom instruction to insure that continuous, focused instructional attention is directed toward improving student achievement in the district-wide area(s) of greatest student academic need identified through analysis of standardized tests results.

4. The district shall develop and implement a staff development program, with meaningful input from teachers and administrators, designed to expand the district staff's awareness of new teaching techniques aimed at enhancing student learning. The program shall identify mechanisms to ensure the utilization of the techniques in the daily instructional program.

Basic Skills Remedial Programs

Finding: Administration of the district's basic skills remedial programs did not result in a unified, concentrated effort focused upon the improvement of student achievement.

The district's method for providing remedial services, i.e., state compensatory and Chapter I services, varied from year to year. The determination as to the delivery of remedial services was made by the district's basic skills task force during the summer immediately preceding the school year and was based upon the district's needs assessment data. For the 1987-88 school year, the method for providing remedial services by grade level was as follows:

a) K-2—in-class remediation by the classroom teacher with the assistance of an instructional aide;

b) 3 and 6—in-class remediation by the classroom teacher with the assistance of an instructional aid and a Chapter I pull-out program in the Chapter I-eligible schools;
c) 4 and 5—a designated SCE teacher provides services either in-class or out-of-class depending upon space availability;

d) 7-12—in-class remediation by a classroom teacher with a reduced number of students or in-class remediation by a teacher with the assistance of an instructional aide.

Based upon the interviews of administrative staff members, it was not clear who was ultimately responsible for ensuring the appropriate delivery of remedial services. At the central office level, various components of the remedial programs were coordinated by at least five persons: two Chapter I coordinators, a compensatory education coordinator, a mathematics coordinator (grades K-8), and a secondary language arts/social studies coordinator (grades 7-12). Basic skills remedial programs did not begin providing service to students until October. Instructional supplies purchased through the Chapter I program were not available for instructional use in September since the materials were not ordered until October of the school year for which they were to be used.

Directive

The superintendent shall conduct a review of the district's current method for providing basic skills improvement services. The review shall include but not be limited to the manner in which the remedial program is designed, managed, operated, and evaluated. Special attention shall be given to the unification of the components of the remedial program, to the supervisory organizational pattern for the basic skills improvement program, and to implementation of a consistent process whereby students attain the maximum benefits of basic skills remedial instruction.
The program deficiencies review conducted by external team members focused on the school level delivery of educational programs and services to identify problem areas that could account for the lack of student achievement in the district. The external team members reviewed the district's improvement plans, textbook list, reporting procedures, scheduling, building organization, record keeping, and management processes. Prior to visiting all of the district's schools, the team met with members of the crisis intervention team and the assistant superintendent for curriculum development and implementation.

The external team members interviewed classroom and basic skills remedial teachers, aides, department chairpersons, principals, and other building administrators. The team members observed classroom and small group remedial instruction activities in each building. The external team members also examined curriculum documents in the areas of reading, mathematics and writing.

Based on their review of documents and materials, interviews and observations of instructional activities, the members of the external team reached the following general conclusions.

- Activities to address educational program deficiencies identified in Level II have been implemented as part of the acting superintendent's initiatives. However, the district's short term facilities plan adversely affects program needs in computer instruction, art instruction, and remedial instruction.

- The district has in place a number of task forces charged with examining various aspects of the educational program and making recommendations to help improve the delivery of educational programs and services.

- Staff members have been informed of and included in the formulation of their respective roles and responsibilities.

Assessment of the Improvement Plan

After failing to achieve certification after Level I monitoring, the district developed an improvement plan which was submitted to the county superintendent in May, 1985. The plan was revised in June and submitted again to the county superintendent in July, 1985. The revised improvement plan was approved by the county superintendent in August, 1985 and the district implemented the activities.

A status report and additional information on the implementation and effectiveness of the improvement plan activities was submitted to the county superintendent during September and October, 1986. The implementation of the activities included in the improvement plan did not effectively address the deficiencies identified in Level I. Six indicators were rated unacceptable in Level I monitoring: 4.1, 4.3, 5.3, 7.5, and 8.2; fifteen indicators were
rated unacceptable in Level II monitoring: 3.2, 4.1, 4.3, 4.4, 5.2, 5.1, 6.3, 6.4, 7.1, 7.3, 7.5, 8.1, 8.2, 8.3, and 10.4. Five of the indicators rated unacceptable in Level I remained unacceptable in Level II.

The change in district leadership and the period of time between the Level II and Level III reviews made it difficult to determine the specific causes of the failure of the improvement plan to effectively address the Level I deficiencies. The focus of the acting superintendent was to revise the district's 1987-88 annual plan to ensure that it addressed the deficiencies identified in Level II.

The external team reviewed the school level activities included in the revised improvement plan regarding educational programs. The results of the review indicated that timelines for school level activities relating to educational programs were being adhered to. However, the district's facilities deficiencies were adversely impacting upon the provision of educational programs and services.

Findings

1) The district's improvement plan activity timelines relating to educational programs are being met.

2) The district's facilities needs are impacting adversely on the educational program.

Directives

1) The district should review and evaluate the goals, objectives and activities of the 1987-88 annual plan to determine which should be carried over into 1988-89. Revisions to the annual plan must be documented by the results of evaluation activities.

2) The district must develop a facilities plan to eliminate the adverse impact of substandard facilities on the educational program.

Elementary Level (K-8) Organization

The district's elementary school organization is ungraded: pupils are placed in levels according to their individual needs and abilities. The philosophy, as described by central office administrators, is one of continuous progress, which allows students to move to higher levels of instructional materials and content as they achieve skill mastery. The members of the external team found that the district had not clearly articulated its philosophy of continuous progress for the delivery of instruction. The operating models in the schools do not reflect the written philosophy; teachers and administrators articulate different interpretations. Several teachers admitted not understanding the concept of continuous progress. Some principals admitted not fully supporting the concept and described their school organizations as either modified versions of the continuous progress model or as traditional graded models. In contradiction to the model, continuous progress as currently implemented in the district, does not appear
to result in the movement of students to higher levels during the school year. The district's "Overview of Instructional Program and Delivery of Service" document does not reflect current practice as observed by and described to the external team members.

Findings

1) The district's elementary level (K-8) ungraded, continuous progress organization is not clearly understood by district administrators, teachers and support staff members.

2) The implementation of the continuous progress concept varied from building to building.

Directives

1) The district must determine if the current ungraded organization at the elementary level continues to be appropriate to meet students' needs.

2) If the district decides to maintain the ungraded organization model, the philosophy, procedures and implementation guidelines must be clearly articulated to all administrators, teachers, support staff and parents.

3) The implementation of the ungraded, continuous progress organization, if retained, must be continually monitored to ensure consistency between the various schools.

Curriculum Guides, Textbooks

Although the district has numerous curriculum guides, most of the direction for basic skills (reading, mathematics) instruction appears to come from the textbook series guidebooks. There were no textbooks in the district for elementary social studies or science. However, during the time of the review, district-wide committees had just completed their activities regarding the selection of social studies and science textbook series. The committees' recommendations had been submitted to the acting superintendent.

Findings

1) Basic skills instruction in reading and mathematics is directed by the textbook series teachers' guides.

2) No textbooks are in place for elementary science and social studies.

Directives

1) The district must ensure that the scope and sequence of skills in the reading and mathematics textbook series as well as in the district's appropriate curriculum guides are appropriately aligned to the skills assessed by the district's standardized tests.
2) The district must act on the recommendations regarding the selection of textbooks for elementary science and social studies. Inservice activities regarding the use of the new texts should be conducted beginning early in the academic year to ensure consistency in the use of the texts.

### Basic Skills Developmental and Remedial Programs

Classroom teachers have the primary responsibility for basic skills instruction in the elementary schools. Remedial basic skills instructional activities are provided both in the classroom and through pull-out programs. In the high school and middle school, remediation is scheduled as a regular class.

The district has addressed the area of ISIP development by involving both developmental and remedial teachers in the process. There are district skills arrays in place which guide instruction in reading, mathematics and writing. The members of the external team observed some inconsistencies in the delivery of basic skills remedial services in the elementary schools.

- At the Central School, students were pulled-out of their classroom three times each week during the developmental language arts instructional time.
- In one class at the Park Avenue School, 14 children received supplemental instruction during the developmental language arts instructional time.
- There were a number of area supervisors in basic skills who appeared to fragment the coordination and monitoring of instruction.
- At Oakwood School, a teacher indicated that so many administrators and supervisors issued directives (sometimes counteracting others) that teachers were left in a confused state.

As previously mentioned, elementary science and social studies are currently taught on grade level without texts. Since it is the intention of the district to introduce textbooks in these areas on grade level, particular attention must be given to the functional reading ability of the students in each grade level using these books.

Computer-aided instruction is available with the Holt management systems in language arts and mathematics. However, the necessity to abandon certain substandard instructional spaces has impacted on computer usage. Some basic skills instruction is being provided in areas where computers cannot be used such as the middle school cafeteria. While teachers' schedules indicate computer usage time, this was not consistent throughout the district, nor was computer usage readily observable except in isolated instances.

The district's short term facilities plan has not adequately addressed the program needs in computer instruction, art and remedial instruction. At the middle school, multiple classes are being taught in the same area. Two
remedial reading classes were being taught in one room with only a four foot divider and a free-standing partition separating them. Both teachers could be clearly heard giving instructions. Both teachers felt the situation affected the easily distracted students. Also, teaching supplies and materials were kept in another location. Four teachers were teaching in the middle school cafeteria - science, math, Chapter 1 math and state compensatory education math. On occasion, a speech teacher also shared the space. Some middle school teachers traded instructional areas every other week to achieve some improvement in environment for their students. The Park Avenue School classes were larger than classes at other elementary schools.

The Lincoln School art room, an appropriate and adequate instructional space, was not being used and the art teacher was forced to travel from classroom to classroom. This decision was made in order to maintain equity in art services since art rooms in other elementary schools had been declared substandard and art teachers in those schools were travelling from classroom to classroom.

**Findings**

1) There were inconsistencies in the delivery of basic skills remedial program and services in the elementary schools.

2) The district's facilities needs have impacted on the computer instruction, art and basic skills remedial programs.

**Directives**

1) The district must develop and implement an internal monitoring system to ensure consistency in the provision of basic skills remedial programs and services at the elementary schools.

2) The district must develop and implement a facilities plan to eliminate multiple classes being taught in common locations and improve the learning environments for students and teachers.

**Student Assessment and Management Systems**

The Holt management system is used for monitoring student skills achievement in reading and mathematics. The system uses individual student records which track skills taught in each chapter or unit of the text. The records can be either manually kept or placed on computers. In most cases, these records are updated by aides who are specifically charged with this function.

The district had recently implemented system-wide strategies and procedures to address the identified deficiencies in individual student achievement as demonstrated by standardized test scores. These strategies included the alignment of the curriculum with district standardized tests. Skills tested were identified and teachers' attention was focused on addressing the appropriate skills in their instructional activities. Development of students' test-taking skills was also addressed, as were inservice activities for staff which included teaching strategies and administrative management skills.
The management system includes procedures to guide instruction, but the implementation of the procedures varied from building to building. The system calls for mastery before students move to the next instructional unit. This does not always occur since students may be moved for other considerations, such as district-mandated pacing. Pacing is a time management system that mandates and charts the amount of time devoted to a unit of study. The district had developed charts that, if followed by all teachers, would expose all children to the same material during a given time period.

Findings

1) The Holt management system is in place to track student achievement in reading and mathematics, K-8.

2) The district has developed procedures to identify individual student's basic skills needs and has designed and implemented strategies to help teachers effectively address those needs.

3) The implementation of the management system to track student progress varied from building to building.

Directive

1) The district shall review the use of the Holt management system and the instructional pacing requirements to ensure their compatibility with each other and with the elementary level organization (continuous progress). Supervision of instruction activities should focus on ensuring district-wide consistency in the use of the management system.

Staff Evaluation, Assignments, Vacancies and Inservice Activities

The district has developed a comprehensive plan for the observation and evaluation of teaching staff members. Indications were that these procedures were on schedule in the elementary schools. However, the observations and evaluations were not being done in a timely fashion in the high school.

The external team members reviewed the professional improvement plans (PIPs) of approximately one-third of the teachers they interviewed or observed. The professional improvement plans appeared to be specific in nature and geared to the individual teacher. However, almost all of the teachers interviewed voiced dissatisfaction with the type of district inservice programs being offered. The teachers felt that the inservice programs offered by the district did not meet their needs. Some staff members voiced a need for help in classroom management techniques and motivating students to higher academic achievement.

Teachers described being reassigned without sufficient time to prepare for their new teaching assignment. Several teachers whose assignments were changed from lower grade levels to upper grade levels or from developmental class to remedial instruction were not notified of the changes until the end of the summer. The teachers felt this did not give them time enough to
prepare adequately for their new assignments. Elementary developmental teachers have been moved to remedial programs upon the opening of school rather than during the summer vacation period.

Staff vacancies do not appear to be filled in a timely fashion. During the external team's visit, the high school mathematics department chairperson was scheduled to leave within a week; no replacement had been hired. The art coordinator was scheduled to return from a maternity leave shortly, but in her absence, art supplies had not been appropriately ordered. A teacher at Central School had died over a month previous to the Level III review and no replacement had been hired.

Findings

1) The timelines in the comprehensive plan for the observation and evaluation of teaching staff members were not being met at the high school.

2) Several examples were described of changes in teacher assignments being made without sufficient time for staff members to prepare for their new assignments.

3) Teachers expressed dissatisfaction with the district inservice programs being offered.

4) Staff vacancies did not appear to be filled in a timely fashion.

Directives

1) The superintendent must ensure the timelines in the district's comprehensive plan for the observation and evaluation of teaching staff members are adhered to throughout the district.

2) The superintendent or his designee must determine the district's staffing needs, decide on teacher assignments and notify staff members of transfers in a timely fashion. Teachers who will be in new assignments should be given sufficient notice to prepare appropriately.

3) The superintendent must ensure that the staff inservice programs meet the needs of teaching staff members by conducting a needs assessment and including teaching staff members in the design and planning of the inservice program offerings.

4) The superintendent must ensure that staff vacancies are filled as expeditiously as possible to avoid impacting the educational program.

Student Mobility

Many teachers who were interviewed expressed frustration regarding their perception of a very large student mobility rate in the district. The teachers felt that the movement of students into and out of the district adversely affected student achievement on the district's standardized tests.
The external team members reviewed a district prepared mobility study for the 1985-86 school year. The external team members concluded that further study of student mobility in the district should be done to determine the actual impact of student mobility on academic achievement of students.

Findings

1) The district's data regarding the impact of student mobility on student achievement is incomplete.

Directive

1) The superintendent shall direct that a study be conducted to determine the extent of the impact of student mobility on student achievement. If the results of the study demonstrate that the district's student mobility rate adversely affects student achievement, then the superintendent shall direct that appropriate changes be implemented in the educational program to ameliorate the impact.
As part of the Level III review, on February 23, 24, 25, 1988 staff members from the Division of Compensatory/Bilingual Education conducted an examination of data to document the FY 1987-88 state compensatory education, federal Chapter 1 and bilingual/ESL programs. The results of that review were forwarded to the district on June 2, 1988 with a request that a written response to the directives be submitted to the department by June 30, 1988. The Basic Skills Improvement Program section of the Level III report was sent to the district outside of the full report to help the district's administration in the preparation of their FY 1988-89 BSIP application.

**ADMINISTRATION/SUPERVISION**

**Finding(s):**

1. It was observed that a periodic visitation to the basic skills program was conducted by the central office staff. However, there was no evidence of internal monitoring of the basic skills program in the local school by the central office staff and local school principals for compliance (N.J.A.C. 6:8-6.3a3&6, CFR 204.13).

2. There was no documentation of an instrument used to record compliance with federal and state statutes and code, nor procedures for correcting non-compliance citations (N.J.A.C. 6:8-6.3a3&6, CFR 200.13-14).

3. There was no evidence that a current list of eligible and participating students was maintained in the central administrative office (N.J.A.C. 6:8-6.3a3, CFR 200.51).

4. It was observed that the salaries of two central office supervisors were prorated with state compensatory education funds. An elementary math coordinator's salary was prorated with 28% of SCE funds, and a secondary language arts coordinator's salary was prorated with 28% of SCE funds (N.J.A.C. 6:8-6.3a3, CFR 34204.32).

5. There was no documentation for the proration of the central office supervisors' salaries or time records to verify the prorations for basic skills funds, (N.J.A.C. 6:86.-3a7, CFR 200.13-14).

**Directive(s):**

1. The district must submit documentation of a formal schedule for internal monitoring of the basic skills program and a formal monitoring instrument for reporting compliance or non-compliance with federal and state statutes and code. Documentation of the monitoring must be maintained for compliance reviews by the department of education.

2. The district must develop and implement a plan for the internal monitoring of the basic skills program K-12 in a systematic manner by local and central administrative staff.
3. The district must compile a central listing of eligible and participating basic skills students, including LEP students, for submission to the department.

4. The district must submit a justification for the expenditure of basic skills funds for the proration of district supervisor salaries with SCE funds.

5. The district must submit documentation to substantiate the proration of all central office supervisors and procedures for calculating the proration levels.

**BASIC DATA**

**Finding(s):**

Basic skills participants in grades K-2 were counted on the Application for State School Aid (ASSA) report of September 30, 1987 but were not receiving direct instructional services funded whole or in part with state compensatory education (SCE) funds. They were receiving the services of locally funded aides (N.J.A.C. 6:8-6.3(a)1).

**Directive(s):**

The district must submit assurances to the SEA, that direct instructional SCE services will be delivered to all students below state standards.

**PROGRAM ACTIVITIES**

**Program Starting Date**

**Finding(s):**

It was observed that basic skills instruction in the elementary schools did not begin until October 1, 1987 (N.J.A.C. 6:8-6.321 CFR 200.13, 200.14).

**Directive(s):**

The district must submit a clarification for the delay in providing BSI remedial services to identified students until October 1, 1987.

**New Entrants**

**Finding(s):**

Basic skills staff in the elementary schools (K-6) were assigned the responsibility of assessing new entrants for BSI services (N.J.A.C. 6:8-6.3(a)5, CFR 200.13).
Directive(s):

The assessment of new entrant students is the responsibility of locally funded staff. The district must develop a plan for implementing systematic procedures for the assessment of new entrants by local staff.

Finding(s):

At the middle school BSI funded computers and software were not made available for use by BSI participants (N.J.A.C. 6:8-6.3(a)(7, 200.74).

Directive(s):

Submit a plan and timetable as to how the BSI computer hardware and software will be used for BSI participants.

Replacement Project

Finding(s):

1. It was observed that in grade 7-12 at both the middle and high schools, replacement projects were implemented with class sizes that were not one-half or less than the average regular class size (Commissioner's December 31, 1985 memo, p. 6; BSI Guidelines, p. 70 and 71).

2. It was observed that there was no clear delineation between developmental and remedial instructional services in the replacement projects in grades 7-12, (N.J.A.C. 6:8-6.3(a)(3, CFR 204.32, Commissioner's December 31, 1985 memo page 6, BSI Guidelines page 70-71).

3. It was observed that the replacement projects were implemented without verification of the payback procedures outlined in the New Jersey Guidelines for Development of BSI Applications, (CFR 204.32, BSI Guidelines page 70-71).

Directive(s):

1. The district must immediately establish a process to assure that the replacement project class size meets the requirement of one-half or less than the average regular classroom size.

2. The district must establish procedures to assure that the replacement project curriculum includes both developmental and remedial course content.

3. The district must immediately establish procedures verifying the replacement project proration procedures for payback of local funds.
to the BSI project as outlined in pages 70 and 71 of the Guidelines for Development of BSI Applications.

INSTRUCTIONAL AIDES

Finding(s):

At the elementary level instructional aides were assigned to provide direct instruction at grades K-2 and 3 and 6 for the neediest students (N.J.A.C. 6:8-6.232, CFR 200.60).

Directive(s):

1. The district must review the selection, placement, and use of instructional aides to provide the only SCE services for the neediest students below state standards.
2. The district must submit an assurance that all instructional aides are well prepared to perform the duties outlined in their job description.

FISCAL

Finding(s):

1. Program personnel were not designated in board minutes. therefore, a review of the payroll register could not be completed, (N.J.A.C. 6:8-6.3(a)7).
2. The district could not document a board policy to assure maintenance of effort, (N.J.A.C. 6:8-6.328, CFR 204-30.)
3. Time sheets were not completed to document the split funding of a secretary position (N.J.A.C. 6:8-6.3a8, CFR 204.11).
4. The LEA could not verify that reimbursement to the State of New Jersey Pension and Social Security had been filed and payment made according to requirements (N.J.A.C. 6:8-6.3a7).
5. Documentation was not available to demonstrate comparability of services in the district (CFR 200.60).

Directive(s):

1. The LEA must provide the SEA with documentation that Chapter 1/SCE staff have been designated in board minutes by their assignments.
2. The LEA must complete time sheets on all shared funded personnel.
3. The LEA must provide documentation that appropriate fixed charges for Chapter 1 staff have been paid in a timely manner.
4. The district must complete procedures for demonstrating comparability for review by the department.

**BILINGUAL EDUCATION PROGRAMS**

**PROGRAM ACTIVITIES**

**Finding(s):**

1. The students at Central Elementary School received no ESL instruction. Although the bilingual teacher for grades 4-6 was assigned responsibility for providing this instruction to the students enrolled in these grades, ESL instruction was not reflected in the schedule nor were there ESL materials available. In the grade 1-3 classroom, there was a long-term substitute who did not provide this instruction.

2. Student/teacher ratio was not always appropriate for the development of ESL skills. At the Lincoln Elementary School there was one ESL teacher to serve 80 students. At the high school 32 students were enrolled in one ESL class.

3. All students enrolled in Lincoln and Central Schools did not receive appropriate bilingual instruction. At Lincoln School there were two long-term substitute teachers who did not hold bilingual certification. At Central School there was one long-term substitute teacher who did not hold bilingual certification.

4. The district's bilingual education philosophy is to transition students as rapidly as possible into English. The bilingual curriculum, however, did not adequately describe the process to be used to effectively move new entrant students into the regular English curriculum. Although teachers had English only curriculum guides and a bilingual handbook, the district did not have a curriculum that clearly delineated the relationship between one document and the other. The district did not meet the requirement to address the use of two languages within the curriculum.

**Directive(s):**

1. All students who are limited English proficient must receive ESL instruction with certified ESL teachers. ESL instructional materials must also be provided to teachers assigned to provide this instruction.

2. Staffing and class enrollment patterns must be reviewed and revised to allow students to receive maximum contact with ESL teachers in order to ensure they develop their English language skills.

3. Appropriately certified bilingual teachers must be hired at Lincoln and Central Schools.
5. The bilingual curriculum must describe how teachers are to use the native language and English for instruction in reading and the other content areas.

CERTIFICATION:

Finding(s):

Three program teaching positions were filled by long-term substitutes who were not bilingual or ESL certified.

Directive(s):

The district must review hiring and staffing practices and seek qualified professionals to staff the program.

PARENTAL INVOLVEMENT NOTIFICATION

Finding(s):

1. Letters of notification to parents regarding their children's participation in the program were not available in the native languages for students other than Haitian Creole and Spanish.

2. Progress reports were not available in Haitian Creole/French and were available only in English at the high school level. Thus, parents of Haitian students enrolled in grades K-12 were not appropriately informed of their children's academic progress.

Directive(s):

1. Letters of notification regarding a child's enrollment in the bilingual and ESL program must be sent to parents in their native language and English.

2. Report cards in Haitian Creole/French and English must be sent to parents of students enrolled in the Haitian program. At the high school a translation of the report card is to be provided to parents in the Haitian Creole/French and Spanish languages.
SPECIAL EDUCATION

As part of the Level III review, the district's programs and services for educationally handicapped pupils were examined on April 25, 26, 27, 28, 29, and May 3, 1988. This review was conducted by a team of two program specialists from the division of special education and two county child study supervisors.

This investigation was conducted to determine whether the Orange School District was in compliance with federal and state laws governing the education of educationally handicapped pupils. The Level III special education monitoring focused on the identification of specific causal factors which resulted in the district falling Levels I and II monitoring.

Previous Monitorings and Investigations

From December, 1984 to January, 1985 a Level I monitoring was conducted in the Orange School District by nine members of the New Jersey State Department of Education/Essex County Office of Education. The county office of education subsequently issued a report indicating that five (5) indicators were rated as unacceptable. Included in the indicators rated as unacceptable was indicator #7.5. This special education indicator was, for the most part, based on the statement of eleven assurances found in the annual plan for special education required for all districts. Of the eleven (11) items contained in the 1984-1985 Statement of Assurances, the monitors found the district to be in non-compliance on two (2) items: Individual education programs (IEP) and program effectiveness.

As a result of these findings, the district was instructed to:

1. ensure that every handicapped pupil has an IEP annual review.
2. ensure the collaboration of child study team members in the annual IEP review process.
3. ensure that instructional guides are developed jointly by the teacher(s) responsible for implementing the pupil's instructional program and the case manager.
4. assign designated work areas for child study team personnel in the school buildings; and
5. adhere to the state mandated maximum enrollments pertaining to the numbers of pupils assigned for instructional and homeroom periods at the high school.

The Orange School District submitted a revised Level II Improvement Plan to the county office in July, 1985 which included activities designed to address the failed indicator 7.5. The county office gave the district approval to implement this plan in August, 1985. In September, 1986 the district submitted a formal status report to the county office. A review of this report resulted in the county office notifying the district that indicator 7.5 remained unacceptable.
In June, 1987 a Level II monitoring was completed. The report specifically found the district to be noncompliant in: 1) pupil records and individualized education programs; 2) identification and evaluation; 3) system for determining program effectiveness; and 4) procedures.

In March, 1988 the office of compliance contacted the division of special education for the purpose of assembling a Level III monitoring team to further investigate special education in the Orange School District. The monitoring team was formed consisting of two members of the division of special education's bureau of programs and services (North II) and two county supervisors of child study.

PROCESS FOR INTERVIEWS AND RECORD REVIEW

A. The Orange School District has four child study teams. Each team was interviewed.

B. The district is comprised of one high school, one middle school and seven elementary schools. Each building principal was interviewed.

C. The acting superintendent of schools, director of pupil personnel services, coordinator of pupil personnel services and the special education liaison to the district's crisis intervention team were interviewed.

D. The district employs 17 elementary special education teachers of self-contained classes or resource rooms of which 15 (88%) were interviewed.

E. Five of the seven (71%) special education teachers assigned to the middle school were interviewed.

F. Seven of the eight (88%) special education teachers assigned to the high school were interviewed.

G. The high school guidance counselor, assigned to all special education students, was interviewed.

H. The chairpersons of the high school science and special education departments were interviewed.

I. A total of 42 pupils records (10%) were reviewed.

NOTE: The 12/1/87 count of handicapped pupils for Orange was 733. One hundred ninety-eight pupils classified as eligible for speech correction and 114 nonpublic pupils receiving child study team evaluations and/or related services were subtracted from the total 12/1 count leaving a baseline of 421.
INVESTIGATION FINDINGS

I. EVALUATION OF PROGRAM EFFECTIVENESS

COMPLIANCE STANDARD:

Each school district must develop, through appropriate personnel, a written special education plan approved by the school board, which specifically states the "criteria and process used to evaluate the district special education programs and services" (N.J.A.C. 6:28-1.2 (c)7; 4.1(j)).

A. Findings

1. The director of pupil personnel services indicated that the district had a written plan to evaluate program effectiveness and that it was "in place."

2. The coordinator of pupil personnel services and 100% of the teachers and child study team members interviewed were not aware of any district policy or written procedures for evaluating special education programs and services.

3. There was no inservice that could be documented specific to program evaluation for the past several school years, nor is there any mention of a plan to evaluate special education programs and services in the district's Special Education Plan for 1987-1990.

4. At no time during the on-site monitoring was the district able to document the existence of a written plan used to evaluate special education programs and services.

B. Directives

1. The district will develop a written plan which specifically establishes the criteria and process by which it will evaluate the special education programs and services (6:28 1-1(b)4; 1-2(c)7; 4-1(j)).

2. Special education staff will be trained to use the new procedures.

II. RESOURCE ROOM:

COMPLIANCE STANDARD:

1. Supplemental instruction and speech correction shall be in addition to the regular education program (N.J.A.C. 6:28-4.2(b)1).

2. Resource room programs shall be instructional centers offering individual and small group instruction in place of regular classroom instruction (N.J.A.C. 6:28-4.2(b)2).
A. Findings

1. The district's latest (1987) Application for State School Aid (ASSA) reported 22 students assigned to resource rooms.

2. There are over 400 classified students at the elementary school level in the district of which 10 are assigned to the resource room at Lincoln School. There are no other resource rooms at the elementary level in the district.

3. The Lincoln School resource room teacher was not able to distinguish between supplemental instruction and resource room instruction. She stated that she is not responsible for giving any grades or for teaching a specific subject to any specific student. She saw her role as being available to help the students in areas of general need. It was clear to the interviewers that the resource room at Lincoln School was not in compliance with N.J.A.C. 6:28-4.2(b)2 because it was being used for supplemental instruction only.

4. The child study team (CST) assigned to Lincoln School, when interviewed, defined supplemental instruction as the "last step before declassification" and resource room instruction as a "daily, ongoing program." The CST saw the resource room teacher's role as being a "reinforcer" and confirmed that the Lincoln School resource room teacher was not responsible for giving grades or teaching specific subjects.

5. This same CST is assigned to Orange Middle School (OMS) where there is a very confusing instructional paradigm labeled "Departmentalized Resource Room." The team did not have a thorough understanding of waivers and was unable to adequately explain why one class at OMS approved as NI had five NI and five ED students assigned to it with only one waiver for classification. They were also unable to explain why four OMS students who had mainstreaming mandated in their IEPs were still being taught exclusively in self contained or departmentalized resource rooms.

6. The resource room teacher at Orange High School stated that she was responsible for supplemental instruction and resource room instruction to different students at the same time and in the same room. She has 14 students assigned to her during the day, of which four were receiving instruction in a specific subject area (English and world history). For these four students, she developed curricula and gave grades. These were the only four students in the entire Orange school system that appeared to be appropriately receiving resource room instruction, with the other students receiving "support." This term also was used by the high school guidance counselor in charge of all the special education students.
7. The term "departmentalized resource room" is not consistent with code; either in type (N.J.A.C. 6:28-4-2(b)(1v)); number of pupils (N.J.A.C. 6:28-4-2(b)(2v)); or maximum periods per day (N.J.A.C. 6:28-4.2(b)(2v1)).

8. It appears that students are receiving credits in supplemental instruction which are being applied toward graduation requirements. For example, the schedule of J.O., a ninth grader, is as follows:

   Period 1 - Music Survey  
   Period 2 - P.E.  
   Period 3 - Resource Room/Departmentalized Resource Room (RR/DRR)  
   Period 4 - World History  
   Period 5 - General Math  
   Period 6 - Lunch  
   Period 7 - General Science  
   Period 8 - Language Concepts

   a. The high school resource room teacher was giving J.O. a grade for RR/DRR, even though she was actually only providing supplemental instruction. It was not clear as to how grades were determined for the 10 students who were receiving "support." She told us that she worked with these students in many subject areas and that her lesson plan development was determined by their current need.

   b. J.O.'s record file was reviewed and found not to be current in all required areas. However, it did contain an instructional guide developed by the high school resource room teacher, who confirmed that the basic nature of his instruction with her was supplemental.

9. The high school resource room teacher was observed working with two students in her "resource room." Both students were receiving assistance in English (prefixes and dictionary skills). She stated that she was responsible to give these students grades, but that they also received a grade from their regular English teacher. She stated that her grade was based on the work they did for her and that she consulted with the English teacher to determine the pupils' current needs.

10. General Conclusions

   a. The number of pupils assigned to resource rooms at the elementary and middle school levels is consistent with the numbers listed on the ASSA and in the Special Education Plan for the 1987-88 school year.
b. Information obtained from teacher and child study team interviews clearly indicates that supplemental, not resource room, instruction is being provided to all 22 "resource room" pupils reported on the 1987-88 ASSA.

c. There is a significant discrepancy between the number of high school pupils receiving instruction in resource rooms reported in the Special Education Plan for 1987-88 (19) versus the most recent class list (4) versus the 1987-88 ASSA (0).

d. There is no data to support the title "resource room teacher" anywhere in the district. All the available documentation appears to indicate that the three district resource room teachers are, according to code, supplemental teachers.

B. Directives:

1. The district will immediately come into compliance with N.J.A.C. 6:28-4.2(b)1-2.

2. An audit should be requested to determine possible inaccuracies in the 1987-1988 ASSA concerning the Orange School District's reporting of the number of handicapped pupils placed in resource rooms.

III. FACILITY/MATERIALS:

COMPLIANCE STANDARDS:

1. Each district must provide a free, appropriate education to all handicapped pupils which includes the provision of appropriate facilities (N.J.A.C. 6:28-1.1(b)1;4.1(d)).

2. A district child study team must have adequate facilities to ensure the confidentiality of pupil evaluations and the needless public labeling of handicapped pupils (N.J.A.C. 6:3-2; 6:28-2.1(g); 3.1a(3)).

A. Findings

1. Elementary School Level

a. Interviews with the elementary teachers at Forest, Park, Lincoln, Cleveland and Central schools indicated that current facilities were adequate to implement their programs in accordance with the pupils' IEPs.

b. Five teachers at Lincoln and Forest elementary schools indicated that they were not aware of how to order materials or if funds were available for materials/supplies. They also
Indicated many of the materials in their classrooms had been purchased with their own funds.

c. Two teachers at Forest School indicated that "special education students receive textbooks discarded from regular education" and one indicated that "I was told I can't order regular texts because there is no money for special education."

2. Middle School

a. One teacher at the middle school indicated that the furniture was too small for the students. The teacher also stated that when all pupils were in attendance, chairs had to be borrowed from other classrooms.

b. 100% of the teachers at the middle school indicated that they did not have sufficient and appropriate materials and/or supplies to implement their programs in accordance with the pupils' IEPs. They also indicated that much of what was available had been purchased with their own funds. On-site visits to their classrooms verified the significant shortage of instructional supplies and materials.

3. High School

a. Two teachers at the high school with assigned classrooms indicated that facilities were adequate. Five teachers assigned to work in partitioned classrooms indicated that their facilities prevented them from providing an effective educational program. The wall divider in one room was leaning and the room designated for earth science had an absence of adequate instructional materials (i.e., maps, globes, texts, wall displays, rock samples, etc.). However, the classroom used to teach earth science to non-handicapped pupils appeared to have an adequate and appropriate supply of instructional materials.

b. The teachers assigned to the divided classes and the chairperson of the science department all stated that there had been no attempt to devise an adequate schedule to rectify the problem with facilities at the high school. The chairperson of the science department also stated that there was little effort to coordinate and share the regular education science facilities and materials with the secondary special education students.

c. Two teachers commented that the partitioned classrooms were originally approved as resource rooms to be used with a maximum of five pupils. However, the rooms currently are used as "Departmentalized Resource Rooms" and now are set up to handle as many as 22 students at a time.
d. The high school special education department chairperson felt there were appropriate materials and/or supplies to implement each pupil's IEP.

e. Three teachers indicated that "if the department chairperson is angry with you, nothing (i.e. requests for materials) gets processed."

f. Two teachers responsible to teach math indicated that they did not have computers or access to computers for instructional purposes.

4. Districtwide

a. Orange requested and was awarded less than 2% of their Fiscal Year 1988 EHA-B entitlement funds for the purchase of instructional supplies and equipment.

b. The middle and high school special education classrooms were clustered in a manner which resulted in the handicapped pupils being segregated from the other pupils in the building.

c. 100% of child study team members indicated that the facilities used for testing and evaluation were not adequate to ensure the confidentiality of handicapped pupils. In each case, the teams indicated that they were located in such a place that handicapped pupils could only reach them by first going through instructional areas being used by their nonhandicapped peers.

B. Directives

1. The district will provide appropriate facilities for the education of handicapped pupils according to N.J.A.C. 6:22-1 (6:28-4.1(d)).

2. The district will provide to all child study teams appropriate and adequate facilities sufficient to prevent the needless public labeling of handicapped pupils (N.J.A.C. 6:28-2.1(g)) and guarantee the confidentiality of pupil evaluations (N.J.A.C. 6:32).

3. The district will increase the amount of funds allocated for instructional materials and equipment to ensure that each handicapped pupil is receiving an appropriate education (N.J.A.C. 6:28-28 l.1(b)l).

4. The district will develop and implement a consistent budgetary request system which enables teachers to request and receive instructional supplies and equipment.
IV. INDIVIDUALIZED EDUCATION PROGRAMS (I.E.P.) AND RECORD REVIEW:

COMPLIANCE STANDARDS:

1. For each resident handicapped pupil, the district must develop an IEP which (a) contains a basic plan and instructional guide; (b) complies with required timelines; (c) includes parental participation; and (d) is reviewed annually (N.J.A.C. 6:28-2.1(c); 2.3(c); 3.4(b); 3.6).

2. A reevaluation to determine the status of each educationally handicapped pupil shall be conducted at least every three years (N.J.A.C. 6:28-3.4(j)).

A. Findings

1. Parent Notice and Consent:
   a. Sixteen of 42 (38%) pupil records reviewed could not document written notification for conference and/or reevaluations (N.J.A.C. 6:28-3.6(c)). The forms used to notify parents were not dated.
   b. Ten of 42 (24%) records reviewed indicated that the 90 day timeline was not met (N.J.A.C. 6:28-2.1(c)).

2. Determination of Eligibility:
   a. Sixteen of 42 (38%) records reviewed contained no written evaluation plan (N.J.A.C. 6:28-3.4(a,j)).

3. IEPs:
   a. Eleven of 42 (26%) IEPs reviewed were not in compliance with federal and state regulations.
      1) Six of 42 (14%) IEP basic plans reviewed did not contain the required components (N.J.A.C. 6:28-3.6 (e)).
      2) Ten of 42 (24%) IEP instructional guides reviewed did not contain the required components (N.J.A.C. 6:28-3.6 (f)).
      3) In one IEP reviewed, the basic plan was developed without the required participants (N.J.A.C. 6:28-3.6 (c, d)).
      4) In three IEPs reviewed, the instructional guide was developed without the required participants (N.J.A.C. 6:28-3.6 (g, l)).
4. **Annual IEP Reviews:**

   a. Six of 42 (14%) annual IEP reviews were not in compliance.

      1) Three annual IEP reviews were not completed within one year and three annual IEP reviews were completed without the required participants being involved (N.J.A.C. 6:28-3.6 (j)).

5. **Reevaluations:**

   a. Nine of 42 (21%) reevaluations were not in compliance.

      1) Seven did not comply with written reevaluation plan requirements, and two reevaluations were not completed within three years (N.J.A.C. 6:28-3.6 (j)).

6. **Comments made by the monitoring team on the record review sheets:**

   a. Two pupil records contained the parent copy of the Orange School District's interventions in the regular public school program to alleviate educational problems, implying the parents had not been notified (N.J.A.C. 6:28-3.3(a)).

   b. Three changes in classification appeared to have taken place without parent notification.

   c. There was no indication that the district made any attempt to notify parents in their dominant language when it was not English.

   d. Several IEPs included parental signatures, but the section noting "agree/disagree" was not checked off.

   e. Facility and program availability dictates the placement and provision of services to educationally handicapped pupils.

      1) IEPs in the district reflect what is available rather than what is appropriate for students. For example, counseling services are not provided within the district for any ED student at the elementary, middle or high school level. Team members and teachers all agreed that they did not recommend counseling because the administration had told them there were insufficient staff for this related service.

      2) Students at the elementary level are frequently classified HI because the service delivery system at
that level revolves exclusively around self contained HI classes. When questioned about this, the majority of teachers and team members responded that this classification was used most frequently because "the students were 2-3 years behind."

3) At the high school level, the applicability and instructional value of all the IEPs were questionable because the instructional guides were consistently written by the homeroom teacher and the case manager. Therefore, the teachers having instructional responsibility for educationally handicapped pupils did not always participate in the development of their pupils' instructional guides.

f. The least restrictive environment (LRE) section of the district's IEP form does not allow for the required detailed rationale narrative (N.J.A.C. 6:28-3.6(e)). This is particularly noticeable considering the large number of handicapped pupils in self contained classes at the elementary level.

g. Of 110 age-appropriate special education students, nine took the HSPT with one student taking only the math section.

B. Directives

1. The district will develop and implement an IEP process consistent with N.J.A.C. 6:28-3.6.

2. The district will come into compliance with the 90 day timeline requirement (N.J.A.C. 6:28-2.1(c)).

3. The district will document that they are in compliance with the native language requirement (N.J.A.C. 6:28-2.4); that evaluation procedures shall be selected and administered so that the pupil's cultural background and language abilities are taken into consideration (N.J.A.C. 6:28-2.5(a)4); and that all evaluations consider the pupil's sociocultural background and adaptive behavior in home, school and community (N.J.A.C. 6:28-3.4(c)4).

4. The district will develop and implement procedures for determining eligibility which are compliant with N.J.A.C. 6:28-3.5.

5. CST members will receive inservice on current HSPT guidelines.
V. **WAIVERS**

**COMPLIANCE STANDARDS:**

1. Any exception regarding classification, class size or age in the placement of handicapped pupils must be approved by the department of education through its county office (N.J.A.C. 6:28-4.2(c)).

A. **Findings**

1. Using the class lists submitted to the Level III monitoring team dated April 14, 1988, the district could not document that waivers were approved in the following circumstances:
   a. sixteen (16) situations requiring waivers for classification;
   b. one (1) situation requiring a waiver for class size;
   c. one (1) situation requiring a waiver for age;
   d. in three (3) cases where the district indicated that waivers had been approved, there was no supportive documentation in the pupils' records.

B. **Directives**

1. The district will review all class lists and, as appropriate, apply to the county office for the appropriate waivers (6:28-4.2(c)).

VI. **PARENTAL PARTICIPATION**

**COMPLIANCE STANDARDS:**

A. **Findings**

1. The need to increase parental participation has been addressed in the district's Level II improvement plan (District Annual Plan 1987-1988).

2. The district submitted documentation that the director of pupil personnel services held two meetings with a special education parents association during the 1987-1988 school year.

3. Although the district has attempted to increase parental participation, the same small cadre of parents are the only ones in attendance.

B. **Directives**

1. The district needs to continue its efforts to implement the parental involvement section, objective #2, of its District Annual Plan 1987-88.
VII. ADMINISTRATION

A. Findings

1. There is an adequate number of administrative, child study team, instructional and clerical staff to provide special education programs and services in the district. Staffing is not a causal factor for the district being in noncompliance with either indicator 7.5 or sections I-IV of this report.

2. A major contributing factor to the district's non-compliance is administrative mismanagement. This conclusion is documented by the following examples:

   a. a failure to ameliorate previously identified areas of noncompliance (i.e., timelines, evaluation of special education programs and services, IEPs);

   b. the continued reliance on "urbaness" as a rationale for the district not being in compliance in such areas as facilities, pupil confidentiality, timelines and for the district not being able to hire qualified staff. The director stated that "you don't get the best in urban districts, you get what's left."

   c. a lack of knowledge of code and its legal application; specifically the inappropriate use of resource rooms, the lack of a plan to evaluate special education programs and services and the frequent placement of educationally handicapped pupils in situations requiring waivers;

   d. a failure to develop an organized and efficient flow of communication with the special education instructional staff at the high school. For example, if a teacher wants to voice a concern, he/she must first contact the special education department chairperson, who contacts the child study team who then contacts the building principal who would then contact the director. Several teachers indicated that the chairperson of the special education department often impeded direct contact or interaction with the director;

   e. a failure to appropriately monitor pupil records as documented in Section IV of this report;

   f. an overall lack of support regarding the concerns of the child study teams and special education staff;

   1) Several child study team members and high school teachers indicated that they felt a genuine fear of harassment by the director and high school special education chairperson.
2) There was a failure to ensure that all special education teachers were provided with the appropriate materials and supplies to implement their students' IEPs.

3) Interviews of the teachers at the middle and high schools indicated that there were no regularly scheduled monthly meetings in which the director was present. One teacher even stated that he "was seldom in sight."

g. the failure to develop, in the district's Special Education Plan for 1987-1990, objectives to meet:

1) previously reported deficiencies (i.e., the need to develop a plan to evaluate special education programs and services); and

2) current issues in special education (i.e., new HSPT guidelines);

h. the lack of implementation of the most recent Comprehensive System of Personnel Development in the district's Plan for Special Education 1987-1990.

1) The director of pupil personnel services indicated that the inservice topics covered during the 1987-1988 school year included:

   a) assessment plans.
   b) IEPs.
   c) computers.
   d) current educational status.
   e) child abuse, and
   f) drug and alcohol abuse.

2) None of the above is specifically listed in the needs assessment of the CSPD in the Special Education Plan for 1987-1990.

VIII. ADDITIONAL COMMENTS AND FINDINGS

A. All special education administrators, child study team members and instructional staff are appropriately certified.

B. It appears that the district's current procedure of including the neuropsychiatrist in all initial placement decisions has significantly contributed to the unusually high number of self contained MI classes at the elementary level.

C. The district could not document that any special education student had been declassified or that any declassification procedures had been initiated this school year.
1. This was confirmed by teacher and child study team interviews.

2. Interviews also indicated that teachers and child study team members were reluctant to initiate declassification procedures due to the inability of the district to meet the needs of "declassified" pupils transitioning back to regular education.

D. The district has assembled a crisis intervention team (CIT) as a response to the Level II monitoring report. According to the director of pupil personnel services, "they're trying, but don't understand special education."

E. The CIT has developed what appears to be an improvement plan (titled "District Annual Plan 1987-1988") based on the Level II findings and recommendations.

1. With regard to objective #3 in this plan, the severe restrictions in facilities, materials and supplies at the high school are extremely serious and most certainly counter productive to any attempt to improve pupil attendance.

2. The "task objectives" specific to special education listed in objective #7 have not been met.

3. The goal of objective #7: "The Pupil Personnel Service Department shall be in compliance with all aspects of Special Education Regulations, elements and indicators in the August, 1987 Manual for the Evaluation of local school district, and Level II monitoring" has not been achieved.
STAFF ATTENDANCE

The Level II report prepared by the county superintendent of schools noted that the district did not meet the state standard under the following indicator:

6.3 There is a review/improvement process to address staff absenteeism if the annual rate of occasional staff absenteeism exceeds 3.5 percent.

The district has a written staff attendance improvement plan which includes procedures for implementation, expectations for staff and administrators, provisions for counseling absentees, and the district's Good Attendance Recognition Plan. However, full implementation has not been achieved and staff attendance is still a problem.

The following list of percentages reflects staff absenteeism through March of the 1987-88 school year.

- September 2.8% 17 school days
- October 3.3% 21 school days
- November 5.0% 17 school days
- December 6.3% 17 school days
- January 4.9% 17 school days
- February 5.2% 15 school days
- March 5.7% 23 school days

The district's improvement plan describes procedures for corrective action. Timely reminders, formal conferences and referral to the superintendent have been selected as methods to achieve improvement in staff attendance. For every absence, a regular attendance form is completed. A copy of the form is kept by the supervisor and staff member. A timely reminder is issued to the staff member after the fourth absence. After a sixth absence, a formal conference must be held with the principal and a copy of the results filed with the principal, staff member and central office. Further provisions are made for absences up to the twelfth day. All forms and procedures are listed in the Orange School District Forms Packet.

By negotiated agreement, certified staff are allowed ten sick days per year for the first ten years of employment and fifteen sick days per year thereafter. Monthly staff absences, ranked by school building for the 1987/88 school year, have ranged from a low of 2% to a high of 9.4%. The bureau of pupil personnel services had a high of 10.6% in the month of February 1988. Percentages this high dictate the need for a constant review by central office administration to attempt to lower the percent of staff absences.
The acting superintendent of schools intends to appoint a staff member to monitor the procedures stated earlier in this report. However, the proposed corrective actions are a carry-over from a previous plan and adherence to time lines has not been followed.

The associate superintendent of curriculum development and implementation issued a memorandum dated March 24, 1988 identifying problems with staff attendance. The memorandum was written to the acting superintendent of schools; the major points are outlined below:

- Staff attendance is difficult to monitor;
- Individual staff folders with observations, evaluations and P.I.P.'s are needed;
- Documentation not organized by departments;
- No follow-up on staff who had timelines for completing improvement; and
- Lack of documentation that district plan is being followed.

In the published Orange Township Public Schools District Annual Plan 1987-1988, remedial actions to improve staff attendance are listed school-by-school with time lines for accomplishment. It appears as though the timelines in the plan will not be met. To accomplish all stated objectives, cooperation between administrators, teachers and supervisors must be established.

Findings

1. The district has a written staff absence improvement plan but it has not been fully implemented.
2. Central office coordination of the plan is lacking.
3. Established timelines for the plan's activities are not being met.

Directives

1. The district shall fully implement the district plan for staff attendance.
2. The superintendent shall assign one person from central office to review, monitor, and oversee the coordination of the district plan.
3. The district shall set realistic timelines for full implementation of the plan and the improvement of staff attendance.
4. The superintendent shall direct that regular meetings are held to assess the progress of improvement.
STUDENT ATTENDANCE

As part of the Level III monitoring process, a review of student attendance procedures within the district was conducted. The Level II report prepared by the county superintendent of schools noted that the district did not meet state standards under the following indicators:

4.1 Average daily attendance rate for the district is 90 percent or higher.

4.3 Average daily attendance rate for each school is 85 percent or higher.

4.4 An attendance improvement plan has been implemented for each school where the average daily attendance rate is 84.9 percent.

District documentation was reviewed, as were the Level I and Level II reports. Interviews were conducted with the following district staff members who are responsible for student attendance:

- Patrick Pelosi - Acting Superintendent of Schools
- Erline Holmes - Associate Superintendent, Curriculum Development and Implementation
- Edwin Valente - Principal, Orange Middle School
- Dr. Joseph Moore - Principal, Orange High School
- Dr. Charles Williams - Director, Bureau of Pupil Personnel Services

There is no one person within the district's central office directly charged with the overall responsibility of monitoring student attendance. In each school, attendance responsibilities are delegated to the principals. Attendance officers report to the director of pupil personnel services. There are three attendance officers assigned to follow-up on absent students.

Schools Assigned

- Lorraine Hawthorne - Orange Middle School
  Central Elementary
- Barbara Winstone - Orange High School
- Rocco Zarillo - Special Education
  Forest
  Oakwood
  Lincoln
  Cleveland
  Park
Attendance officers report directly to the schools for which they are responsible and maintain daily contact with the principal of that school. Attendance referral slips for absent students are completed in quadruplicate with copies going to the principal/vice principal, attendance coordinator, attendance counselor, and attendance aide. The director of pupil personnel services was asked to clarify the terms listed on the referral slips. Information provided was that he was the attendance coordinator, the attendance officers were the attendance counselors and the attendance aides were people assigned in the main school office to assist with attendance. If a student is absent three consecutive days, or a noticeable pattern has developed, a visit to the student's home is made by an attendance officer. Working hours for the attendance officers are the normal school day. Additional hours are worked by Mr. Zarillo when house calls must be made at night or on weekends.

If a persistent absence problem occurs with an individual, a legal notice is sent to the parent or guardian in an attempt to rectify the situation. The following is a breakdown of five-day legal notices issued by the bureau of pupil personnel services during 1986-87 and during 1987-88:

<table>
<thead>
<tr>
<th>School Year 86/87</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>September</td>
<td>1</td>
</tr>
<tr>
<td>October</td>
<td>10</td>
</tr>
<tr>
<td>November</td>
<td>5</td>
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<tr>
<td>January</td>
<td>3</td>
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<tr>
<td>February</td>
<td>3</td>
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<tr>
<td>March</td>
<td>7</td>
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<tr>
<td>April</td>
<td>4</td>
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<tr>
<td>May</td>
<td>3</td>
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<tr>
<td>June</td>
<td>3</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>39</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>School Year 87/88 (To May 9)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>September</td>
<td>8</td>
</tr>
<tr>
<td>October</td>
<td>8</td>
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<tr>
<td>November</td>
<td>8</td>
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<tr>
<td>January</td>
<td>17</td>
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<tr>
<td>February</td>
<td>5</td>
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<tr>
<td>March</td>
<td>12</td>
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<tr>
<td>April</td>
<td>1</td>
</tr>
<tr>
<td>May</td>
<td>5</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>64</strong></td>
</tr>
</tbody>
</table>

In addition to the five-day legal notices, seven complaints were signed in the Orange Municipal Court between May 4, 1987 and April 4, 1988 against the parents or guardians of absentee students.

The Orange Board of Education policy states that 18 unexcused absences during a semester puts a student in a non-credit status. A student may make-up the absences in the following ways:
a. a contractual arrangement between teacher and student which allows for make up of the educational experience lost may be developed; or,

b. application for enrollment in remedial classes in the subject missed (if space is available) with concurrent attendance required in the regular class; or,

c. a student withdraws from the course so that he/she may schedule other subject(s) which may offer him/her a greater chance of success.

Excused absences are allowed for the following reasons:

a. personal illness;

b. death in the immediate family;

c. attendance in court, or other appointments beyond control of the student;

d. religious holidays as specified by state laws; and

e. other reasons with permission of the principal.

The school district does have a make-up program to allow students to regain credit status. The program, known as Orange Alternate Student Instruction System (OASIS), is designed to prevent students from dropping out of school, as well as an Academic and Time Make-Up program for students. The program includes an in-school suspension program designed to reduce student disruptions during which the student completes all classwork assigned by his/her teachers. The Academic and Time Make-Up Program is an attempt to have a student regain credit status in one or more subjects and follows the posted schedule below.

- Tuesday - 3:05-4:05 English
  4:10-5:10 Social Studies
- Wednesday - 3:05-4:05 Special Education
- Thursday - 3:05-4:05 Mathematics
  4:10-5:10 Science

In all elementary schools, an absentee list is generated by taking attendance in the classroom. In the high school, attendance is taken in the homeroom and again during every individual class. Attendance slips are forwarded to the main office for any necessary action. There is no district-wide computer system to track attendance.

A random check of high school absentee lists by staff from the office of compliance shows that the majority of absentees are 9th grade students. Orange High School has a total student population of 1,100. The following chart indicates absence totals on specific dates.
On the listed dates the absence totals represent percentages of 24.4, 26.8, 26.8, 29.9 and 29 respectively.

The percentage levels are high enough to indicate that programs of awareness and methods of corrective actions must be designed and implemented. Further review of student absence shows that as late as April 14, 1988 the high school attendance rate was being adversely affected by the policy requiring that late students be sent home. This policy was established by the current principal. The policy, while in effect, unnecessarily increased the student absentee percentages. The policy has been discontinued. The associate superintendent for curriculum development and implementation conducted an in-house monitoring of the high school between March 11, 1988 and March 14, 1988. By memorandum to the acting superintendent she listed her findings pertaining to student attendance as outlined below:

- No documentation existed that bi-monthly chairperson’s meetings were occurring to address student absences.
- There have been attempts to help students to assume some responsibility for attendance through assemblies, counseling and the Peer Leadership Group. However, there is still a large number of students who have excessive absences.
- It was observed that most teachers do not take attendance at the beginning of each class period.
- Scheduling a parent conference after a student has been absent for five days was unwieldy due to the large number of students who are absent more than 5 days.
- Basically, the failure/intervention process is not being used. Staff members seemed to have little knowledge about this inclusion in the promotion policy. The guidance department chairperson was not familiar with policy nor were the other department chairpersons.

In the months of January, February and March of 1988, the monthly student attendance rate has shown a decrease from 80% to 76%. An aggressive posture must be taken by the district to attempt to eliminate the problem. The 9th graders must be specifically targeted to cut-down their percentage of absence. Better cooperation should be sought between the school system and the Juvenile Court to enforce penalties to increase school attendance.

The present method used to track absentee students at the high school must be reviewed. Coordination, follow up, record keeping, counseling of students
and dealing with chronically absent 16 year olds and older must be addressed. The principal, to date, has not taken a firm enough stand. Control is disjointed and floundering.

An internal memo, dated March 18, 1988, written by a member of the district’s crisis intervention team concurred with some of the observations made by the compliance office staff.

In the memo, under Student Attendance Objective, the following comments are noted:

- no evidence of twice a month meetings to discuss chronic absenteeism;
- attendance aide did not have records of afternoon phone contact to parents of chronically absent students; and
- no department chairpersons had any evidence of the retention/prevention forms being used, nor could they document other forms of implementation.

With the number of student absences so high, the bureau of pupil personnel services should become more active in addressing the high rate of student absenteeism.

**Findings**

1. The district’s written improvement plan addresses the student absenteeism problem at Orange High School. However, there is no evidence that the plan has been implemented.

2. The student absenteeism rate at the high school is excessive and not enough cases are brought to Juvenile Court as provided for by existing law and district policy.

3. The largest number of absentees at the high school are 9th grade students.

4. The number of five-day legal notices issued are not reflective of the large number of student absences.

5. There is no documentation that monthly meetings are held to discuss the student absence problem at the high school.

6. There is no documentation that all staff members are informed about the dropout prevention program and the academic make-up program.

7. There is no evidence that the high school has identified all chronically absentee students.

8. There is evidence that late students were being sent home from the high school and being counted as absent.
9. There is no one person in the district responsible for monitoring student absence.

Directives

1. The superintendent shall direct that the written District Annual Plan 1987-88 be implemented, documented and time-lines adjusted as appropriate.

2. The superintendent shall direct the bureau of pupil personnel services to bring to court the appropriate cases of student attendance problems.

3. The district shall direct the high school to establish a program of awareness concerning the importance of attendance to school focused specifically on 9th grade students.

4. The bureau of pupil personnel services shall issue legal notices regarding student absence as required.

5. The superintendent shall direct that regular meetings are held to discuss student absence. The meetings shall address the excessive absence at the high school.

6. The superintendent shall direct that meetings are held to inform all staff about the drop out prevention program and the academic make-up program at the high school.

7. The superintendent shall assign one person at central office to oversee the entire attendance function, coordinate strategies and monitor the implementation of the activities to address student absenteeism.

8. The superintendent shall direct the bureau of pupil personnel services to seek the cooperation of the Juvenile Court in taking appropriate action when penalties are justified.

9. The principal of the high school shall be directed to identify chronically absent students and refer them to guidance for counseling and corrective action.
FINANCE

The books, records and related documents maintained by the City of Orange Township Board of Education were examined for the period July 1, 1987 through February 28, 1988 on a test check basis.

A review of the board minutes as well as the financial books and records generated findings of improprieties which have been made a part of this report along with directives.

I. Board Minutes

Findings:

1. Minutes were not all in one place; supporting documentation was not bound to the transcription.

2. The special board of education budget meetings of December 17, 1987 and January 5, 1988 were conducted as closed special budget sessions in violation of the Open Public Meetings Act as budget discussions are not statutory exceptions permitted by the Open Public Meetings Act.

Directives

1. All board minutes shall be permanently bound and shall be kept in one secure area.

2. Special budget meetings shall be conducted as open public meetings.

II. Budget Transfers

Findings

1. There were several overexpenditures of account line items within the current expense budget in violation of N.J.A.C. 6:20-2.13.

Directives

1. Timely budget transfers shall be made by resolution of the board in order to avoid overexpenditures of account line item appropriations.

III. Monthly Financial Reports

Findings

1. The financial reports A-148 and A-149 were not in agreement.

2. The reports were not submitted to the board in a timely manner.
3. A-148's were improperly prepared in that the first column, "Budget Appropriations", did not reflect the original approved budget with changes reflected in the second column, "Additional Appropriations".

Directives
1. The financial reports, A-148 and A-149 shall be in agreement and so noted by the board.
2. The reports shall be submitted in a timely manner.
3. The A-148's shall be prepared correctly by the board secretary.

IV. Request for Local Property Taxes

Findings
1. The district does not file Forms T-1 (Request for Local Property Taxes) with the city treasurer.

Directives
1. Forms T-1 shall be filed in order to assure a more even flow of cash requirements.

V. Bids

Findings
1. Board minutes note the lowest "responsible" bidder awarded the bid instead of listing all of the bids received.
2. Explanation was not given in cases where the bid is awarded to other than the lowest bidder.
3. Emergency procedures with regard to roof repairs as required by N.J.S.A. 18A:18A-7 and N.J.A.C. 6:20-8.5 were not followed.

Directives
1. All of the bids received shall be noted in the board minutes.
2. An award to other than the lowest bidder shall be so noted in the board minutes with a reasonable explanation.
3. The procedures as defined in N.J.S.A. 18A:18A-7 and N.J.A.C. 6:20-8.5 with regard to emergency contracts shall be adhered to.
VI. Accounting Records

Findings

1. An appropriations receivable ledger (form 105) has not been maintained.

2. The beginning cash balance as of July 1, 1987 and as distributed in the cash receipts journal did not agree with independent auditor's statement of balances on June 30, 1987.

Directives

1. The use of an appropriations receivable ledger shall be implemented and maintained.

2. July 1 cash balances as distributed shall be in agreement with the independent auditor's cash balances of June 30.

VII. Purchase Orders

Findings

1. The present format provides for the board secretary's approval signature only on the original which is then mailed to the supplier.

Directive

1. Upon reordering, the purchase order format shall be changed to provide for the board secretary's signature to be impressed upon all copies.

VIII. Payroll Registers

Findings

1. Payroll registers were not approved by the superintendent and were not certified by the board president and the board secretary.

Directive

1. There shall be one approval per each payroll by the superintendent and certification by the board president and board secretary.

IX. Student Activity Funds

Findings

1. Checks from the elementary schools were found to have one signature.
2. The signatories of these funds were not designated by name in the reorganization meeting minutes of the board.

3. Bank reconciliations of the high school activity fund were not being performed currently.

4. Cash receipts and cash disbursements were not being maintained currently.

5. All entries in the books and records were made in pencil.

6. Entries were not footed by totals for the month or year-to-date.

7. A check in the amount of $554.07 was issued without any documentation.

Directives

1. All checks drawn from the student activity funds shall contain two signatures.

2. The board of education, at its reorganization meeting, shall name the persons authorized to sign the student activity fund checks.

3. Bank account reconciliations shall be performed monthly.

4. Books and records shall be maintained currently.

5. All entries in the books and records shall be in ink and totaled monthly.

6. All checks drawn shall require proper documentary support.

X. Treasurer of School Moneys

Findings

1. Postings to the books and records of original entry have been made in pencil and without monthly balances being struck.

2. The payroll account is being reconciled in the business office.

Directives

1. All entries to the books and records shall be made in ink.

2. All bank accounts shall be reconciled by the treasurer of school moneys and on a current basis.
XI. Other Internal Controls

Findings
1. Internal controls are deficient in that a double signature plate is being used to validate checks.

Directives
1. Each signatory shall exert control over his/her signature plate or stamp.

XII. Other - Board Filing System

Findings
1. Vendors' invoices with proper documentation were filed by check number rather than alphabetically by vendor.

Directives
1. The filing system shall be revised so that paid bills are filed alphabetically by vendor.

XIII. Other - Board Policy Manual

Findings
1. The board policy manual is not current with many policies no longer being correct.

Directives
1. The board policy manual shall be updated so that present policies in effect are in accord with the manual.

XIV. Other - Type of Accounting System

Findings
1. The present computer accounting system in use was found to be deficient in the material generated. Further, the system does not have the approval of the New Jersey State Department of Education.

Directives
1. The board of education shall submit to the state department of education, division of finance, a request for approval of the computer system in use which will insure that the minimum requirements are met.
XV. **Transportation**

**Findings**

1. The District-Wide Program Cost Report does not agree with the audit report.

**Directives**

1. The board secretary shall resolve the difference between the Transportation District-Wide Program Cost Report and the transportation expenses in the audit report.

XVI. **Average Daily Balance**

**Findings**

1. The average daily balance maintained at the First Jersey National Bank, checking account number 122-377-1, for the period July 1, 1987 through February 29, 1988, was in the amount of $1,289,561.44.

**Directive**

1. The district shall implement short term investments with any excess cash balances.

XVII. **Filing of Internal Revenue Service Forms 1099**

**Findings**

1. In one instance, a Form 1099 was not filed for 1987 in the case of a vendor who was paid $28,260.00 for the period July 1, 1987 to December 31, 1987.

2. A vendor receiving $3,283.75 for the same period as above was not issued a Form 1099.

3. A vendor receiving $16,600.00 for the six month period ending December 31, 1987 also was not issued a Form 1099.

**Directives**

1. Forms 1099 shall be filed in conformance with Section 6041(a) of the Internal Revenue Code.

XVIII. **Payments Without Proper Documentation**

**Findings**

1. Payment for $850.00 and labeled physical examination re: fall sports did not have names of those examined. (Voucher #100485 to Curtis Johnson).
2. Reimbursement vouchers for insurance, in some instances, had one quarterly invoice attached, instead of invoices for one year and proof of payment of same.

Directives

1. Proper documentation shall be secured prior to the issuance of payment checks.

2. Reimbursement vouchers for insurance shall contain proper documentation, such as invoices for the full year and proof of payment.

XIX. In-Office Checks

Findings

1. In-office, (hand drawn) checks dated March 10, 1988, had not been entered into the computer and assigned a computer check number as of May 18, 1988.

Directive

1. In-office checks drawn shall be entered into the computer and assigned a computer check number at the earliest possible computer check run.

XX. Transportation Contract, M & A Valley Transportation Bus Company

Findings

1. Multi-Contract Number 369 was executed for the transportation contractor by a person unknown and not identified as to title or position with the contractor.

2. Vendor certification dated 11/30/87 for per diem charges during the month of November 1987, reflected a fifteen day transportation charge for route #10 and a seventeen day charge for an attendant/aide on the same route.

3. Whereas the contract provides that payment for services becomes due on the last day of the month, payments of the per annum portion of the contract ($22,659.00 per month) were made prematurely for the months of October 1987 through January 1988 and for March and April of 1988 (total paid prematurely, $135,954.00).

4. Whereas the contract was awarded to M & A Valley Transportation, all checks were drawn to either Valley Transportation Bus Co. or to Valley Transportation Bus.

submitted with the bid, the bid bond submitted was in the amount of $11,500.00 or 3.9% of the contract amount.

6. Whereas N.J.A.C. 6:21-14.1 requires that a surety or personal bond for the amount of the contract be submitted with each contract or renewal, the performance bond for the 1987-88 school year was executed on October 22, 1987.

Directives

1. All persons signing contracts on behalf of contractors must be identified as to title and/or position with the contractor.

2. All documentation which initiates payments to third parties doing business with the board must be viewed as to correctness before approval for payment.

3. Payments shall not be made before services have been provided.

4. Checks shall be drawn to the proper name of the corporate entity doing business with the board.

5. All transportation bids shall be accompanied by a deposit amount of 5% of the annual amount of the contract.

6. Transportation contracts shall not be executed without receipt of a performance bond in the amount of the contract.
FACILITIES

The evaluation of facilities was conducted by the staff of the bureau of facility planning services on March 3 and 4, 1988. Five of nine operating schools were visited.

The evaluation was conducted according to the requirements of the following codes:

1. N.J.A.C. 6:22. Facilities Codes of the New Jersey State Board of Education
2. Uniform Construction Code of the State of New Jersey
   a. BOCA Basic Building Code
   b. BOCA Mechanical Code
   c. National Plumbing Code
   d. National Electrical Code
   e. Fire Subcode (drawn from the above)

The findings of the evaluation are reported in the following subsections.

New Substandard Instructional Spaces Identified

Chapter 373, Laws of 1983 requires the identification and subsequent upgrading or abandonment of instructional spaces which do not meet requirements as contained in N.J.A.C. 6:22-3.1.

Prior to the Level III evaluation, 16 instructional spaces had been declared substandard. During the Level III evaluation of 5 of 9 schools in Orange, an additional 31 substandard spaces were identified; they are listed below.

<table>
<thead>
<tr>
<th>School</th>
<th># of Spaces</th>
<th>Locations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cleveland E.S.</td>
<td>3</td>
<td>Library, seminar room (2nd floor), speech (located between rooms 11 and 12), gym.</td>
</tr>
<tr>
<td>Oakwood E.S.</td>
<td>4</td>
<td>2nd floor media center, special education classroom, multi-purpose room, 2nd floor kindergarten.</td>
</tr>
<tr>
<td>Forest E.S.</td>
<td>2</td>
<td>2nd floor kindergarten, 3rd floor media center.</td>
</tr>
<tr>
<td>Orange M.S.</td>
<td>9</td>
<td>Room 122, Room 126, Room 128, Room 129, Room 101, Room 223, Room 224, Room 229.</td>
</tr>
<tr>
<td>Orange H.S.</td>
<td>13</td>
<td>Room 112, 210, 215, 224, 1st floor Uniplan #2, #4, #13, #15, #16, #19, 2nd floor Uniplan #19, #33.</td>
</tr>
<tr>
<td>Total</td>
<td>31</td>
<td></td>
</tr>
</tbody>
</table>
The following spaces have been identified as substandard and are presently listed as substandard approved. However, during the Level III evaluation these spaces were found to be abandoned. The district must forward a letter to the Bureau of Facility Planning Services verifying the abandonment of these spaces so the proper status can be recorded.

<table>
<thead>
<tr>
<th>School</th>
<th>Facility File #</th>
<th>Room - Use</th>
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</thead>
<tbody>
<tr>
<td>Cleveland E.S.</td>
<td>13-3880-07012-1</td>
<td>B20 - BSIA</td>
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<tr>
<td></td>
<td>13-3880-07012-3</td>
<td>B18 - Art. Music</td>
</tr>
<tr>
<td>Oakwood E.S.</td>
<td>13-3880-11012-1</td>
<td>Ground B - Chapter 1</td>
</tr>
<tr>
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<td>13-3880-11012-2</td>
<td>Ground A - Special Education</td>
</tr>
<tr>
<td>Forest H.S.</td>
<td>13-3880-08012-1</td>
<td>Basement A - Chapter 1</td>
</tr>
<tr>
<td></td>
<td>13-3880-08012-2</td>
<td>Basement B - HILS</td>
</tr>
</tbody>
</table>

Program Operations Conditions
Orange High School - Grades 9-12

1. The Orange High School building is situated on a seven (7) acre site which is shared with the middle school. The site, therefore, is inadequate to provide the necessary outdoor areas for sports and outdoor activities. The availability of off-site municipal facilities somewhat alleviates the condition, but is not a desirable solution to the problem.

2. The library at 3720A is undersized compared with the recommendation for high school libraries. One area originally approved for library use is being used for career education. This room must be returned to its original use. A room used for A.V. software storage is also used for speech instruction on an occasional basis, a practice which must cease unless the space is upgraded.

3. Graffiti was evident on doors and corridors throughout the building.

4. Part of the foreign language classroom 213 has been partitioned off for use as a foreign language office. This office is not permitted in this area and the space must be returned to its originally approved use.

5. The instrumental music room is undersized (below minimum 1400) and lacks adequate storage space.

6. The room being used as a choral music room was originally approved as a large group room and lacks proper acoustical controls.

7. Rooms 217 and 225 used for typing are below the recommended minimums of 1,100 square feet.

8. The art-ceramics classroom (Room 105) is below the minimum size of 1400 square feet. The existing art furniture is inappropriate, and sufficient storage both for art supplies, and student projects is lacking. The area must be kept cleaner.
9. The graphics shop (Room 106) measures 1850 square feet. The minimum acceptable size is 2850 square feet. The area is oversubscribed with graphic supplies and has insufficient storage. Not all equipment and storage shelving allows a 3 foot clearance for students to safely move about the shop. This area must maintain uncluttered floor space.

10. Classroom 107 is being used both as a special education room for the emotionally disturbed students as well as the school psychologist's office. The area should not be used for both. As a member of the child study team, the office of the psychologist should be appropriately placed in a child study team complex.

11. Classroom 108 has been subdivided by filing equipment and garden type partitions to create two special education resource rooms (108A and 108B). This partitioning renders each side approximately 405 square feet each. However, each area has 11 students assigned. Both operate simultaneously creating a dysfunctional educational environment. The maximum number of students permitted at one time is five (5) students.

12. Classroom 109 has also been divided into two special education resource rooms with the same features as room 108 above as well as the same dysfunctional setting. The maximum number of students permitted at one time is five (5) students.

13. Room 112 functions as a school store and an audio-visual storage area. It is also used one period a day during the 4th period as an instructional area with a student operating the school store. It is cluttered with audio-visual equipment, chairs, etc. This area was not designed or approved for instructional purposes. Therefore, this use must be discontinued.

14. The wood shop is below the maximum acceptable size of 2950 square feet.

15. Classrooms 116 and 117 function as a two-teacher station: a machine shop and a metal shop. It measures 2450 square feet. The minimum size for a metal shop is 2850 square feet and for a machine shop 3200 square feet. Because of its size, 15 students are assigned to each area. However, the facility lacks adequate storage of metals used in the metal shop. With two separate classes functioning simultaneously, the educational setting is quite disruptive.

16. Room 118, used as an electronics shop measures 545 square feet, far below the minimum acceptable size of 2250 square feet. Based upon 94 square feet per student, the class size must be limited to 6 students. Presently, 8 students occupy this facility.

17. The business classroom (Room 125) used for accounting instruction has been partitioned and offices created for the social worker and attendance officer. This area must be restored to a full classroom.
Building Subcode Violations
Orange High School - Grades 9-12

1. Many interior doors were found to be provided with deadbolts.

2. The roof hatch located above the janitors closet was open and must be secured.

3. The louver in toilet room number twenty-one door has been closed off with plastic. A hole has been broken in the wall of the toilet room which must be corrected.

4. There are wall cracks in the exterior walls of the second floor music room and large group instructional room.

5. There is a hole in the second floor classroom located adjacent to the stairs and over the child care center.

6. There were no doors separating the cafeteria from the corridor. The corridor is required to be a smoke and fire safe means of exit or shall be separated from all interior spaces with walls and doors.

7. Partitions have been constructed to create rooms throughout the building; print shop, wood shop storage, and a second floor classroom. Such construction is required to be approved by the Bureau of Facility Planning Services.

Electrical Subcode Violations
Orange High School - Grades 9-12

1. The switches, receptacles, and fixtures provided were missing, broken or inoperative in the library, and in the heater in the toilet room near room 13.

2. The illumination level as required by N.J.A.C. 6:22-2.4(a)11 for classroom number forty was not met.

Fire Subcode Violations
Orange High School - Grades 9-12

1. Exit Signage
   a. Illuminated exit signs are required which are to be connected to an emergency power source.
   b. Exit signs are to be provided throughout the school to indicate direction to and location of exits.

2. Exterior Exits
   a. Exit doors were found to contain deadbolts in the following locations: Auto Shop, Metal Shop, Teachers Cafeteria, First Floor Classroom Uniplan Room 36.
b. Grade level exits discharge to a fenced-in area and do not provide safe access to the public way.

3. Interior Exits
   a. Wire glass panels are required above corridor fire doors near the Home Economics Room on the first floor.
   b. Wire glass panels are required in health and safety room door which leads to the corridor.
   c. Doors are not closing properly on the following second floor spaces: Uniplan Room numbers 24, 36, 37, and 44.
   d. Second floor smoke door closers are missing, are magnets; doors are out of adjustment and not closing properly.
   e. Deadbolts were found on interior doors at the following locations: Print Room, Electronics, Science Prep Rooms (2nd Floor Uniplan room numbers 48 & 56), Music Practice Rooms, second floor Uniplan Room Twenty.

4. Fire Extinguishers
   a. Fire extinguishers were improperly mounted. Fire extinguishers are to be mounted in accordance with National Fire Protection Association Standard Number Ten.

5. Manual Fire Alarm System
   a. Exterior pull box located in a fenced-in area on the Lincoln Avenue side is inaccessible. Fence must be removed.

Health and Safety Violations
Orange High School - Grades 9-12

1. Spirit Duplicators. Duplicators using methyl or ethyl alcohol must be in a room exhausted to the exterior. Smoking, open flame, and student occupancy are not permitted. Duplication fluid must be stored in proper National Fire Protection Association approved cabinets and at least 10 feet from an exit. This condition exists at the following locations: First Floor Uniplan Room Number One

2. Chemicals used for science laboratory classes are not stored in proper storage cabinets. Second Floor Science Prep Rooms, Uniplan Room Numbers 48, 53, and 56.

3. Interior storage shall be kept a minimum of 24 inches from the ceilings and shall not be arranged as to block the means of egress. This standard is violated in the following spaces:
a. Finishing Room - first floor Uniplan Room 2
b. Kitchen Storage - first floor Uniplan Room 13
c. Print Shop - first floor Uniplan Room 18
d. Office - second floor Uniplan Rooms 16 & 19
e. Music Room - second floor Uniplan Room 29
f. Science Prep - second floor Uniplan Room 53

4. The wood shop and print shop contain flammable liquids which are not stored in proper National Fire Protection Association approved metal cabinets.

5. The print shop dark room contains chemicals which are not stored in approved cabinets.

6. Water damage was noticed on ceiling tiles in guidance office room 51, second floor.

7. Sufficient mechanical ventilation must be provided in the print shop to eliminate odors and increase air circulation as per BOCA Mechanical Code Sect 1602.

8. No guards were evident on tile machines and safety glasses were not available in the fine arts room (first floor Uniplan Room 20).

Plumbing Subcode Violations
Orange High School - Grades 9-12

1. All toilet rooms were locked except one by the cafeteria. This represents a violation of code.

2. Most of the drinking fountains were not working throughout the school and must be repaired or adjusted.

3. Garbage can washer by the kitchen did not have a backflow preventer installed on the waterline. A backflow preventer must be installed.

4. In the home economics foods laboratory, the gas range control handles were missing and must be replaced.

5. The cold water to basins in the toilet room next to the home economics classroom was not operating and must be repaired.

6. The wall in the printing room office showed signs of water leak from toilet room above it and must be investigated.

7. In the science laboratory room 245, all the spouts on sink faucets were plugged with no water to the sink. The water in the traps will evaporate thereby allowing sewer gas to enter the room. Faucets must be repaired and in working order.

8. Eye wash devices in all science laboratories need to be cleaned. The spray holes were partially closed restricting the flow of water.
Program Operations Conditions
Orange Middle School - Grades 7-8

1. The Orange Middle School building is situated on a seven acre site which is shared with the high school. The site, therefore, is inadequate to provide the necessary outdoor areas for sports and outdoor activities. The availability of off-site municipal facilities somewhat alleviates the condition, but is not a desirable solution to the problem.

2. The following classrooms are below the required minimum of 700 square feet for a middle school classroom: 313, 314, 315, and 316.

3. Room 201 used for special education instruction requires plaster and paint repair.

4. The library is undersized at 1300 square feet. Middle school libraries should be at least 2500 square feet. The library also lacks proper space for a library work area and office. The present area is undesirable since there is no sink and little room for working or storage. The librarian's desk and chair are uncomfortably close to an uncovered radiator. Carrels were loaded with storage items and must be cleaned off.

5. Lockers throughout the building were damaged, had missing doors, and were covered with graffiti.

6. Classrooms 220, 221, and 222 are below the standard of 1200 square feet required for a science laboratory program. The upper level art room of 850 square feet for an art room is too small and lacks storage and display areas. It needs painting and is generally in need of better housekeeping.

7. The wood shop measures 865 square feet which is below the minimum acceptable size of 2250 square feet. Sufficient material and supply storage are lacking. Equipment is inappropriately spaced. The space must be abandoned for this use as a shop.

8. The health suite lacks an appropriate cot area and examination area.

Building Subcode Violations
Orange Middle School - Grades 7-8

1. The exterior walls within the court have evidence of cracks that must be repaired.

2. The ventilation system consists of a central fan system which was not operating to provide exhaust. It must be operational.

3. The third floor art room is provided with only one means of egress. The code requires not less than two means of exit from each floor.
4. The auditorium main exits via the lobby were blocked because of the 
rope-off exterior stairs, which were in disrepair. The stairs shall be 
repaired to provide the code mandated exits.

**Electrical Subcode Violations**
Orange Middle School - Grades 7-8

1. The switches, receptacles and fixtures provided were missing, broken or
inoperative in classrooms 312, 313, 314, 314 and 316, near the stage.
Corrective measures must be taken.

2. Improper use of extension cords by passing through doorways, windows, or
similar openings was observed in the corridor display case near room 220.

3. Illumination levels required by N.J.A.C. 6:22-2.4(a)11 were not met in 
classrooms 220, 221, 222, and 223.

**Fire Subcode Violations**
Orange Middle School - Grades 7-8

1. Alarm System
   a. The pneumatic tube system has been painted thereby affecting its
      ability to sense the presence of fire.
   b. No data were available indicating when the pneumatic tube system
      was last tested.
   c. Pneumatic tubing was found to be hanging loosely under the
      auditorium and thus rendered inoperative.
   d. New ceilings have been installed in rooms with no fire detection
      provided. This is a violation which must be corrected immediately.

2. Exit Signage
   a. Provide illuminated exit signs as required by the New Jersey
      Uniform Code and these signs are to be connected to an emergency
      power source.
   b. Provide sufficient exit signs as to indicate direction to and
      location of exits.
   c. No indication was evident in the stairtowers as to the grade level
      exit. Occupants unfamiliar with the building could pass the grade
      level exit and find themselves in a lower level or basement.

3. Emergency Lighting
   a. No emergency lighting was noticed. Sufficient emergency lighting
      is to be provided and connected to an emergency (back-up) power
      supply.
4. Exterior Exits  
a. Exit doors were found to contain dead bolts in the following locations: Auditorium, Music Room 210, Cafeteria Room 230 to the fire escapes, hallway adjacent to Wood Shop Room 129. These are in direct violation of code and must be removed immediately.

5. Interior Exits  
a. Exits were found to be blocked in the following locations: Auditorium, Stage, Music Room 210, Library Room 212.

b. Smoke doors on second floor providing access to Art Room 320 do not close tight and require adjustment.

c. Open stairs were found between main floor and balcony, balcony to third floor which allow smoke to travel from one space to another. These stairs must be enclosed with proper fire-rated construction.

d. Doors were found checked open throughout the building and these checks must be removed so the doors will provide a barrier to the passage of heat and smoke.

6. Fire Extinguishers  
a. Fire extinguishers were found to have hanging brackets missing.

7. Fire Alarm Manual Pull Stations  
a. Pull stations throughout the school are not located within five feet of stairtower or exit door.

b. Pull stations located in the auditorium were found to be painted to match the classroom interior rather than the required red color.

Health & Safety Violations  
Orange Middle School - Grades 7-8

1. Possible friable asbestos was noticed in area under auditorium. An assessment needs to be conducted.

2. Installation of proper mechanical ventilation equipment to remove odors found in Room 10, Plastics Shop is required.

3. Peeling paint and water damage was noticed throughout the school building.

4. There are broken windows, broken wall sections, excessive storage and poor housekeeping in the third floor Art Room (320).

5. The kiln located in the basement of the school must be removed.
6. There were no guards on equipment in the fan room and guards must be provided to prevent injury.

7. Exposed heat pipes located in the stair near Room 127 must be insulated.

8. The electric heater located in Room 224 must be removed.

9. The building exterior in the area of the auditorium lobby exits is in need of major repair.

**Plumbing Subcode Violations**  
*Orange Middle School — Grades 7-8*

1. In the girls' toilet room next to Room 201, one toilet seat is broken and needs to be replaced.

2. In the boys' toilet next to Room 229 there are no doors on the toilet stalls. Doors to the stalls must be replaced.

3. There were signs of leaks in the auditorium roof which must be investigated.

4. The roof gutter over classrooms 202, 203, and 204 had holes in it thus allowing water to leak below. This situation must be corrected.

5. The downspout next to the boys' gym was broken thus creating water damage in the boys' gym which must be repaired.

6. Several tiles are missing in the shower room (121) next to boys' gym which must be replaced.

**Program Operations Conditions**  
*Cleveland Elementary Grades K-6*

1. The school site is very small (two (2) acres or less) and does not meet minimum code required space for an elementary school. It lacks adequate space for outdoor play area.

2. The building lacks core facilities and ancillary areas, such as a library, multi-purpose room, instructional rooms for art, music, science and home economics.

3. In general, classrooms throughout the school lack adequate storage for instructional and other materials.

4. The inter-communication system between the main office and the rest of the building is not provided or has become inoperable.

5. The nurse's area is undersized and lacks adequate areas for waiting, examination, office, and resting for students.
6. The administration area is undersized and lacks adequate space for waiting, record storage, and conference room for parents.

7. Graffiti on classroom windows was observed in room six (6).

8. Classrooms 9 and 17 need painting of patched plaster areas.

Building Subcode Violations

Cleveland Elementary School - Grades K-6

1. The basement receiving and storage room is not separated from the stair with proper rated construction. This room is open to the fan room.

2. The area wall enclosure, located in the basement near the receiving and storage area, has doors which are too narrow and the hardware does not function adequately. It must be corrected.

3. The ceiling tile in the basement special education classroom is falling from the ceiling and must be repaired.

4. The boys' toilet room in the basement of the school does not have the required mechanical exhaust and shall be updated to present code requirements.

5. The first and second floor faculty toilet rooms do not have the required mechanical exhaust.

6. The first and second floor corridor serving classrooms 5, 6, 7, 8, 15, 16, 17 and 18 is a deadend corridor and must be eliminated.

7. The stairs are not provided with the required handrails along the walls. Handrails must be provided, continuously, along both sides of the stairs.

Electrical Subcode Violations

Cleveland Elementary School - Grades K-6

1. The improper use of extension cords by passing through doorways, windows or similar opening was found in the basement corridor and classroom 14. Such a condition is prohibited.

2. The illumination levels as required by N.J.A.C. 6:22-2.4(a)11 in classrooms throughout the building were not met.

Plumbing Subcode Violations

Cleveland Elementary School - Grades K-6

1. The janitor's sinks did not have a backflow preventer. A backflow preventer must be installed on all janitor's sinks.

2. There is a leak in the 4" return pipe of the heating boiler that must be repaired.
Fire Subcode Violations
Cleveland Elementary School - Grades K-6

1. Alarm System-Automatic
   a. The pneumatic tube system has been painted repeatedly thereby affecting its ability to sense the presence of fire.
   b. No data were available indicating when the pneumatic tube system was last tested.

2. Exit Signage
   a. The entire building is to be provided with illuminated exit signs which are to be connected to an emergency power source.
   b. Sufficient exit signs are to be provided throughout the building to indicate direction to and location of exits.
   c. No indication is evident in stairwells as to the grade level exit. Occupants unfamiliar with the building could pass the grade level exit and find themselves in a lower level or basement.

3. Emergency Lighting
   a. No emergency lighting was noticed. Sufficient emergency lighting is to be provided and connected to an emergency (back-up) power supply.

4. Exterior Exits
   a. Stairwell exit doors at grade level were found to contain deadbolts which must be removed.
   b. The existing exterior door from central basement must be replaced with a proper exit door.

5. Interior Exits
   a. Smoke door for the central stairwell on second floor needs an adjustment to close properly.
   b. The central exit stair in the basement is open to fan room and storage area. This exit must be provided with proper separation from those areas.

6. Fire Extinguishers
   a. The fire extinguisher located in the attic stairs must be mounted on the wall.
7. **Fire Alarm Manual Pull Stations**

   a. The manual pull stations for the fire alarm system are to be located within five feet of stairtower or exit door.

---

**Health and Safety Violations**

**Cleveland Elementary School - Grades K-6**

1. The exit stairs were not level with the stair landing. This represents a possible tripping hazard and becomes an obstruction in the means of egress.

2. Accumulation of storage on attic stairs. This storage is in violation of the Uniform Fire Code.

3. Spirit duplicator Audio Visual Room. Duplicators using methyl or ethyl alcohol must be in a room exhausted to the exterior, smoking or open flames are prohibited, and student occupancy is not permitted. Duplication fluid must be stored in a proper metal National Fire Protection Act approved cabinet and at least 10 feet from an exit.

4. There were no fire emergency directions posted in rooms 15 and 16.

5. Peeling paint and water damage was observed on the second floor and basement in the building. The water damage must be investigated.

6. An electric hot plate was in the classroom adjacent to the lobby. This must be removed.

7. There was excessive storage in audio-visual room. This room must be cleaned out.

8. The coat room vent grill in room number six was not secured to the wall.

9. Provide guards on the fan in the basement fan room and remove the storage directly in front of the fan.

10. Power equipment containing gasoline was stored in the basement storage room and must be removed.

---

**Program Operations Conditions**

**Forest Elementary School - Grades K-6**

1. The school site is very small at less than two (2) acres and does not meet minimum code requirements for an elementary school. It lacks adequate space for outdoor play areas and parking for staff and visitors.

2. Classrooms lack adequate storage for instructional and other materials.

3. The building lacks core facilities and ancillary areas such as a library, multi-purpose room, art room, science and home economics classrooms. The present areas used for the library and physical education are substandard.
4. Inter-communications systems between the main office and the rest of the building are not provided or have become inoperable.

5. The health suite measures 195 square feet. Lacking are a cot room, examination room, waiting room and toilet facilities.

6. The administration complex consists of a principal's office measuring 120 square feet and a secretary's office measuring 120 square feet. This administration area is undersized for an elementary school.

Building Subcode Violations
Forest Elementary School - Grades K-6

1. A second floor classroom has been converted to a kindergarten and does not have a required toilet room. This is to be considered a substandard classroom.

Electrical Subcode Violations
Forest Elementary School - Grades K-6

1. The illumination levels required in N.J.A.C. 6:22-2.4(a)11 were not satisfied in classrooms throughout the school.

Fire Subcode Violations
Forest Elementary School - Grades K-6

1. Exit Signage
   a. The entire building is to be provided with illuminated exit signs which are to be connected to an emergency power source.
   b. Sufficient exit signs are to be provided throughout the school as to indicate direction to and from location of exits.

2. Emergency Lighting
   a. No emergency lighting was observed in the school. Sufficient emergency lighting is to be provided and connected to an emergency power supply.

3. Exterior Exits
   a. Exit doors were found to contain deadbolts. The deadbolts are not permitted on exit doors and must be removed from the following exit doors: cafeteria vestibule and entrance by custodian office.

4. Interior Exits
   a. Study rooms were located on the third floor level of the stairtower. These rooms create obstructions within the stairtower and must be removed.
Appendix B
Corrective Action Plan

Governance

Directives: 1, 6

The board of education and the new superintendent must develop and maintain an effective working relationship with each other. This should include a clarification of their roles and responsibilities as policymakers and the chief school administrator.

Objective:

To improve relationship and understanding of the role of Chief School Administrator and members of the Board of Education.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. To attend state and national seminars, workshops and conferences designed to address the duties and functions of the respective positions.</td>
<td>Board President</td>
<td>Jul 1988</td>
<td></td>
</tr>
<tr>
<td>a. Advanced Boardmanship Workshop</td>
<td>Vice-President</td>
<td></td>
<td></td>
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<tr>
<td>b. N.J. School Boards Leadership Conference</td>
<td>Board President</td>
<td>Feb 1988</td>
<td></td>
</tr>
<tr>
<td>d. N.J. School Boards Legislative Conference</td>
<td>Board President</td>
<td>Apr 1988</td>
<td></td>
</tr>
<tr>
<td>e. N.J. School Boards Association New Board Member Orientation</td>
<td>Mrs. Rivera</td>
<td>Jun 1988</td>
<td></td>
</tr>
<tr>
<td>2. Fall Retreat - Board and superintendent participated in a 2 day retreat designed to assist board members to gain deeper insight into the nature of the improvements they desire and the methods by which such improvements can be accomplished.</td>
<td>BOE</td>
<td>Sep 23-24, 1988</td>
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<td></td>
<td>Superintendent</td>
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Governance


The procedures for the review of an update of policies should be formalized to ensure appropriate guidance and direction to the district administration.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMEFRAME</th>
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</thead>
<tbody>
<tr>
<td>To review and update all Board of Education policies.</td>
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<tr>
<td>Obtain services of a consultant:</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>1. To objectively evaluate through a systematic process of review, all existing formal and informal policies,</td>
<td>Consultant(s)</td>
<td>District</td>
<td>July 1989</td>
</tr>
<tr>
<td></td>
<td>Budget</td>
<td>Personnel</td>
<td></td>
</tr>
<tr>
<td>2. To appropriately codify all policies in order to assure uniform application.</td>
<td>DAP Obj. 5F</td>
<td>DAP Obj. 6S</td>
<td></td>
</tr>
</tbody>
</table>
Governance

Directive: 3.

The board of education and the superintendent should develop and implement procedures, communication vehicles and activities designed to strengthen their working relationship with the board of school estimate and the city council especially as it relates to the review of the district's annual budget requests.

Objective:

To improve relationships between municipal government and the board of education.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
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</thead>
<tbody>
<tr>
<td>1. Two members of the Board of School will attend Board of Education Meetings.</td>
<td>Board of School Estimate Members</td>
<td></td>
<td>Bi-monthly Board Meeting Sep 1988- Jul 1989</td>
</tr>
<tr>
<td>2. Board of Education will submit all appropriate budget materials in a timely and expeditious manner to the members of the Board of School Estimate.</td>
<td>School Budget Superintendent Board Secretary</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Meetings to carry out statutory functions shall be called with sufficient notice.</td>
<td>Board Secretary</td>
<td></td>
<td>Mar 1989</td>
</tr>
<tr>
<td>4. Board of Education agendas will be sent to the Mayor and members of the City Council.</td>
<td>Board Agenda Superintendent</td>
<td></td>
<td>On-going</td>
</tr>
<tr>
<td>5. All newsletters and other documents shall be sent to the Mayor and Members of the City Council.</td>
<td>Newsletters Director of Community Affairs</td>
<td></td>
<td>On-going</td>
</tr>
<tr>
<td>6. Invitations to all appropriate functions and activities of the schools shall be sent to the Mayor and members of the City Council.</td>
<td>DAF Obj. 118 Director of Community Affairs</td>
<td></td>
<td>On-going</td>
</tr>
</tbody>
</table>
Governance


The board of education and the superintendent must develop effective communication vehicles with parents and community members to ensure that accurate and timely information regarding the district is disseminated widely and frequently.

Objective:

By January 1989, task forces will complete their study, analysis, and planning as it relates to various components of the district. Each designated Task Force reports of activities, accomplishments and recommendations for implementation.

By February 1989, parent/community representatives will have greater involvement in the district’s activities.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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</thead>
<tbody>
<tr>
<td>1. Superintendent will continue to meet with presidents from the PTO/PTA to discuss the setting of district goals.</td>
<td>Level III Review Report Task Force Report DAP Obj. 11A.G</td>
<td>Superintendent PTO/PTA President</td>
<td>Oct-May 1989</td>
</tr>
<tr>
<td>2. A district newsletter with coverage of staff and students in the Orange Public Schools will be sent home to parents and residents.</td>
<td>Newsletter DAP Obj. 11B</td>
<td>Dir. C.H. P.H. Staff</td>
<td>Fall &amp; Spring</td>
</tr>
<tr>
<td>3. Each principal will send to parents: a. a monthly calendar b. a bi-yearly newsletter (1st and 3rd parent conferences)</td>
<td>Stamps DAP Obj. 11C</td>
<td>Principal</td>
<td>Nov. &amp; Apr.</td>
</tr>
<tr>
<td>4. Superintendent will develop a three year annual district plan and review it with appropriate professional and community groups.</td>
<td>DAP Obj. 11D</td>
<td>Superintendent</td>
<td>Oct-Dec.</td>
</tr>
<tr>
<td>5. Election Day will be set aside for “Open House” visitation for parents and community</td>
<td>DAP Obj. 11E</td>
<td>Principal Dist. C.A. Staff</td>
<td>Sep-Oct.</td>
</tr>
<tr>
<td>6. Principals will have an evening “Open House” with parents to share program information, etc.</td>
<td>DAP Obj. 11F</td>
<td>Principal Staff</td>
<td>Sep-Oct.</td>
</tr>
<tr>
<td>7. Involve parents in the learning process through participation in programs designed to help parents help their children.</td>
<td>Chap II Funding DAP Obj. 11G</td>
<td>Principal Dist. P.P.</td>
<td>Feb-Apr.</td>
</tr>
</tbody>
</table>
### Directive: 4, cont.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIELELNESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Expanded family math program.</td>
<td>Rutgers Consortium BSI Supervisor</td>
<td>for Education Equity</td>
<td></td>
</tr>
<tr>
<td>b. Public policy school course.</td>
<td>Institute for Citizens Involvement in Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Communicate through news media, churches, civic organizations, general public presentations, other formal/informal means of communications.</td>
<td>Superintendent Board</td>
<td>Dir. C.R.</td>
<td></td>
</tr>
</tbody>
</table>
Governance

Directive: 5.

The Board of Education and the superintendent must develop procedures and processes to solicit and encourage input from parents and members of the community and respond appropriately to their questions, concerns, and suggestions.

Objective:
To solicit and encourage input from parents and the community.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Superintendent will attend Back to School Night, as calendar permits, to meet with parents and listen to concerns.</td>
<td>Principals School Calendars DAP Obj. 11C</td>
<td>Superintendent Principals</td>
<td>Sept-Oct.</td>
</tr>
<tr>
<td>3. Superintendent requires all principals to submit parent sign-off sheets after principals have reviewed DAP with the parents.</td>
<td>DAP Obj. 11A.G</td>
<td>Principals Staff</td>
<td>Sep-Nov.</td>
</tr>
<tr>
<td>4. Superintendent sends to all schools for distribution all policies directly related to parents.</td>
<td>Board Policies</td>
<td>Superintendent Principals</td>
<td>On-going</td>
</tr>
<tr>
<td>5. Parent(s) will be part of the interview committee for principal opening at their respective school, where applicable.</td>
<td>Dir. Personnel Parent(s) Appropriate District</td>
<td></td>
<td>When needed</td>
</tr>
<tr>
<td>6. Parent representatives' participation in a committee for snow-day delayed school openings and/or early dismissal.</td>
<td>Superintendent</td>
<td>Dir. C.R. Committee</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>7. A curriculum fair, at one location, designed to show parents and community the programs and materials used by the district in the schools.</td>
<td>Superintendent ASAA Dir. C.R. Principals Supervisors Staff</td>
<td></td>
<td>Oct. 22, 1988</td>
</tr>
<tr>
<td>8. Summary of Board of Education meetings will be sent to principals, PTO/PTA Presidents, and community groups.</td>
<td></td>
<td>Dir. C.R.</td>
<td>Monthly</td>
</tr>
<tr>
<td>ACTIVITY</td>
<td>RESOURCES</td>
<td>STAFF</td>
<td>TIMELINESS</td>
</tr>
<tr>
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<td>------------</td>
</tr>
<tr>
<td>9. Board of Education workshop meetings, as well as meetings, are open to the public to express their concerns.</td>
<td>Board Agenda</td>
<td>Board of Education Superintendent</td>
<td>Monthly</td>
</tr>
<tr>
<td>10. Board minutes are open to public for review.</td>
<td>Board Minutes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Task Forces established by the superintendent will focus on areas of concern to the community and district.</td>
<td>DAP Obj. 11G</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Management


The superintendent and the Board of Education shall re-examine the newly adopted district organization.

Objective:

To re-examine the newly adopted district organization for purposes of clarifying areas of responsibilities by modifying some job titles, as well as duties and responsibilities of those titles.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Board of Education and the superintendent will review and the Board will approve a corrected table of organization. See Attachment A.</td>
<td></td>
<td>Superintendent</td>
<td>Aug. 23, 1988</td>
</tr>
<tr>
<td>a. Span of Control and responsibilities reduced for effective supervision.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Job titles changed to eliminate what appeared as overall areas of responsibilities.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The superintendent will submit to the County Superintendent a written explanation for the utilization of unrecognized titles. See Attachment B.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The superintendent will submit to the County Superintendent a written explanation for the utilization of unrecognized titles. See Attachment B.</td>
<td></td>
<td>Superintendent</td>
<td>Aug. 18, 1988</td>
</tr>
</tbody>
</table>
Management


The superintendent should assess the effectiveness of the various initiatives implemented during the transition period to determine which should be continued.

Objective:

To determine effectiveness of superintendent's initiative.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>One result of the task force reports was that the Board president will establish, in conjunction with the superintendent, three committees designed to monitor the district's progress toward its goals. See Attachment A.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Superintendent shall assign appropriate administrators to facilitate continuation or implementation of all Task Force recommendations.</td>
<td>ASAA</td>
<td></td>
<td>1988</td>
</tr>
<tr>
<td>Superintendent shall assign the director of community resources to take task force conclusions and recommendations and convert them into action plans for Board approval and administrative implementation.</td>
<td></td>
<td></td>
<td>Sep. 1988</td>
</tr>
</tbody>
</table>
Management

Directive: 3.

The process and procedures for supervision and evaluation of principals to be clarified. Procedures must be disseminated to all appropriate individuals and implemented consistently.

Objective:

To clarify processes and procedures for supervision and evaluation of principals; disseminate to appropriate individuals, and implement consistently.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Personnel Agreement 4117.2-Procedures and Guidelines for Administrator/Supervisor Performance Report) No less than two formal evaluation reports shall be made by superintendent this year.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A PIP will be developed and discussed with each principal as it relates to teacher observation/evaluation and PIP development.</td>
<td>DAP Forms</td>
<td>Superintendent</td>
<td>District</td>
</tr>
<tr>
<td></td>
<td>DAP Obj. 6</td>
<td>ASIA</td>
<td>Established</td>
</tr>
<tr>
<td></td>
<td>Activities A-F</td>
<td>Dir. Personnel</td>
<td>Timeliness</td>
</tr>
</tbody>
</table>
Management


The superintendent should identify the reasons for the high turnover rate of principals at the middle and high schools and develop a plan to stabilize the leadership in those two buildings.

Objective:

To identify the reasons for the high turnover of principals at the middle and high school, and develop a plan to stabilize the leadership in those two buildings.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determine the causal factors surrounding each building's unusual turnover, and make an assessment of whether they are &quot;unique&quot;, or &quot;common&quot;.</td>
<td>Personnel Files of M.S. &amp; H.S. 1974-1988</td>
<td>Dir. Personnel</td>
<td>Sep. 1 - Oct. 11, 1988</td>
</tr>
</tbody>
</table>
Management

Directive: 5.

Internal monitoring procedures must be developed and implemented to ensure consistency in the delivery of education programs and services and in the supervision of instruction.

Objective:

To monitor delivery of educational programs and services to ensure consistency.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
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</tr>
</thead>
<tbody>
<tr>
<td>The superintendent will establish an internal monitoring team consisting of those central office staff responsible for delivery of educational programs and services. See Attachments A, B.</td>
<td>DAP Obj. 10</td>
<td>Superintendent</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>a. District evaluation team.</td>
<td>DAP Obj. 10</td>
<td>Superintendent</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>b. Schedule of school visitations</td>
<td>DAP Obj. 125</td>
<td>ASAA</td>
<td></td>
</tr>
</tbody>
</table>
Management - Mobility


The superintendent shall direct that a study be conducted to determine the extent of the impact of student mobility on student achievement. If the results of the study demonstrate that the district's student mobility rate adversely affects student achievement, then the superintendent shall direct the appropriate changes be implemented in the educational program to ameliorate the impact.

Objective:

To determine whether student mobility impacts on student achievement and to develop educational programs to ameliorate the need if student achievement is adversely affected by mobility.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>utilizing school records information on transfers in and out of the</td>
<td>DAP Obj. 2E</td>
<td>Dir. R &amp; D</td>
<td>1988</td>
</tr>
<tr>
<td>district both public, private, and parochial school impact.</td>
<td></td>
<td>Dir. Special Project Supervisors</td>
<td></td>
</tr>
</tbody>
</table>

Analyze data to determine:

a. Number and percent functioning below MLP
b. Number and percent functioning
c. Achievement patterns by grade level.

If data supports perception that mobility impact on student achievement, organize a task force to address:

a. Ways to revise, adjust, modify educational programs to meet needs of this special population.
   - Research Findings
   - Parents (survey info)
   - Dir. R & D
   - Principals
   - Supervisors
   - Counselors
   - Feb. 1989

b. Ways to assist teachers to deal with this special population.

In addition, a study of the impact of student mobility on student achievement (HSPT grade 10 students) will be designed in cooperation with Research for Better Schools.

Office of Educational Research and Improvement

- Dir. R & D
- Guidance

a. The study will include:
   1. achievement
   2. attendance
   3. affective factors
   4. transfers between schools
   5. transfers in and out of district
   6. socio-economic status
Educational Programs

Directives: 1, 2.

1. The district must determine if the current upgraded organization at the elementary level continues to be appropriate to meet students needs.

2. If the district decides to maintain the ungraded organizational model, the philosophy, procedures and implementation guidelines must be clearly articulated to all administrators, teachers, support staff and parents.

Objectives:

1. Based on the conclusions of the Task Force Report and the conceptualization of I.G.I.P., the district shall develop procedures and guidelines to assure a consistent and comparable instructional organization in all school buildings.

2. To clarify the philosophy and procedures of the revised organizational model and to assure that implementation guidelines are clearly articulated to all staff.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
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<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review draft of IGIP philosophy presented by Superintendent IGIP (Attachment A)</td>
<td>DAP Obj. 2A</td>
<td>ASAA</td>
<td>Aug. 1988</td>
</tr>
<tr>
<td>ASAA will chair an appointed subcommittee from the Curriculum Steering Committee to:</td>
<td>Task Force Findings on Continuous Progress</td>
<td>ASAA Sub-Committee</td>
<td>Oct-Nov. 1988</td>
</tr>
<tr>
<td>a. Incorporate appropriate task force findings and determine how IGIP structure should be changed or modified. (Attachment B)</td>
<td>DAP Obj. 1T</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Committee will address the following:</td>
<td>DAP Obj. 2A</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Educational IGIP philosophy on which structure should be based.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Rationale</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Manner in which structure will operate.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Review ability grouping arrangements to determine whether other subject areas are to be incorporated.</td>
<td>J. Hopkins Univ. research on ability grouping and student achievement 1986.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Develop draft of IGIP revised philosophy.</td>
<td>DAP Obj. 2A</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Directives: 1, 2, cont.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Delineate the operation of the instructional organization process under the graded structure.</td>
<td>District Overview DAP Obj. 1E</td>
<td>Task Force</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>a. Develop specific procedures as to the diagnosis and placement of students according to grade and instructional level.</td>
<td></td>
<td>Promotion Policy</td>
<td></td>
</tr>
<tr>
<td>b. Assure that procedures correlate with the promotion policy.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review promotion policy and revise to assure consistency in terminology and compatibility with grade level (IGIP) organization.</td>
<td>DAP Obj. 2A(e)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Present final draft to Admin. council for review or revisions.</td>
<td></td>
<td>Superintendent, ASAA</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>Disseminate written program description to</td>
<td>DAP Obj. 2A</td>
<td>Principals</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>a. All Staff</td>
<td></td>
<td>Directors</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>b. School PTO/PTA</td>
<td>DAP Obj. 11A</td>
<td>Principals</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>c. Sign off by staff to obtain feedback and make revisions where necessary</td>
<td></td>
<td>Directors</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>Submit final proposal for Board approval.</td>
<td></td>
<td>Superintendent</td>
<td>Jan. 1989</td>
</tr>
<tr>
<td>Provide in-service to assure consistency in implementation. DAP Obj. 2A,a</td>
<td></td>
<td>Principals</td>
<td>Jan. -</td>
</tr>
<tr>
<td>Implement new program plan with appropriate monitoring of components by means of check list.</td>
<td></td>
<td>Staff</td>
<td>Aug. 1989</td>
</tr>
<tr>
<td>Develop questionnaire to obtain feedback about the newly developed organization and procedures from appropriate groups, analyze and make adjustments as deemed appropriate.</td>
<td></td>
<td>ASAA</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Directors</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Supervisors</td>
<td></td>
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</tbody>
</table>
Educational Programs - Report Cards

Directive: 5.

The directive shall revise the current elementary and middle school progress report in order to insure that the report provides clear reporting record of the student's growth and development to parents and guardians.

Objective:

To revise the elementary and middle school report card to reflect more accurately students' growth and development to parents and guardians. Develop an interim progress report.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
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<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revise elementary and middle school report cards. - Develop an interim progress report.</td>
<td>Current District Report Card DAP Obj. 2A(b,c)</td>
<td>Task Force ASAA Administrators Staff</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>Board Approval</td>
<td></td>
<td>Board</td>
<td>May 1989</td>
</tr>
<tr>
<td>Provide teacher in-service in use of new reporting system and procedures.</td>
<td>DAP Obj. 2A(a)</td>
<td>Principal Teachers</td>
<td>Sep. 1989</td>
</tr>
</tbody>
</table>
Educational Program - Staff Responsibilities

Directives: 1, 2.

The Board shall revise the district’s organizational chart and/or written job description in order to bring about a congruency between the documents, as well as to reflect the current, functional working relationship, within the district.

Objective:

To establish a clear line of authority for all administrative positions.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board of Education and the superintendent’s central office reorganization (Attachment A).</td>
<td>Table of Organization Job</td>
<td>Board of Education Superintendent</td>
<td>Aug. 1988</td>
</tr>
</tbody>
</table>
Educational Programs - Curriculum Development and Implementation - Requisitions


A long range plan containing a five year schedule and procedures for evaluation and improvement of all curriculum and educational services shall be developed and implemented. The plan shall include evaluation activities designed to objectively measure the effectiveness of the existing curriculum prior to revision/development of the curriculum documents.

Objective:

To develop a model and a three year schedule and procedures for evaluation and improvement of all curriculum and educational services.

| ACTIVITY |
| RESOURCES |
| STAFF |
| TIMELINESS |

ASAA will develop a model and plan with specific procedures DAP Obj. 2A, C and timelines for a comprehensive curriculum review over a three year period.

a. The plan will include the following phases:

1. review and planning
2. program development
3. implementation and support
4. evaluation - this model will incorporate appropriate instruments of measurement

b. All existing curriculum will be assessed prior to revision/development of curriculum documents.

Priorities will be established with specific procedures and timelines for revision and development of curriculum based on assessment findings, annual plan and Level III directives. This shall include:

a. Curriculum Guides
b. HSPT Skill Correlations
c. Monitoring of Instruction
d. Incorporate number of credits for each BS course.
e. Other appropriate items.

Provide In-service as follows:

a. Review goals/activities addressed in review/development phase.
Directives 1, cont.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>b. Define terminology to be used in curriculum format.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify curriculum to be developed and written with specific guidelines and timelines.</td>
<td>RCSU</td>
<td>Supervisors</td>
<td>Aug. - Sep. 1989</td>
</tr>
<tr>
<td>Write curriculum based on assessment, research, Level III recommendations.</td>
<td>Other Districts</td>
<td>Staff</td>
<td></td>
</tr>
<tr>
<td>a. Use Level III format recommendations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Distribute curriculum</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implement curriculum</td>
<td>Curriculum</td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td>a. Provide In-service for new curriculum.</td>
<td>DAP Obj. 2A, B</td>
<td>Staff</td>
<td></td>
</tr>
<tr>
<td>b. Hold meetings to obtain feedback and clarity as needed.</td>
<td></td>
<td>ASAA</td>
<td>Sep. - June 1989</td>
</tr>
<tr>
<td>c. Monitor classroom instruction for implementation, monthly.</td>
<td></td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Supervisors</td>
<td></td>
</tr>
<tr>
<td>Evaluate curriculum and delivery of service semi-annually.</td>
<td>DAP Obj. 1U</td>
<td>ASAA</td>
<td>July 1990</td>
</tr>
<tr>
<td></td>
<td>DAP Obj. 6E</td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Supervisors</td>
<td></td>
</tr>
<tr>
<td>a. Design an evaluation model</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. select instrumet</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. develop instrument</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. develop plan for data collection</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Collect data</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Analyze data</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Make recommendations based on findings</td>
<td></td>
<td>Supervisors</td>
<td>Apr. 1991</td>
</tr>
<tr>
<td>e. Incorporate changes in curriculum and program</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff in-service re: modification in curriculum</td>
<td>Principals</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Staff</td>
<td>Sep. 1991</td>
<td></td>
</tr>
</tbody>
</table>
Educational Programs – Curriculum Development and Implementation

Directives: 2, 3.

1. (2) In revising/developing new curriculum guides, the district shall use a presentation format as is evident in the newly revised guides, which includes the concept, objective, text-resources, evaluation procedures activities, and HSPT/CAT skills correlations. Consideration shall be given to expanding the form to include an indication of monitoring the instruction per objective. Revised curriculum documents at high school level shall include the number of credits awarded for the course.

2. (3) Prior to curriculum revision/development activities, in-service designed to bring about a consistent understanding of the goals of the curriculum documents revisions/development, as well as the terminology (concept objective, etc.) to be used therein shall be given to the staff members involved in the activities.

Objective:

1. Revise and develop new curriculum guides and appropriate evaluation and analysis.
2. Develop in-service activities for implementation of consistent implementation of curriculum.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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<th>TIMELINESS</th>
</tr>
</thead>
</table>

These directives and objectives are addressed in Curriculum Development and Implementation (Educational Program of CAP relating Directive 1, p. 34).
Educational Programs


A review shall be conducted of the district's current use of position of district coordinator.

Objective:

Redefine job responsibilities of district supervisors per district reorganization and educational philosophy.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Establish K-12 content area specialist position:</td>
<td>Job Description</td>
<td>Superintendent</td>
<td>Aug. 1988</td>
</tr>
</tbody>
</table>

(See Attachment A)
**Educational Programs**

**Directive: 5.**

The district shall revise its procedures for involving staff members in the revision/development of curriculum guides to expand the number of staff members actively participating in the curriculum revision/development. Alternative methods may include year long curriculum development activities as opposed to, or in addition to, summer curriculum work. The revised procedures shall include methods designed to assure the input of those individuals responsible for monitoring the implementation of the curriculum.

**Objective:**

To expand the number of staff members involved in curriculum development by providing alternative times during the year for curriculum development.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisors will develop a plan for comprehensive curriculum development utilizing consultants and administrative staff. This plan will include specific guidelines and timelines.</td>
<td>DAP Obj. 2A, B</td>
<td>Supervisors</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>- ASAA will approve plan.</td>
<td></td>
<td>Supervisors</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>July 1989</td>
</tr>
</tbody>
</table>

The district must act on the recommendations regarding the selection of textbooks for elementary science and social studies. Inservice activities regarding the use of the new texts should be conducted beginning early in the academic year to assure consistency in the use of the text.

Objective:

To provide social studies and science texts in order to assure that there is a more consistent and uniform implementation of the curriculum.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchase social studies, science and health texts for grades 1-6, after staff has reviewed and made recommendations.</td>
<td>Text scope and Sequence</td>
<td>Supervisors</td>
<td>Mar-Aug. 1988</td>
</tr>
<tr>
<td>Develop guidelines for utilization of new science text.</td>
<td>Text scope and Sequence</td>
<td>Supervisors</td>
<td>July 1988</td>
</tr>
<tr>
<td>Develop guidelines for utilization of new social studies text.</td>
<td>Text scope and Sequence</td>
<td>Supervisors</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td>Develop guidelines for utilization of new health text.</td>
<td>Text scope and Sequence</td>
<td>Supervisors</td>
<td>Oct-Nov. 1988</td>
</tr>
<tr>
<td>Highlight CAT objectives in teachers edition.</td>
<td>CAT Objectives</td>
<td>Staff</td>
<td></td>
</tr>
<tr>
<td>Provide inservice for the utilization of new text and strategies for incorporating CAT objectives.</td>
<td>Text Consultants</td>
<td>Principals</td>
<td>Sep-Nov-Jan</td>
</tr>
<tr>
<td>Establish system for monitoring implementation.</td>
<td></td>
<td>Supervisors</td>
<td>On-going</td>
</tr>
<tr>
<td>a. Provide unit test results at the end of each report period.</td>
<td></td>
<td>Staff</td>
<td></td>
</tr>
<tr>
<td>b. Monthly school visits.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analyze test results and determine need comparing 1988 through 1990 results.</td>
<td>CAT-Social</td>
<td>Supervisors</td>
<td>June 89-90</td>
</tr>
</tbody>
</table>
Directive: 1, 2.

While maintaining the district's current practice of using standardized test results to identify individual student's needs, an expanded analysis of the results of all district standardized tests shall be conducted on a yearly basis to determine the district-wide area(s) of greatest student need.

Once identified, an action plan shall be devised which focuses the district's resources, i.e., inservice training, technical assistance, use of instructional materials, upon improving the identified need(s).

Objective:

To expand the analysis of standardized test results and determine district-wide student needs and develop a plan to address these needs.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>An analysis of district standardized tests will be conducted to determine district-wide areas of greatest student academic needs in the following subjects:</td>
<td>CAT/HSPT</td>
<td>ASAA/ Dir. R.O. Supervisors</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Reading/Writing</td>
<td>DAP Obj. 1</td>
<td>Supervisors</td>
<td></td>
</tr>
<tr>
<td>Mathematics</td>
<td>DAP Obj. 2P</td>
<td>Staff</td>
<td></td>
</tr>
<tr>
<td>Science</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Social Studies</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Analysis will be shared with district staff via staff meetings and published reports or findings.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The supervisors and representative staff will review texts and guides to determine if there is alignment with CAT.</td>
<td>Current Texts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Recommend alternatives and adjustments according to findings.</td>
<td>District Guides</td>
<td>Dept. Chair</td>
<td></td>
</tr>
<tr>
<td>Conduct district-wide inservice on half days provided for in the district's calendar.</td>
<td>RCSU</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Evaluate effectiveness of each workshop.</td>
<td>DAP Obj. 1B, I</td>
<td>Supervisors</td>
<td></td>
</tr>
<tr>
<td>b. Make recommendations for future planning.</td>
<td>DAP Obj. 2H</td>
<td>Staff</td>
<td></td>
</tr>
<tr>
<td>Evaluate April CAT results to determine growth and deficiencies.</td>
<td>CAT Results</td>
<td>ASAA/ Dir. R.O. Supervisors</td>
<td>June 1988</td>
</tr>
</tbody>
</table>
Directive: 3.

The superintendent shall develop a district-wide system for monitoring of classroom instruction to ensure that continuous, focused instructional attention is directed toward improving student achievement in the district wide area(s) of greatest student academic need identified through analysis of standardized test results.

Objective:

To develop a district-wide system of monitoring class instruction to ensure that continuous focused instructional attention is directed toward improving student achievement in district-wide academic deficiencies.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The ASAA will provide inservice to utilize the Class II management system in math and reading more effectively (K-8).</td>
<td>Consultants</td>
<td>ASAA, Principals, Aides</td>
<td>June-Oct. 1988</td>
</tr>
<tr>
<td>Conduct school meetings for new staff and provide review training for experienced staff to understand purpose of management system.</td>
<td>Class II Data Sheets</td>
<td>Principal</td>
<td>Sep-Oct. 1988</td>
</tr>
</tbody>
</table>

Objective Summary Report at the end of chapter/unit tests will be:

a. Test results will be scored within a 2-3 day period.
   - DAP Obj. 18.1
b. Reviewed by principal and teacher to determine remediation/reteaching/rate of learning adjustment.
   - DAP Obj. 18-1
b. OSRs are to be dated by the principal with appropriate comments and recommendations.
   - DAP Obj. 11-1
b. Principal and teacher are to maintain this data in their class records for the year.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAT/HSPT reinforcement will occur in all disciplines, grades 7-12.</td>
<td>CAT/HSPT Objectives, Plan Books</td>
<td>Principals, Teachers</td>
<td></td>
</tr>
<tr>
<td>All staff will have a listing of CAT/HSPT objectives and will specify in their plan books where and when they are taught.</td>
<td>DAP Obj. 28</td>
<td>Principals, Supervisors, Teachers</td>
<td></td>
</tr>
<tr>
<td>Above documentation will be available when teachers are observed.</td>
<td>DAP Obj. 1,1,3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Teachers Edition in grades 1-6, will be highlighted with CAT/HSPT objectives.</td>
<td></td>
<td></td>
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</tbody>
</table>

All students will receive a minimum of 2 weeks intensified review of CAT/HSPT objectives prior to testing dates.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
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<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAT/HSPT Objectives</td>
<td></td>
<td>Teachers</td>
<td></td>
</tr>
<tr>
<td>DAP Obj. 1, J4</td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>
Directive: 3, cont.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisors will monitor the implementation process with visits to schools.</td>
<td></td>
<td>Supervisors</td>
<td></td>
</tr>
<tr>
<td>ASAA and directors will monitor implementation of activities.</td>
<td>District Forms</td>
<td>ASAA</td>
<td>Nov, Jan,</td>
</tr>
<tr>
<td></td>
<td>DAP Obj. 1U</td>
<td>Directors</td>
<td>Apr, 1988-1989</td>
</tr>
</tbody>
</table>
Educational Programs - Staff Development - DAP Obj. 6E


The district shall develop and implement a staff development program with meaningful input from teachers and administrators, designed to expand the district staff awareness of new teaching techniques aimed at enhancing student's learning. The program shall identify the mechanism to insure the utilization of techniques in the daily instructional program.

The superintendent must ensure that the staff inservice meets the needs of teaching staff members by conducting a needs assessment including staff members in the design and planning of the inservice program offerings.

Objective:

To develop and implement a staff development program with meaningful input from all staff designed to improve teaching techniques and instruction.

To ensure that staff inservice programs are perceived as meeting the needs of teaching staff members and they are included in the design and planning of inservice offerings.

Develop broad based staff development program beyond staff inservice.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual needs assessment will be made to determine staff/administrative inservice needs.</td>
<td>Survey Sheets</td>
<td>ASAA, Principals, Directors, Supervisors</td>
<td>Mar-Apr. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Prioritize results of needs assessment.</td>
<td></td>
<td>Staff, Supervisors</td>
<td></td>
</tr>
<tr>
<td>ASAA will generate a detailed inservice schedule which reflects the needs assessment and disseminate to district staff.</td>
<td>DAP Obj. 7B</td>
<td>ASAA, Supervisors</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Time will be provided during the regular workday to address staff development.</td>
<td></td>
<td>ASAA, Principals, Directors</td>
<td>On-going</td>
</tr>
<tr>
<td>ASAA will disseminate information on workshops for professional growth days.</td>
<td>District Forms</td>
<td>ASAA</td>
<td>Sep-June 1988</td>
</tr>
<tr>
<td>RCSU</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RPBS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Explore models for expanding staff development.</td>
<td>RAP</td>
<td>Superintendent, ASAA</td>
<td>Nov-Feb. 1989</td>
</tr>
<tr>
<td>a. Utilize services of a staff development consultant.</td>
<td></td>
<td>Principals, Directors, Supervisors</td>
<td></td>
</tr>
<tr>
<td>b. Budget for staff development</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASAA will coordinate inservice with curriculum and instructional needs.</td>
<td>DAP Obj. 7B</td>
<td>ASAA</td>
<td>Sep-June 1988</td>
</tr>
<tr>
<td>Specific procedure and evaluation instruments will be developed and implemented to evaluate relevancy/effectiveness of inservice programs.</td>
<td>DAP Obj. 7C</td>
<td>Superintendent ASAA</td>
<td>Nov-June 1989</td>
</tr>
<tr>
<td>The criteria and mechanism for identifying year long teacher needs and type of assistance needed will be utilized by supervisors in helping teachers to improve instruction.</td>
<td>Criteria Approved by Adm. Council DAP Obj. 7A,C</td>
<td>Superintendent ASAA Principals Supervisors Teachers</td>
<td>Sep-May 1989</td>
</tr>
<tr>
<td>Guidelines will be developed for administrator's incentives to further develop their professional growth - college courses, workshops, conferences and research.</td>
<td>DAP Obj. UD</td>
<td>Superintendent ASAA Principals Directors Supervisors</td>
<td>Jan. 1989</td>
</tr>
</tbody>
</table>
Eduational Programs - Analysis of Basic Skills Delivery

Directive:

The superintendent shall conduct a review of the district's current method for providing basic skills improvement services. The review shall include but, not limited to, the manner in which the remedial program is designed, managed, operated and evaluated.

Objective:

To review and restructure BSI organization and instructional program to maximize delivery of services.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Newly appointed Director of Funding and the supervisor of basic skills will provide specific recommendations for the delivery of basic skills services.</td>
<td>BSI App. 1988-1989</td>
<td>Dir. P.P. BSI Supervisor</td>
<td>Sep-May 1989</td>
</tr>
<tr>
<td>Development of 1989-1990 BSI proposal incorporating approved recommendations</td>
<td>DAP Obj. 1 Activity 0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Program Deficiencies


This district should review and evaluate the goals, objectives and activities of the 1987-88 annual plan to determine which should be carried over into 1988-89.

Objective:

To assure that all deficiencies identified in Level III Review Report are addressed in the new District Annual Plan (DAP) for 1988-91. Appropriate objective and activities of the 1987-88 plan shall be included.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Adm. Staff</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Preliminary 1988-91 District Annual Plan (DAP) was submitted to County Office for review.</td>
<td>DAP 1988-89</td>
<td>Superintendent</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Adm. Staff</td>
<td>Community</td>
</tr>
</tbody>
</table>
Program Deficiencies


The district must develop a facility plan to eliminate the adverse impact of substandard facilities on the educational program.

Objective:

To comply with Level III directives to eliminate facilities deficiencies.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>See facilities CAP section.</td>
<td>DAP Obj. 12</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Directives: 1 and 2

Directive: 3.

The implementation of the ungraded, continuous progress organization, if retained, must be continually monitored to ensure consistency between the various schools.

Objective:

To assure that the recommended IGIP organizational model is continually monitored to ensure consistency among the various schools.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The principal will continue to monitor school programs as stipulated in the Annual Plan with specific attention to the following:</td>
<td>DAP Obj. 1H1-5</td>
<td>Principals</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>a. Placement of students in ability groupings for reading and math.</td>
<td>L,M,V</td>
<td>Teachers</td>
<td>June 1989</td>
</tr>
<tr>
<td>b. Utilizing the Holt Management System to track student progress.</td>
<td>DAP Obj. 1E</td>
<td>Principals</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Supervisors</td>
<td></td>
<td>Supervisors</td>
<td>June 1989</td>
</tr>
<tr>
<td>c. Conferencing with teachers regarding student deficiencies within a 2-3 day period of completion of each chapter/unit.</td>
<td>DAP Obj. 1E2</td>
<td>Principals</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>d. Class II test results will be kept on file by principal and teachers.</td>
<td></td>
<td>Teachers</td>
<td>June 1989</td>
</tr>
</tbody>
</table>

Supervisors will review all teacher schedules in their subject areas for the following:

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Subject time allotment - all subject areas.</td>
<td>DAP Obj. 1E</td>
<td>Principals</td>
<td>Sep/Oct. 1988</td>
</tr>
<tr>
<td>b. Number of ability groups in reading/math.</td>
<td></td>
<td>Supervisors</td>
<td></td>
</tr>
<tr>
<td>c. Teacher assignments.</td>
<td></td>
<td>Administrators</td>
<td></td>
</tr>
</tbody>
</table>

Adjustments will be made based on supervisor’s recommendations.

Ass’t Superintendent and directors as a team will conduct a comprehensive monitoring in Nov., Jan., and April.

Subject area supervisors will work closely with principals and teachers to assure that program is being implemented according to curriculum guidelines.
Upon completion of procedural manual inservice will be provided to assure that guidelines are being followed.

A follow-up workshop will be conducted in February.

Utilize questionnaire developed by committee to ascertain perceptions of program.

Analyze questionnaires and adjust program according to results.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upon completion of procedural manual inservice will be provided to assure that guidelines are being followed.</td>
<td>DAP Obj. 2A,D</td>
<td>All Staff</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>A follow-up workshop will be conducted in February.</td>
<td>DAP Obj. 2A</td>
<td>All Staff</td>
<td>Feb. 1989</td>
</tr>
<tr>
<td>Utilize questionnaire developed by committee to ascertain perceptions of program.</td>
<td>DAP Obj. 2A</td>
<td>All Staff</td>
<td>May 1989</td>
</tr>
<tr>
<td>Analyze questionnaires and adjust program according to results.</td>
<td></td>
<td></td>
<td>June 1989</td>
</tr>
</tbody>
</table>
Progran Deficiencies

Directives: 1, 2.

The district must ensure that the scope and sequence of skills in the reading and mathematics textbook series as well as in the district's appropriate curriculum guides are appropriately aligned to the skills assessed by the district's standardized tests.

Objective:

As part of the Curriculum Review Cycle, the reading and mathematics curriculum (K-12) will be reviewed and provisions will be made to ensure that both texts and guides are aligned to the skills assessed by district's standardized tests.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Representative staff (K-12) under the supervision of the L.A. &amp; Math Supervisors will review all text and guides (K-12) to determine if there is misalignment with district's standardized tests.</td>
<td>C.A.T.'s, H.S.P.T., Skills Array, Holt Text, Curri. Guides, DAP Obj. 1,1,5, DAP Obj. 2H</td>
<td>L.A. &amp; Math Supervisor, Principals, Teachers, Dept. Heads</td>
<td>Sep. 1988, Oct. 1988</td>
</tr>
<tr>
<td>a. Develop reference sheets or utilize already developed cross check reference sheets to determine whether there is a lack of match between designated curriculum content in texts, guides and tests.</td>
<td>Fenwick English or RCSU model</td>
<td>Supervisors &amp; Principals, Teachers, Dept. Heads</td>
<td>Nov-Dec. 1988, Dec-Jan. 1988</td>
</tr>
<tr>
<td>b. Collect data.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Make adjustments as required per recommendations.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Publish materials for all teachers.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Provide training for principals and teachers.</td>
<td>Supervisors, Principals, Teachers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>g. Monitor according to timelines.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Highlight all teacher's editions skills with CAT/HSPT in reading, math, science and social studies.</td>
<td>Principal, Supervisors, Staff</td>
<td></td>
<td>Sep-June 1989</td>
</tr>
</tbody>
</table>
Program Deficiencies


The district must develop and implement an internal monitoring system to ensure consistency in the provisions of the basic skills remedial programs and services.

Objective:

To assure that principals and central office personnel are monitoring schools for consistency in remedial services and programs.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>As a transition year, the ASAA and the Director of FD will meet with the principals to review BSI proposal.</td>
<td>ASAA</td>
<td>Principals</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td>Basic skills supervisor and facilitator will provide orientation for all BSI staff members and aides.</td>
<td>BSI Supervisor</td>
<td>Facilitators</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td>Basic skills supervisor will review monitoring system with DAP Obj. 1H principals at the administrative council meeting.</td>
<td>ASAA</td>
<td>Principals</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>ASAA, directors and supervisors will monitor.</td>
<td>District Forms</td>
<td>Directors</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>Follow-up sessions will be scheduled throughout the year for feedback and adjustments in the program.</td>
<td>ASAA</td>
<td>Principals</td>
<td>Jan-Apr. 1989</td>
</tr>
</tbody>
</table>
Program Deficiencies


The district must develop and implement a facilities plan to eliminate multiple classes being taught in common location and improve the learning environment for students and teachers.

Objective:

See response on facilities Level III directive and objective.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
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</thead>
<tbody>
<tr>
<td>See facilities task responses.</td>
<td>DAP Obj. 12</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Program Deficiencies


The district shall review the use of the Holt Management System and the instructional pacing requirements to ensure their compatibility with each other and with the instructional level organization (continuous progress). Supervision of instruction activities should focus on ensuring district-wide consistency in the use of the management system.

Objective:

To review the Holt Management System and pacing requirements for compatibility and to ensure that there is consistency in implementation of the system.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Supervisors</td>
<td>Aug. 30, 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Aide Operators</td>
<td>Sep. 15, 1988</td>
</tr>
<tr>
<td>Conduct school meetings for new staff and review training for experienced staff to understand the purpose of the management system:</td>
<td>I.W.S. Pact Sheet</td>
<td>Teachers</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td>a. To provide information about pupil progress.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. To assist in planning more effective instruction and guide decision making.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Principal will update all Class II files for generating pupil progress information.</td>
<td>Class II Files DAP Obj. 1E</td>
<td>Principals</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Computer Operators</td>
<td></td>
</tr>
<tr>
<td>Principals will monitor pacing timelines and student progress in math and reading utilizing the Class II computer system as follows:</td>
<td>Class II Obj. Summary DAP Obj. 1E,1,2,3</td>
<td>Principals</td>
<td>Sep 1988- June 1989</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Teachers</td>
<td></td>
</tr>
<tr>
<td>a. Review class computerized results at the completion of chapters/unit.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Identify weak areas and conference with teachers regarding remediation and reteaching within a 2-3 day period.</td>
<td>Monitoring Chart</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Assure that regrouping of students occurs when indicated by test results.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Copies of class summary objective results are to be kept on file by principals and teachers.</td>
<td>Class II Obj. Summary DAP Obj. 1E,3</td>
<td>Principals</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Teachers</td>
<td>June 1989</td>
</tr>
<tr>
<td>Cumulative summaries of objectives mastered are to be available at each monitoring period.</td>
<td>Class II Cumulative Obj. Summary DAP Obj. 10</td>
<td>Principals</td>
<td></td>
</tr>
</tbody>
</table>
Directive: 1, cont.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ass't Superintendent and the District Evaluation Team (DET) will monitor</td>
<td>ASAA</td>
<td>Evaluation Team</td>
<td></td>
</tr>
<tr>
<td>three times a year and make appropriate written recommendations each</td>
<td>DAP Obj. 125, U</td>
<td>DET</td>
<td></td>
</tr>
<tr>
<td>time to principals and Superintendent.</td>
<td>DAP Obj. 62</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Results of 1988 and 1989 school objective summaries will be reviewed to</td>
<td>Class II School</td>
<td>Supervisors</td>
<td>May 1989</td>
</tr>
<tr>
<td>determine whether there has been growth over the previous year in</td>
<td>Summaries</td>
<td>Directors</td>
<td></td>
</tr>
<tr>
<td>objectives mastered.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C.A.T. results will be reviewed to determine whether the H.M.S. has</td>
<td>C.A.T. results</td>
<td>Supervisors</td>
<td>May 1989</td>
</tr>
<tr>
<td>been effective in improving test scores.</td>
<td>DAP Obj. 1C,D</td>
<td>Directors</td>
<td></td>
</tr>
<tr>
<td>Recommendations will be made for modification, continuation or</td>
<td></td>
<td>ASAA</td>
<td>June 1989</td>
</tr>
<tr>
<td>elimination of the Holt Management System.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Program Deficiencies

Directive: 1, cont.

The superintendent must ensure the timelines in the district’s comprehensive plan for the observation and evaluation of teaching staff members are adhered to throughout the district.

Objective:

To ensure the timelines of the district’s comprehensive plan for the observation and evaluation of teaching staff members are adhered to throughout the district.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principals shall strictly adhere to the District’s Attendance Plan/Procedures.</td>
<td>D.A.P. Forms</td>
<td>Principal</td>
<td>Oct. 15</td>
</tr>
<tr>
<td>All supervisory personnel will use the observation, evaluation management schedules as per policy timelines.</td>
<td>Policy &amp; Forms</td>
<td>Personnel Dept.</td>
<td>Oct-June</td>
</tr>
<tr>
<td>Personnel Department will have all principals who are chronically late in adhering to observations, evaluations, timelines, submit a detailed schedule for observations/evaluations.</td>
<td>Policy &amp; Forms</td>
<td>Personnel Dept.</td>
<td>Oct-June</td>
</tr>
<tr>
<td>a. Schedules will identify specific weeks, names of all staff that are to be observed/evaluated and by whom.</td>
<td>DAP Obj. 6D(a)</td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td>b. Administrators delinquent with observation evaluations will have it noted in their evaluations/PIP’s.</td>
<td></td>
<td>Superintendent</td>
<td></td>
</tr>
</tbody>
</table>
Program Deficiencies


The superintendent or his designee must determine the district's staffing needs, decide on teacher assignments, and notify transfers in a timely fashion.


The superintendent must ensure that staff vacancies are filled as expeditiously as possible to avoid impacting the educational program.

Objective:

To ensure sufficient time for staff members to prepare for new assignments and fill staff vacancies expeditiously.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey of immediate and long range staffing needs to be conducted.</td>
<td>Principals</td>
<td>On-going</td>
<td></td>
</tr>
<tr>
<td>Immediate recruitment mechanics implemented.</td>
<td>Newspapers, Colleges</td>
<td>Dir. Personnel</td>
<td></td>
</tr>
<tr>
<td>Assignments of new staff and reassignment will be made so that sufficient time is given for staff preparation.</td>
<td>Dir. Personnel</td>
<td>As Needed</td>
<td></td>
</tr>
</tbody>
</table>
The district must submit documentation of a formal schedule for internal monitoring of the basic skills program and a formal monitoring instrument for reporting compliance or non-compliance with federal and state statutes and codes. Documentation of monitoring must be maintained for compliance reviews by the Department of Education.

Objective:

To provide a formal internal monitoring to ensure compliance with federal and state statutes and codes.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The newly appointed Basic Skills supervisor will develop a comprehensive plan for monitoring timelines. Facilitators will be included in the plan to assist in the monitoring process.</td>
<td>County Offices, DAP Obj. 1H, 6, U</td>
<td>BSI Supervisor, BSI Facilitator</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td>a. The district will use the BSI instrument to monitor compliance.</td>
<td>DAP Obj. 1H</td>
<td>Principals, BSI Supervisor</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td>b. Basic Skills supervisor will disseminate monitoring schedules to principals.</td>
<td>Monitoring Schedule</td>
<td>Director F.P., BSI Supervisor</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td>The schedule or plan will be submitted to the Director of Funded Programs for approval.</td>
<td>Monitoring Schedule</td>
<td>BSI Supervisor</td>
<td>Sep-Oct. 1988</td>
</tr>
</tbody>
</table>
Basic Skills - General Assessment


The district must develop and implement a plan for the internal monitoring of the basic skills program K-12 in a systematic manner by local and central administrative staff.

Objective:

To assure that supplementary services are being provided to all basic skills students with consistency in each school.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basic Skills Supervisor will review each school plan for servicing BSI students to assure that remedial service is not supplanting the developmental service.</td>
<td>DAP Obj. 1A, 1H, 1U</td>
<td>Dir. F.P. BSI Supervisor Facilitator</td>
<td>Sep. 1984</td>
</tr>
<tr>
<td>a. Where necessary principals will be directed to adjust program according to proposal description.</td>
<td></td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td>Basic Skills Supervisor will monitor to assure that violations do not occur by checking SCE data reports observing programs implementation and check BSI monitoring instrument.</td>
<td>DAP Obj. 1, P</td>
<td>BSI Supervisor</td>
<td>Sep-June 1984</td>
</tr>
<tr>
<td></td>
<td>DAP Obj. G1-2</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>DAP Obj. H, U</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Basic Skills Supervisor will submit written reports of programming status quarterly to Dir. of F.P. and ASAA.</td>
<td></td>
<td>ASAA Dir. F.P. BSI Supervisor</td>
<td></td>
</tr>
</tbody>
</table>
Basic Skills - Eligibility and Participation List

Directive: 3.

The district must compile a central listing of eligible and participating basic skills students, including LEP students, for submission to the department.

Objective:

To assure that all eligible and participating basic skills students lists are located in central office.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The newly appointed Basic Skills Supervisor will be</td>
<td>Eligibility &amp;</td>
<td>Dir. F.P.</td>
<td>Sep 1988 -</td>
</tr>
<tr>
<td>responsible for compiling a central list of all</td>
<td>Participating</td>
<td>BSI Supervisor</td>
<td>June 1989</td>
</tr>
<tr>
<td>eligible and participating basic skills students,</td>
<td>List of BSI</td>
<td>Facilitator</td>
<td></td>
</tr>
<tr>
<td>including LEP students.</td>
<td>Students</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>DAP Obj. 1F</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- The bilingual supervisor will work cooperatively to assure that information is available.

Director of Funded Programs will supervise this process through reviewing, monitoring and approving reports. DAP Obj. 1H, U Dir. F.P.

The district must submit a justification for the expenditure of basic skills funds for the proration of district supervisors salaries with S.C.E. funds.

Objective:

To correct past district organizational structure which included the utilization of district coordinators and pro-ration of salaries.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>In reviewing the use of district supervisors it was determined that the staffing organization did not address the best way to service the BSI Program. Management was fragmented.</td>
<td>Board Review</td>
<td>Supervisors</td>
<td>June 1988</td>
</tr>
<tr>
<td>A new organizational structure identifies one supervisor to coordinate the function of the BSI program under the supervision of the Director of Funded Programs.</td>
<td>Dir. P.P.</td>
<td>BSI Supervisor</td>
<td>Appointed</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Facilitator</td>
<td>Aug. 1988</td>
</tr>
</tbody>
</table>
Directive: 5.

The district must submit documentation to substantiate the proration of all central office supervisors and procedures for calculating the proration levels.

Objective:

To provide documentation for prorating supervisors salaries.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>State considered district’s documentation inadequate. The district has instituted the following:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. The district will no longer use prorated supervisors.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Documentation of 1987-88 use of supervisors' time in being gathered through reports, teacher evaluation, anecdotal records.</td>
<td>Supervisors</td>
<td>Dir. F.P.</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>BSI Supervisor</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Facilitator</td>
<td></td>
</tr>
<tr>
<td>Time sheets will be kept for secretarial staff working in more than one project.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Basic Skills Services For All Students Below N.L.P.

Directive: Basic Data.

The district must submit assurances to the S.E.A., that instructional S.C.E. services will be delivered to all students below state standards.

Objective:

To assure that S.C.E. services will be delivered to all K-2 students below the N.L.P. through appropriately assigned personnel.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central Office has assigned specific S.C.E. instructional aides to service basic skills students in grades K-2, under supervision of the classroom teacher.</td>
<td>Computerized Master List DAP Obj. 1P</td>
<td>Principals Dir. Personnel</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>BSI Supervisor will monitor use of personnel throughout the year.</td>
<td>Staffing Sheet Aides Schedules</td>
<td>BSI Supervisor Dir. P.P.</td>
<td>Sep. 1988 June 1989</td>
</tr>
<tr>
<td>State Monitoring Form On Site Visits DAP Obj. 1G1-2, B, U</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Basic Skills - Program Starting Date

Directive:

The district must submit a clarification for delay in providing BSI remedial services to identified students until Oct. 1, 1987.

Objective:

To clarify why some schools were late on delivery of services.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clarification report will indicate that instructional delays were due to illness of one staff member in Central School and the resignation of staff member at Forest.</td>
<td>Report</td>
<td>BSI Supervisor</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>All students, including newly enrolled shall be properly placed in compensatory programs by September 30.</td>
<td>CMY/KSPT Results DAP Obj. IP</td>
<td>Principals Dir. F.P. BSI Supervisor</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Direct instruction will begin for 75% of the students by the 2nd week and all participating students including newly enrolled by September 30.</td>
<td>Check Off List State Monitoring</td>
<td>Principals Teachers BSI Supervisor Dir. F.P.</td>
<td>Sep. 1988</td>
</tr>
</tbody>
</table>
Graduate Skills - Formal Scheduling and Documentation for Internal Monitoring


The district must develop a plan for implementing systematic procedures for the assessment of new entrants by local staff.

Objective:

To ensure that new entrants are assessed by district staff.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>New entrants are assessed by LEA staff and/or instructional aides under teacher supervision utilizing the procedures outlined for each grade level.</td>
<td>Holt/CAT Newly Enrolled Test Level DAP Obj. IF</td>
<td>Staff (LEA) Aides</td>
<td>Sep-June 1999</td>
</tr>
<tr>
<td>The building list and test data for newly enrolled is coordinated by the BSI Supervisor.</td>
<td>District Forms for Newly Enrolled</td>
<td>BSI Supervisor Staff Aides</td>
<td></td>
</tr>
</tbody>
</table>
Basic Skills - Equipment

Directive:
Submit a plan and time table as to how the BSI computer hardware and software will be used for BSI participants.

Objective:
To assure that computer hardware and software will be used for BSI participants.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The order has been placed to provide rolling carts for Ch. I computers at the middle school when monies are released.</td>
<td></td>
<td>BSI Supervisor</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Upon delivery of this equipment, computers can be rolled into the rooms where instruction occurs.</td>
<td></td>
<td>Principal BSI Supervisor Teachers</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Supervisor will be responsible for monitoring and assuring materials are provided.</td>
<td></td>
<td>BSI Supervisor</td>
<td>Oct. 1988 June 1989</td>
</tr>
</tbody>
</table>
Basic Skills - Replacement Project


The district must immediately establish a process to assure that the replacement project class size meets the requirement of one-half or less than the average regular classroom size.

Objective:

To assure that the replacement project class meets the guidelines requirement.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASAA met with administrators prior to completion of instructional organization for the 1988-89 school year and distributed information re: the replacement project.</td>
</tr>
<tr>
<td>Middle school and H.S. were organized according to the criteria for replacement projects.</td>
</tr>
<tr>
<td>BSI Supervisor shall monitor quarterly compliance of replacement project per program guidelines.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASAA</td>
<td>Principals</td>
<td>June 1988</td>
</tr>
<tr>
<td></td>
<td>BSI Supervisory</td>
<td></td>
</tr>
<tr>
<td></td>
<td>DAP Obj. 1F</td>
<td>Principals</td>
</tr>
<tr>
<td></td>
<td></td>
<td>DAP Obj. 1H, U</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. Adjustments made as needed.
b. Written report to Dir. P.P. & ASAA.
Basic Skills - Replacement Project


The district must establish procedures to assure that the replacement project curriculum includes both developmental and remedial course content.

Objective:

To establish procedures to assure that replacement project curriculum includes both developmental and remedial course content.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASAA has instituted a comprehensive Curriculum Review of both developmental and remedial course content. (7-12)</td>
<td>DAP Obj. 2B, C, G</td>
<td>Principals, Dir. P.P., BSI Supervisor, Teachers</td>
<td>Nov. 30, 1988</td>
</tr>
<tr>
<td>a. All guides and texts will be reviewed to determine whether programs correlate with curricula offered. (7-12)</td>
<td></td>
<td>BSI Supervisor</td>
<td></td>
</tr>
<tr>
<td>b. Curriculum will be developed delineating developmental and remedial course content.</td>
<td></td>
<td>Principal, BSI Supervisor, Teachers</td>
<td>Mar-Apr. 1989</td>
</tr>
</tbody>
</table>
Basic Skills - Replacement Project

Directive: 3.

The district must immediately establish procedures verifying the replacement project proration procedures for payback of local funds to the BSI project.

Objective:

To assure replacement project projection procedures as followed according to Guidelines for Development of BSI Application.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacement Project Payback worksheets are used to determine payback of local funds to the BSI Project.</td>
<td>County Approved Replacement Proj. Worksheets</td>
<td>ASRA Dir. P.P. Dir. R.D.</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Business office will maintain records of local payback funds.</td>
<td></td>
<td>Business Manager</td>
<td></td>
</tr>
</tbody>
</table>
Basic Skills - Selection of Aides


The district must review the selection, placement and use of instructional aides to provide the only SCE services for the neediest students below state standard.

Objective:

To review selection, placement and use of instructional aides to provide service for the neediest students below the state standard.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>BSI Aides will be identified by each building principal and names submitted to BSI Supervisor.</td>
<td>BSI Supervisor</td>
<td>Sep. 1988</td>
<td></td>
</tr>
<tr>
<td>In cooperation with principals, Director of Personnel, Director of Pended Projects and the BSI Supervisor will review selection, placement and use of SCE aides and place appropriately in direct relationship to the neediest SCE students as identified by the MLP’s.</td>
<td>DAP Obj. LA, Principals, Dir. P.P., Dir. Personnel, BSI Supervisor</td>
<td>Sep. 1988</td>
<td></td>
</tr>
</tbody>
</table>
Basic Skills - Instructional Aides


The district must submit an assurance that all instructional aides are well prepared to perform the duties outlined in their job description.

Objective:

To assure that instructional aides are well prepared to perform duties outlined in their job description.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>In cooperation with Director of Personnel the BSI Supervisor will plan for selection and observations of aides to determine whether they are performing according to duties in job description under the supervision of the classroom teacher.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RESOURCES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observation/ Evaluation</td>
</tr>
<tr>
<td>Forms</td>
</tr>
<tr>
<td>Job Description</td>
</tr>
<tr>
<td>DAP Obj. 6C</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>STAFF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dir. Personnel</td>
</tr>
<tr>
<td>BSI Supervisor</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sep-Oct. 1988</td>
</tr>
</tbody>
</table>

- Inservice will be provided for aides.

<table>
<thead>
<tr>
<th>RESOURCES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dir. F.P.</td>
</tr>
<tr>
<td>BSI Supervisor</td>
</tr>
<tr>
<td>Aides</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>STAFF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal</td>
</tr>
<tr>
<td>BSI Supervisor</td>
</tr>
<tr>
<td>Teachers</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sep-Nov. 1988</td>
</tr>
</tbody>
</table>

- Written clarification will be given to teachers and principals which outline the tasks SCE aides are to perform.

- Plan books will be monitored to ensure compliance with task identification.
Basic Skills - Fiscal


The LEA must provide the SEA with documentation that CH.I/SCE staff have been designated in board minutes by their assignment.

Objective:

To assure that staff has been designated by assignment in Board Minutes.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director of Personnel will assure that Board Secretary has the documentation needed to include CH.I/SCE staff in Board Minutes.</td>
<td>Dir. Personnel Staffing Info.</td>
<td>Dir. Personnel BSI Supervisor Board Secretary</td>
<td></td>
</tr>
</tbody>
</table>
Basic Skills - Fiscal


The LEA must complete time sheets on all shared funded personnel.

Objective:

To provide documentation on all shared funded personnel.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time sheets forms will be completed by all shared funded personnel.</td>
<td></td>
<td>BSI Supervisor</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Identified Staff Teachers</td>
<td></td>
</tr>
<tr>
<td>Copies will be kept on file by principals, Business Office and BSI Supervisor</td>
<td></td>
<td>Business Manager Principals BSI Supervisor</td>
<td>Sep. 1988 June 1989</td>
</tr>
</tbody>
</table>
Basic Skills - Formal Scheduling and Documentation for Internal Monitoring

Directive: 3.

The LEA must provide documentation that appropriate fixed charges for Chapter I staff have been paid in a timely manner.

Objective:

To have documentation available when needed related to fixed changes of Chapter I staff.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Having documentation available showing that fixed charges for CH. I staff have been paid in a timely manner. This information to be provided when requested.</td>
<td>Remittance Voucher</td>
<td>Bus. Adm. Payroll Dept.</td>
<td>Initiated On-going</td>
</tr>
</tbody>
</table>
Basic Skills - Fiscal


The district must complete procedures for demonstrating comparability for review by the department.

Objective:

To complete procedures for demonstrating comparability.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop and provide procedures for demonstrating comparability of services in the district.</td>
<td>Chapter 1 Guidelines</td>
<td>ASAA Bd. Secretary Dir. P.P. Superintendent ASAA Dir. P.P. BSI Supervisor</td>
<td>Oct. 1988 On-going Nov. 30, 1988</td>
</tr>
</tbody>
</table>
Basic Skills - Bilingual Educational Programs


All students who are limited English proficient must receive ESL instruction with certified ESL teachers.

Objective:

To ensure instruction with certified ESL teachers.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contacted Executive Secretary Orange District Superintendents office for copies of certifications held by Mr. Montilus. Acquired a copy of his bilingual/bicultural certificate and ESL certificate (emergencies).</td>
<td>Certificates</td>
<td>Dir. Personnel</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Each student is provided with a text and workbook for ESL (K-6).</td>
<td>Workbook</td>
<td>ESL/Biling. Supv.</td>
<td>Sep. 1988</td>
</tr>
</tbody>
</table>
Basic Skills - Bilingual Educational Programs


Staffing and class enrollment patterns must be reviewed and revised to allow students to receive maximum contact with ESL teacher in order to ensure they develop their English language skills.

Objective:

To employ an additional part-time ESL certified staff member and reschedule ESL classes to ensure maximum contact with ESL students.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>An additional part-time certified ESL teacher has been employed for Orange High School.</td>
<td>Dir. Personnel</td>
<td>Sep. 1988</td>
<td></td>
</tr>
<tr>
<td>a. Classes are rescheduled for four periods of ESL/ Bilingual.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Students at Lincoln Avenue School are receiving ESL services daily for 30 minutes, using a pull out program by levels of proficiency.</td>
<td>Teacher</td>
<td>Sep. 1988</td>
<td></td>
</tr>
</tbody>
</table>
Bilingual Education Program

Directive: 3.

Appropriate certified bilingual teacher must be hired.

Objectives: On-going

Appropriately certified bilingual teachers must be hired at elementary schools.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director of Personnel will develop specific procedures for the recruitment of certified bilingual teachers. These procedures shall include:</td>
<td>ASAA</td>
<td>Dir. Personnel</td>
<td>On-going</td>
</tr>
<tr>
<td>Tuition reimbursement for LEA staff taking courses toward certification in bilingual education.</td>
<td>Funding</td>
<td>Dir. P.P.</td>
<td>As needed</td>
</tr>
<tr>
<td>Newspaper advertisements.</td>
<td>Internal Memos</td>
<td>BIL/ESL Supv.</td>
<td></td>
</tr>
<tr>
<td>Higher education institution placement offices.</td>
<td>Newspapers</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The bilingual curriculum must describe how teachers are to use the native language and English for instruction in reading language into regular English reading curriculum.

Objective:

The bilingual curriculum will be revised and adaptations will be made in order to ensure the transition from native language into regular English reading curriculum.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Copy of bilingual curriculum to:</td>
<td>Bil State</td>
<td>Dir. F.P.</td>
<td>Oct-Dec. 1988</td>
</tr>
<tr>
<td>a. Director Cardosa, KSC</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Elliot Solomon, Former RCSU Dir.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Dr. Schumann, Kean College</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Angel Millan, ECC, Dir. Bil/ESL program requesting a comprehensive curriculum review and critique/analysis.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meet with County/State staff to review curriculum and identify strengths and weaknesses.</td>
<td>County Supt.'s Office</td>
<td>ESL/Bil Supv.</td>
<td></td>
</tr>
<tr>
<td>Refine and adjust curriculum as per review of program specialists and state coordinators.</td>
<td>Program Specialists &amp; State Coord.</td>
<td>Dir. F.D.</td>
<td>ESL/Bil Supv.</td>
</tr>
</tbody>
</table>
Basic Skills - Bilingual Parent Involvement


Letters of notification regarding a child's enrollment in the bilingual and ESL program must be sent to parents in their language and English.

Objective:

To ensure that parents of children enrolled in the bilingual and ESL program receive notification of the child's program in parent's native language.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Letters in most foreign languages have been obtained through other bilingual, ESL districts and county office.</td>
<td>Bil/ESL</td>
<td>ESL/Bil Supv.</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>School District</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In the case where no letter has been developed at the county office or other bilingual districts, (i.e., Ibo, Tigrinya) the letter of notification will be sent in English and the parents will be contacted at home as recommended by county office.</td>
<td>Essex County Supt.'s Office</td>
<td>Essex County Supt.'s Office</td>
<td>Sep. 1988</td>
</tr>
</tbody>
</table>
Basic Skills - Bilingual Parent Notification


Reports cards in Haitian Creole/French and English must be sent to parents of students enrolled in the Haitian program. At the high school a translation of the report card is to be provided to parents in the Haitian Creole/French and Spanish language.

Objective:

Progress reports will be translated in French/Creole and Spanish at the elementary and secondary level.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The elementary report card has been translated into French/Creole.</td>
<td>ESL/Bil. Supw.</td>
<td>Sep. 1988</td>
<td>Completed</td>
</tr>
<tr>
<td>a. Progress reports have been translated into French/Creole and Spanish.</td>
<td></td>
<td></td>
<td>Completed</td>
</tr>
<tr>
<td>b. The report card key has also been translated into French/Creole and Spanish.</td>
<td></td>
<td></td>
<td>Completed</td>
</tr>
<tr>
<td>c. Parent notification letters for elementary and secondary schools have been translated into French/Creole and Spanish.</td>
<td></td>
<td></td>
<td>Completed</td>
</tr>
</tbody>
</table>
Special Education • Evaluation of Program Effectiveness


The district will develop a written plan which specifically establishes criteria and process by which it will evaluate the special programs and services.

Objective:


<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>To review and revise existing documents and procedures utilized in program evaluation.</td>
<td>PPS Procedures Manual DAP Obj. 10, A, B, C</td>
<td>Dir. PPS PPS Supv. IAT &amp; Summer Team</td>
<td>Sep-Nov. 1988</td>
</tr>
<tr>
<td>To expand the evaluation components to include the following categories:</td>
<td>End of Year State Report Forms</td>
<td>Dir. PPS PPS Supv. IAT</td>
<td>Sep-Jan. 1989</td>
</tr>
<tr>
<td>a. Program statistics - number of pupils serviced.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Administration - compliance with state regulations.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Services and Program - Services and referral/ classification/IEP process; program related services/curriculum.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Pupil Records - completeness of required documentation.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assess department effectiveness</td>
<td>Prg. evaluation document DAP Obj. 10, B3</td>
<td>All district professional staff</td>
<td>Dec-Apr. 1989</td>
</tr>
<tr>
<td>b. Administration - quarterly summary written reports by PPS director to Dir. F.P. and ASAA.</td>
<td>DAP Obj. 10B</td>
<td>ASAA Dir. PPS</td>
<td></td>
</tr>
<tr>
<td>c. Services and programs (curriculum): monitoring of intervention/referral/IEP process/related services to student achievement.</td>
<td>Monitoring Forms DAP Obj. 10B, J, L</td>
<td>Monitoring Forms</td>
<td>Monthly</td>
</tr>
<tr>
<td>d. Monthly monitoring of pupil records</td>
<td>Monitoring Forms CST DAP Obj. 10L</td>
<td>Dir. PPS PPS Supv. CST</td>
<td>Sep-June 1989</td>
</tr>
</tbody>
</table>
Complete program evaluation report with specific recommendation (all areas) for improvement in 1988-90 school year.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Written quarterly summary update of all areas to Dir. F.P. and ASAA.</td>
<td>DAP Obj. 10B</td>
<td>Dir. PPS, PPS Supw.</td>
<td>May 1989</td>
</tr>
<tr>
<td>District Evaluation Team will monitor PPS.</td>
<td>DAP Obj. 6E</td>
<td>IAT</td>
<td>Nov, Feb, Apr</td>
</tr>
</tbody>
</table>

Special education staff will be trained to use new procedures.

Objective:

To prepare all PPS staff to utilize the procedures for evaluating PPS programs and services.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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</tr>
</thead>
<tbody>
<tr>
<td>To conduct inservice training with PPS staff in the procedures and criteria for program evaluation.</td>
<td>Computer Prg. Computers DAP Obj. 1081</td>
<td>Entire PPS Staff</td>
<td>Oct. 1988</td>
</tr>
</tbody>
</table>

a. Additional inservice as needed.
Special Education - Evaluation of Program Effectiveness


The district will immediately come into full compliance with NJAC 6:28-4.2(b). 1-2.

Objective:

By October 1, 1988, all resource room programs will be in full compliance with NJAC 6:28-4.2(b).

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Differentiate the services delivered to resource room students and students on supplemental instruction so as to be in full compliance with NJAC 6:28-4.2(b).</td>
<td>NJAC 6:28-4.2(b) DAP Obj. 10c</td>
<td>Dir. PPS Staff PPS Supervisor</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Conduct inservice with resource room and supplemental instruction teachers; provide guidelines regarding requirements of NJAC 6:28.</td>
<td>NJAC 6:28 DAP Obj. 10c(a)</td>
<td>Dir. PPS Staff PPS Supv.</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>Review and revise (as necessary) IEPs to reflect resource room/supplemental subjects, schedules and instructional strategies.</td>
<td>IEP Instructional Guides</td>
<td>Dir. PPS Staff PPS Supv. CST, Suppl. &amp; Resource Teacher</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>- Written quarterly reports to ASAA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monitor quarterly placement of all students in appropriate classes as needed in accordance with IEP.</td>
<td>Schedules for Resource Room Staff DAP Obj. 10J, L</td>
<td>Principal Staff CST, Chairperson Counselors PPS Supv.</td>
<td>On-going</td>
</tr>
<tr>
<td>- Set monitoring procedures</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monitor implementation of the resource room and supplemental program with written reports to ASAA.</td>
<td>Schedules Reports DAP Obj. 10b</td>
<td></td>
<td>Jan-June Jan-June Rpt. Oct. 1988</td>
</tr>
<tr>
<td>Develop a check-list of requirements for resource room program compliance-complete semi-annually.</td>
<td></td>
<td>Dir. PPS Staff PPS Supv.</td>
<td>Oct. 1988</td>
</tr>
</tbody>
</table>
Special Education - Facility/Materials


The district will provide to all Child Study Teams appropriate and adequate facilities sufficient to prevent the needless public labeling of handicapped pupils (NJAC 6:28-2.1(g)) and guarantee the confidentiality of pupil evaluations (NJAC 6:32).

Objective:

By the school year 1989-1990 all Child Study Teams work have adequate and appropriate space to the best of the district's ability.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determine the number and location of rooms/space necessary for CST.</td>
<td>Document CST</td>
<td>PPS Supv. CST</td>
<td>End of fiscal year 1988-89</td>
</tr>
<tr>
<td>The director of PPS and the PPS Supervisor will survey all facilities in the district for availability of rooms/space to determine whether the available identified space is appropriate for:</td>
<td></td>
<td></td>
<td>Central Office Level III Review Report DAP Obj. 12</td>
</tr>
<tr>
<td>a. testing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. conferencing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. interviewing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Follow district plan for facilities if adequate and appropriate space is not available within the existing buildings.</td>
<td>Committee Rpt.</td>
<td>Central Office</td>
<td>End of fiscal year 1988-89</td>
</tr>
</tbody>
</table>
Special Education - Facility/Materials


The district will increase the amount of funds allocated for special education materials and will develop and implement a consistent budgetary request system.

Objective:

By February 1989, special education teachers will have an improved system of ordering supplies so as to insure appropriate allocations of funds for special education classes for 1989-90 school year. Interim procedures and forms developed for 1988-89 school year.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINOS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Special education teachers will make all orders directly from Director of PPS.</td>
<td>Order Forms, DAP Obj. 100</td>
<td>Dir. PPS, PPS Supv., S.E. Staff</td>
<td>Oct. 1988</td>
</tr>
</tbody>
</table>

a. Develop and utilize interim forms for 1988-89 school year indicating item ordered, etc.

Develop a budget for each special education teacher.

Allocate VI-B funds in the 1990 budget in special education classes.
Special Education - I.E.P. and Record Review


The district will develop and implement an I.E.P. process consistent with NJAC 6:28-3.4.

Objective:

To develop and implement I.E.P. forms and procedures.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>To develop a mechanism to insure that all staff are preparing and executing I.E.P.'s properly. - Inservice all staff on all components of IEPs.</td>
<td>NJAC 6:28-36 DAP Obj. 10J L.R.C. Repres. Computers &amp; Programs to run I.E.P.s.</td>
<td>Dir. PPS PPS Supv. CST/SE Staff Dir. PPS PPS Supv. CST/SE Staff</td>
<td>On-going Oct. 1988</td>
</tr>
<tr>
<td>PPS staff will develop and utilize a computerized I.E.P. format and procedures, in accordance with item &quot;A&quot; above.</td>
<td>PPS Procedures CST Evaluations DAP Obj. 10L</td>
<td>Dir. PPS PPS Supv. CST Speech Thrpst. Dir. PPS PPS Supv. Staff</td>
<td>On-going</td>
</tr>
<tr>
<td>The procedures committee will continue to review, revise, and develop procedures and forms.</td>
<td></td>
<td></td>
<td>Sep-June 1989</td>
</tr>
<tr>
<td>CST recommendations for placement and program will be reviewed with the Dir. and Supv. of PPS within the mandated timelines. Written copies to ASAA. - As recommendations are approved, implementation must occur within one month.</td>
<td></td>
<td></td>
<td>On-going</td>
</tr>
</tbody>
</table>
Special Education - I.E.P. and Record Review


The district will come into compliance with the 90 day timelines as required by NJAC 6:28-2.1

Objective:

By December 1988, the district will be in compliance with the 90 day limits.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Redistribute school assignments to the CST.</td>
<td>Dir. PPS</td>
<td>Sep. 1988</td>
<td></td>
</tr>
<tr>
<td>Building principals will forward referrals to PPS the day following receipt of parent signature.</td>
<td>Principal</td>
<td>On-going</td>
<td></td>
</tr>
<tr>
<td>Referral date to be affixed after the medical.</td>
<td>Principal</td>
<td>On-going</td>
<td></td>
</tr>
<tr>
<td>Uphold 90 day time limit by having the Dir. of PPS assign referrals/evaluations to other CST in the district when backlog occurs in any site.</td>
<td>PPS log in Central Office</td>
<td>On-going</td>
<td></td>
</tr>
<tr>
<td>CST case managers/coordinators will submit weekly and monthly reports summarizing services, evaluations, re-evaluations completed and cc: to ASAA</td>
<td>CST Reports DAP Obj. 10 J3, L</td>
<td>Weekly Monthly</td>
<td></td>
</tr>
<tr>
<td>a. Reports will indicate if 90 day limit will not be adhered to.</td>
<td>Dir. PPS PPS Supv. J3, L CST</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Director of PPS Supervisor will make reassignments as needed to ensure that the 90 day time limit is not exceeded.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Special Education - I.I.P. and Record Review

Directive: 3.

The district will document compliance with native language requirements such that evaluation, cultural background, language abilities, socio-cultural background and adaptive behavior are considered (NJAC 6:28-2.4; NJAC 6:28-2.5(a) 4; NJAC 6:28-3.4(g) 4.

Objective:

To develop documentation procedures for assessment in the native language of the student.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administer the home language survey to students identified for intervention and/or referral (where appropriate).</td>
<td>Home Language Survey Form</td>
<td>Bil. Staff CST</td>
<td>Open initiation Intervention Referral Process</td>
</tr>
<tr>
<td>Refer students to the Bil. Supv. for language determination LAB and assessment prior to evaluation by CST.</td>
<td>Bil. Supv.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Obtain necessary translators and bilingual CST as appropriate.</td>
<td>Translators</td>
<td>Dtr. PPS PPS Supv.</td>
<td>Within 90 days</td>
</tr>
<tr>
<td>Inservice CST on incorporating PPS guidelines.</td>
<td>Dtr. PPS PPS Supv.</td>
<td></td>
<td>Nov. 1988</td>
</tr>
</tbody>
</table>
Special Education - I.E.P. and Record Review


The district will develop and implement procedures for determining eligibility which are compliant with NJAC 6:28-3.5.

Objective:

To develop a system that will insure every student is evaluated accurately according to NJAC 6:28.3.5.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review the NJAC 6:28-35 will be conducted with all CST members.</td>
<td>NJ Adm. Code</td>
<td>Dir. PPS</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Request services of special education consultant to provide training and guidelines in eligibility and classification to CSTs.</td>
<td>LRC-Cnty. Off.</td>
<td>Dir. PPS</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Incorporate these guidelines within the PPS Procedure Manual.</td>
<td>Dir. PPS</td>
<td>Dir. PPS</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Inservice CST</td>
<td>DAP Obj. 1081, L</td>
<td>PPS Supv.</td>
<td>Nov. 1988</td>
</tr>
</tbody>
</table>
Special Education - I.E.P. and Record Review

Directive: 5.

Inservice the Child Study Team on current HSPT guidelines.

Objective:

By March 1989, all Child Study Team members will be inserviced on current HSPT guidelines.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINE</th>
</tr>
</thead>
</table>
| Make copies of HSPT requirements and give to CST members. | Dir. PPS  
LCR North  
PPS Secretaries | Dir. PPS  
PPS Supv.  
PPS Secretaries | Oct. 1988 |
| Develop HSPT procedures and HSPT forms for consistency. | DAP Obj. 10K  
LCR North  
DAP Obj. 10L | Dir. PPS  
PPS Supv.  
CST/T.L.  
Dept. Chair | Nov. 1988  
Dec. 1988 |
Special Education - Waivers


The district will review all class lists and, as appropriate, apply to county office for waivers 6:28-4.2(c).

Objective:

By October 1988, all pupils needing waivers will have one on file.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check all class lists for students needing waivers.</td>
<td>Class Lists</td>
<td>Dir. PPS</td>
<td>Sep. 30, 1984</td>
</tr>
<tr>
<td></td>
<td></td>
<td>PPS Supv.</td>
<td></td>
</tr>
<tr>
<td>Write waivers as needed.</td>
<td></td>
<td>Dir. PPS</td>
<td>Oct. 7, 1984</td>
</tr>
<tr>
<td></td>
<td></td>
<td>PPS Supv.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>CST</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>S.E. Teachers</td>
<td></td>
</tr>
<tr>
<td>Send waivers to county office for approval.</td>
<td>Completed</td>
<td>Dir. PPS</td>
<td>Oct. 10, 1984</td>
</tr>
<tr>
<td></td>
<td>Waivers</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Special Education - Parental Participation


The district needs to continue its efforts to implement the parental involvement section, objective 11 of its District Annual Plan 1987-1988.

Objective:

To increase the involvement of parent/guardians of special education students.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>To conduct quarterly executive committee meetings of the Special Education Parent Association (SEPA).</td>
<td>SEPA</td>
<td>Dir. PPS</td>
<td>Sep-Dec. 1988</td>
</tr>
<tr>
<td></td>
<td>Secretary</td>
<td>PPS Supv.</td>
<td>Feb-May 1989</td>
</tr>
<tr>
<td></td>
<td>DAP Obj. 10E</td>
<td>CST</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>S.E. teachers</td>
<td></td>
</tr>
<tr>
<td>To identify a parent to be a liaison between the schools PTO/PTA and SEPA.</td>
<td>List of PTO/PTA</td>
<td>Dir. PPS</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td></td>
<td>Presidents</td>
<td>PPS Supv.</td>
<td></td>
</tr>
<tr>
<td>The SEPA president will participate in monthly meetings with the Superintendent's PTO/PTA President's Round Table.</td>
<td>DAP Obj. 11A</td>
<td>Superintendent</td>
<td>Oct-June 1989</td>
</tr>
<tr>
<td></td>
<td></td>
<td>SEPA President</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>PTO/PTA President</td>
<td></td>
</tr>
<tr>
<td>To develop monthly calendar of events and send to parents.</td>
<td>DAP Obj. 11C</td>
<td>Dir. PPS</td>
<td>Monthly</td>
</tr>
<tr>
<td>SEPA will generate two newsletters for district-wide distribution.</td>
<td>Postage-List</td>
<td>Dir. PPS</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td></td>
<td>SEPA Membership</td>
<td>PPS Supv.</td>
<td>May 1989</td>
</tr>
<tr>
<td></td>
<td>FFS Off. Staff</td>
<td>CST/S.E. Staff</td>
<td></td>
</tr>
<tr>
<td>SEPA will participate in state sponsored workshops and activities.</td>
<td>NAPPA news</td>
<td>Dir. PPS</td>
<td>On-going</td>
</tr>
<tr>
<td></td>
<td>Other Literature</td>
<td>SEPA Membership</td>
<td></td>
</tr>
<tr>
<td></td>
<td>DAP Obj. 11G</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Special Education - Student Attendance

Directive: 2, 4, 8.

Issues five day legal notices to all students with chronic attendance patterns.
Bring to court all students with excessive absences.
Seek cooperation of the Juvenile Court in taking appropriate action when penalties are justified.

Objective:

By November 1988, the attendance department will be reorganized and brought into compliance with the DAP and Level III Monitoring.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Write new attendance and referral procedures to be implemented by attendance officers.</td>
<td>DAP Obj. 10M</td>
<td>ASAA</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>Include specific procedures and timelines for dealing with students who have excessive absences.</td>
<td>DAP Obj. 4C, D, E, H</td>
<td>Principals</td>
<td></td>
</tr>
<tr>
<td>Attendance officers will check all reported no-shows by principals, and submit written report of findings and action taken to ASAA.</td>
<td>Principals List of No Shows</td>
<td>ASAA</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Improve relations with the local juvenile court.</td>
<td></td>
<td>Superintendent ASAA/Dir. PPS Attendance Office</td>
<td></td>
</tr>
<tr>
<td>Develop a monthly list by school of students with excessive absence to be monitored by the PPS Director and Supervisor.</td>
<td>Mini Computer</td>
<td>Dir. PPS</td>
<td>On-going</td>
</tr>
<tr>
<td>a. Issue five day court notices in a more expeditious manner for chronic nonattenders.</td>
<td>DAP Obj. 41, J, DAP Obj. 11G</td>
<td>PPSSupv.</td>
<td></td>
</tr>
<tr>
<td>b. Issue court notices in a one-week timeline.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Refine procedures for attendance record keeping operation to maximize efficiency.</td>
<td>Existing Procedure Level III Findings</td>
<td>ASAA</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>- Inservice training as needed.</td>
<td></td>
<td>Principals</td>
<td></td>
</tr>
</tbody>
</table>
Special Education - Resource Room


An audit should be requested to determine if the 1987-1988 resource room count was accurate.

Objective:

A complete review and necessary revision of the 1987-1988 ASAA Report will be completed by December 1988.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Bus. Report</td>
<td>Dir. PPS</td>
<td></td>
</tr>
<tr>
<td>All principals will receive specific requirements of NJAC 6:28-4.2(b)1-2 for implementation of resource room and supplemental instruction programs.</td>
<td>NJAC DAP Obj. 10C</td>
<td>PPS</td>
<td>Oct. 1988</td>
</tr>
</tbody>
</table>
Special Education - Facility/Materials

Directive:

The district will provide appropriate facilities for education of handicapped pupils according to NJAC 6:22-1 (6:28-4.1(d)).

Objective:

By the school year 1989-1990 all handicapped pupils will have adequate classroom space to the best of the district's ability.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify number and the location of classrooms needed.</td>
<td>Assessment of Buildings Space</td>
<td>Principals, Dir. PPS, PPS Supervisor</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Survey all facilities in the district for availability of acceptable classroom space.</td>
<td>Principals, Survey</td>
<td>Principals, Dir. PPS, PPS Supervisor</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>Determine whether all available classrooms meet state requirements and are adequate in number to house district students.</td>
<td>NJAC 6:22-1, 96:28-4.1(a))</td>
<td>Bus. Manager, Dir. PPS, Dir. PPS</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>Follow district plan for facilities if adequate space is not available within existing buildings.</td>
<td>Level III Report, Committee Report, Review Report, DAP Obj. 4B, DAP Obj. 12</td>
<td>Central Office</td>
<td>End of Fiscal Year</td>
</tr>
</tbody>
</table>
Staff Attendance - Personnel and Human Resources

Directive: 1, 2.

1. The district shall fully implement the district plan for staff attendance.
2. The superintendent shall assign one person from central office to review, monitor and coordinate the district plan.

Objective:

To coordinate and implement the staff attendance policy.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director of Personnel will review and refine policies and procedures with administrative staff which are related to staff attendance.</td>
<td>Attendance Policy DAP Obj. 5A, B</td>
<td>Dir. Personnel</td>
<td>Dec. 1988</td>
</tr>
<tr>
<td>Implement present staff attendance policy immediately and revised policy when completed.</td>
<td>DAP Obj. 5B, F</td>
<td>Dir. Personnel</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>Director of Personnel will coordinate and monitor the old/revised district attendance policy.</td>
<td>DAP Obj. 5D</td>
<td>Dir. Personnel</td>
<td>Sep-June 1989</td>
</tr>
</tbody>
</table>
Staff Attendance - Personnel and Human Resources

Directives: 3, 4.

3. The district shall set realistic timelines for full implementation of the plan and the improvement of staff attendance.
4. The superintendent shall direct that regular meetings are held to assess the progress for improvement.

Objective:

To set realistic timelines for implementation of district's staff attendance policy.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities and timelines will be strictly adhered to as related to DAP and staff attendance plan.</td>
<td>DAP Obj. 5B</td>
<td>Principals</td>
<td>Dir. Personnel</td>
</tr>
<tr>
<td>Director will meet with principals to set general goals related to staff attendance.</td>
<td>DAP Obj. 5A</td>
<td>Principals</td>
<td>Dir. Personnel</td>
</tr>
<tr>
<td>Director of Personnel will meet with individuals exhibiting a pattern of poor attendance through last year, to try to offset same pattern this year.</td>
<td>Attendance Files</td>
<td>Dir. Personnel</td>
<td>Staff</td>
</tr>
<tr>
<td>Director of Personnel will initiate a committee to develop new or additional reward systems for staff with good attendance.</td>
<td>DAP Obj. 5E</td>
<td>Dir. Personnel</td>
<td>Selected Staff</td>
</tr>
</tbody>
</table>
Student Attendance


The superintendent shall direct that the written District Annual Plan 1987-1988 be implemented, documented, and timelines adjusted as appropriate.

Objective:


<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Items from 1987-1988 DAP shall be incorporated as it where applicable.</td>
<td></td>
<td></td>
<td>Oct. 1989</td>
</tr>
</tbody>
</table>
Student Attendance


The superintendent shall direct PPS, attendance officers, to bring to court the appropriate cases of student attendance problems.


The PPS, attendance officers, shall issue legal notices regarding student absences as required.


The superintendent shall direct PPS, attendance officers, to seek the cooperation of the Juvenile Court in taking appropriate action when penalties are justified.

Objective:

See PPS Corrective Plan of Action objectives related to student attendance.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>See PPS Corrective Plan of Action Activities, etc.</td>
<td>DAP Obj. 4D,G,H,J, J</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Student Attendance

Directive: 3.

The district shall direct the high school to establish a program of awareness concerning the importance of attendance to school focused specifically on 9th grade students.

Objective:

The high school principal will establish a program of awareness for 9th year students focused on the importance of attendance.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>District student attendance policies will be reviewed with the OHS staff.</td>
<td>District Forms, Student Handbook, Attendance Policy, Tardy Policy, DAP Obj. 4G, H 1-10, DAP Obj. 13, J</td>
<td>Principal, Asst. Principal</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>The principal will submit to the ASAA and superintendent specific procedures as to how to implement the attendance and tardy process.</td>
<td>OHS Policies &amp; Procedures, Related to Attendance &amp; Tardy Process</td>
<td></td>
<td>Oct. 15, 1988</td>
</tr>
<tr>
<td>Implementation procedures and attendance forms will be communicated to all staff.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The OHS staff will review attendance policy with students in all classes.</td>
<td>Student Handbook, DAP Obj. 4H-1-10, DAP Obj. 413, J</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The guide for Academic Drop-out Program and Academic Make-Up will be reviewed and distributed to staff.</td>
<td>OASIS Document, District Forms, DAP Obj. 4E, H3</td>
<td>Principal, Staff</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>The building attendance and tardy policy will be discussed and distributed at Open House and during parent conferences.</td>
<td>Student Handbook, OASIS Procedures, DAP Obj. 4F</td>
<td>Principal</td>
<td>Sep-Oct. 1988</td>
</tr>
<tr>
<td>The D.A.P. will be strictly adhered to.</td>
<td>Annual Plan, DAP Obj. 4H, I, J</td>
<td>Principal</td>
<td>Sep-June 1988-1991</td>
</tr>
<tr>
<td>Dir. PPS will inservice all guidance counselors to ensure that there is an understanding of their role in reducing student attendance.</td>
<td>DAP Obj. 10G</td>
<td></td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>ASAA will monitor the process implementation as well as the monthly attendance summary report.</td>
<td>DAP Obj. 4I, DAP Obj. 10G(b)</td>
<td>ASAA</td>
<td>Oct-June 1989</td>
</tr>
<tr>
<td>− ASAA will report the findings in writing to the Superintendent, monthly.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

658
Student Attendance

Directive: 5.

The superintendent shall direct that regular meetings are held to discuss student absences. The meetings shall address the excessive absences of the students.

Objective:

To assure that regular meetings are held to address excessive student absences.


The superintendent shall direct that meetings are held to inform all staff.

Objective:

To assure that all staff are informed about all additional tutorial services provided for students.


The principals of the high school shall be directed to identify chronically absent students and refer them to guidance for counseling and corrective action.

Objective:

To assure that chronically absent students are identified and referred to guidance for counseling and corrective action.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>District attendance policies will be reviewed by CHS staff with students in all classes.</td>
<td>District Policies and Procedures DAP Chp. 40.6</td>
<td>Guidance Teachers</td>
<td>Sep. 30</td>
</tr>
<tr>
<td>- Staff will inform students about drop-out prevention program and academic make up.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>At Open House and during parent conferences, parents will be made aware of the importance of student attendance and its effect on student's education.</td>
<td>Student Handbook Attendance Policy DAP Chp. 40.6</td>
<td>Principal Staff</td>
<td>Sep. 30</td>
</tr>
<tr>
<td>Principal will submit improvement plan by September 15, for incorporating and monitoring the following:</td>
<td>DAP Chp. 48.5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Biweekly - generate a list of students at risk. Staff must provide documentation of action they have taken with student at risk.</td>
<td>DAP Chp. 48.5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Students will be informed of their responsibilities per student attendance procedures with special focus on 9th grade.</td>
<td>DAP Chp. 48.1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Directives: 5, 6, 9 - Cont.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>c. Procedures for classroom staff implementation will be developed for improving individual student attendance and completing assignment per district policy.</td>
<td>District Forms Attendance Policy DAP Obj. 4H, 3</td>
<td>Principal Asst. Principal Guidance Teachers</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>d. Homeroom teachers will institute follow-up of students who demonstrate chronic absence.</td>
<td>Attendance Record DA Obj. 4H, 4, 6</td>
<td>Principal Adm. Staff Teachers</td>
<td>Sep-June 1989</td>
</tr>
<tr>
<td>e. Students who accumulate five or more absences will have parent conferences scheduled.</td>
<td>Attendance Record Forms DAP Obj. H, 5</td>
<td>Counselors Staff</td>
<td>On-going</td>
</tr>
<tr>
<td>f. Principal and staff will implement failure intervention process per district procedures.</td>
<td>District Policy/ Procedure Forms DAP Obj. 4H, 6</td>
<td>Administrators Counselors Staff</td>
<td>On-going</td>
</tr>
<tr>
<td>g. Assistant principal and guidance chairperson will review absentee list on a daily basis to ascertain what action needs to be taken. Council will meet and make decisions per N.P.</td>
<td>Daily Absent List DAP Obj. 4H, 7</td>
<td>Asst. Principal Guidance Chair.</td>
<td>On-going</td>
</tr>
<tr>
<td>h. Guidance counselors, HR teachers, classroom teachers attendance staff will review absentee list daily to identify students with three or more absences. - establish procedures will be followed (telephone calls, letters, conferences, etc.)</td>
<td>DAP Obj. 4H, 8</td>
<td>Asst. Principal Guidance Chair.</td>
<td>On-going</td>
</tr>
<tr>
<td>i. Bimonthly, counselors will meet with chairpersons to discuss attendance package finding and action that is going to be taken as a result of the findings.</td>
<td>Attendance Policy Packet DAP Obj. 4H, 9</td>
<td>Guidance Chair Depart. Chair</td>
<td>Bimonthly Oct. 1988</td>
</tr>
<tr>
<td>Principals will inservice counselors to ensure that they understand the process.</td>
<td>Attendance Policy Packet DAP Obj. 106</td>
<td>Principal</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td>Incentives to encourage good attendance will be defined and implemented.</td>
<td>DAP Obj. 4H, 10</td>
<td>Principal</td>
<td>Oct. 15, 1988</td>
</tr>
<tr>
<td>Monitoring - principal will receive biweekly reports as to students identified at risk and action planned to deal with the situation.</td>
<td>Summary Report</td>
<td>Principal Asst. Principal Guidance Chair</td>
<td>Biweekly</td>
</tr>
</tbody>
</table>
Directives: 6, 7, 9 - Cont.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
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<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The telecorp Automatic Calling Computer System will be used for home contacts from 1:00 P.M. to 9:30 P.M.</td>
<td>ACCS</td>
<td>Principal Asst. Principal Counselors Attendance Officers Secretary Student Management</td>
<td>Oct-June 1989</td>
</tr>
</tbody>
</table>
Student Attendance


The superintendent shall assign one person at central office to oversee the entire attendance function, coordinate strategies and monitor implementation activities to address student absenteeism.

Objective:

To appoint a central office staff member to coordinate and monitor the implementation activities to address student absenteeism.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The attendance officers will be directly responsible to the ASAA.</td>
<td>Job Description, Statutes, DAP Obj. 10M</td>
<td>ASAA</td>
<td>Sep. 1988</td>
</tr>
<tr>
<td>The attendance officer will follow all procedures as established by the ASAA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The ASAA will review elementary and middle school results every three months and written reports every three months.</td>
<td>DAP Obj. 41, 1-3</td>
<td>ASAA</td>
<td>Nov, Feb, May</td>
</tr>
<tr>
<td>The ASAA will review the high school’s attendance results weekly.</td>
<td>DAP Obj. 41, 1-3</td>
<td>ASAA</td>
<td>Monthly</td>
</tr>
</tbody>
</table>
Facilities

Directive:

The district must forward a letter to the Bureau of Facility Planning Services verifying the abandonment of spaces identified as substandard and are presently listed as substandard approved.

Objective:

To verify the abandonment of substandard approved spaces so that the proper status can be recorded.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submit letter to Bureau of Facility Planning Services verifying the abandonment of the following substandard approved spaces so that the proper status can be recorded.</td>
<td>Business</td>
<td>Administrator</td>
<td>Oct. 1988</td>
</tr>
</tbody>
</table>

Cleveland
File #13-3880-07012-1
Room B20-BSIA
File #13-3880-07012-3
Room B18-Art, Music

Forest
File #13-3880-08012-1
Basement A - Chapter 1
File #13-3880-08012-2
Basement B-HILS

Oakwood
File #13-3880-1101201
Ground B - Chapter 1
File #13-3880-1102-2
Ground A-Special Education
Finance – Board Minutes


All Board minutes shall be permanently bound and shall be kept in one secure location.

Objective:

To maintain Board minutes of each meeting and all supporting documents in a single volume.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bind minutes of each Board Meeting in a single volume along with all supporting documents.</td>
<td>Expanding Report Covers</td>
<td>Board Secretary</td>
<td>Initiated, On-going</td>
</tr>
<tr>
<td>Store Minutes in a secure location.</td>
<td>Vault</td>
<td>Board Secretary</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Board Minutes


*Special budget meetings shall be conducted as Open Public Meetings.

Objective:

To ensure that recorder correctly labels all Board Minutes as to their classification in accordance with the Open Public Meetings Act.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review meeting classification with recorder before Minutes are finalized to ensure that all Minutes are properly classified.</td>
<td>None</td>
<td>Board Secretary</td>
<td>Initiated,</td>
</tr>
</tbody>
</table>

It was discovered that minutes reviewed by Level III monitors were mistakenly labeled as "Closed Session" and rather than "Public Session" and have since been corrected.
Finance - Budget Transfers

Directive: 2-1.

Timely budget transfers shall be made by resolution of the Board in order to avoid over expenditures of account line item appropriations.

Objective:

To continuously monitor expenditures and prepare resolutions for Board approval to ensure that over expenditures of line accounts do not occur.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuously monitor and project expenditures to ensure that over expenditures do not occur and perform transfers in a timely manner with Board approval.</td>
<td>Computer Print-outs of Budget</td>
<td>Bus. Administrator</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Monthly Financial Reports

Directive: 3-1.

The financial reports, A-148 and A-149 shall be in agreement and so noted by the Board.

Objective:

To prepare financial reports and make the necessary adjustments to bring them to agreement.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare and adjust A-148 and A-149 financial reports ensuring that they are in agreement and noted as such in Board Minutes.</td>
<td>Computer Print-outs and Custodian's Books Auditor</td>
<td>Board Secretary</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Monthly Financial Reports

Directive: 3-2.

The reports shall be submitted in a timely manner.

Objective:

To prepare and submit monthly financial reports in a timely manner.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare and submit monthly financial reports in a timely manner.</td>
<td>Computer Print-outs and Custodian's Books</td>
<td>Board Secretary, Custodian of School Funds</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Monthly Financial Reports

Directive: 3-1.

The A-144s shall be prepared correctly by the Board Secretary.

Objective:

To correctly prepare monthly secretary's report in accordance with accepted standards.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare A-144 (Secretary's Report) in accordance with instructions.</td>
<td>Instructions</td>
<td>Board Secretary</td>
<td>Initiated, Ongoing</td>
</tr>
<tr>
<td>Employ Assistant Business Administrator with accounting background.</td>
<td>Budget</td>
<td>Superintendent</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Bus. Administrator</td>
<td></td>
</tr>
</tbody>
</table>
Finance - Request for Local Property Taxes

Directive: 4-1.

Form I-1 shall be filed in order to assure a more even flow of cash requirements.

Objective:

To prepare and submit Request for Local Property Taxes with the City Treasurer.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare and submit monthly Request for Property Taxes</td>
<td>None</td>
<td>Board Secretary</td>
<td>Initiated,</td>
</tr>
<tr>
<td>Form I-1 in a timely manner.</td>
<td></td>
<td></td>
<td>On-going</td>
</tr>
</tbody>
</table>
Finance - Bids

Directive: 5-1.

All of the bids received shall be noted in Board Minutes.

Objective:

To prepare resolutions, awarding contracts, in accordance with accepted guidelines ensuring that all bids received are included.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare Board Resolutions awarding contracts and note thereon all bids received.</td>
<td>None</td>
<td>Board Secretary</td>
<td>Initiated,</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Purchasing Agent</td>
<td>On-going</td>
</tr>
</tbody>
</table>
Finance - Bids


An award to other than the lowest bidder shall be so noted in the Board Minutes with a reasonable explanation.

Objective:

To ensure a reasonable explanation is given when bids are not awarded to other than the lowest bidder when this is not the case.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>TIP</th>
<th>TIMELINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare and note in Board Minutes a reasonable explanation when bids are awarded to other than the lowest bidder.</td>
<td>Public Contract Administrator, Purchasing agent</td>
<td></td>
<td>8-weeks</td>
</tr>
</tbody>
</table>
Finance - Bids


The procedures as defined in N.J.S.A. 18A:18A-7 and N.J.A.C. 6:20-8.5 with regard to emergency contracts shall be adhered to.

Objective:

To proceed in accordance with State statute and code in regard to emergency contracts.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare and award emergency contracts in accordance with State statute and administrative code.</td>
<td>N.J.S.A 18A:18A-7</td>
<td>Bus. Administrator</td>
<td>Initiated,</td>
</tr>
<tr>
<td></td>
<td>N.J.A.C 6:20-8.5</td>
<td>Purchasing Agent</td>
<td>On-going</td>
</tr>
</tbody>
</table>
The use of an appropriations receivable ledger shall be implemented and maintained.

Objective:

To implement and maintain a monthly basis Form 105 - Appropriations Receivable Ledger.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implement and maintain Appropriations Receivable Ledger (Form 105).</td>
<td>Auditor’s Assistance</td>
<td>Board Secretary</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Accounting Records


July 1 cash balance as distributed shall be in agreement with the independent auditor's cash balances as of June 30.

Objective:
To ensure that the June 30 cash balances are distributed according to independent auditor's report.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Distribute and record cash balances in accordance with the Audit Report June 30 audit report.</td>
<td>Bus. Administrator</td>
<td>Initiated, On-going</td>
<td></td>
</tr>
</tbody>
</table>

Same as 6-1.
Finance - Purchase Order

Directive: 7-1.

Upon reordering, the purchase order format shall be changed to provide for the Board Secretary's signature to be impressed upon all copies.

Objective:

To provide a means whereby the Board Secretary's signature is impressed on all copies of purchase orders.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reformat purchase orders to impress signature on all copies by directing office staff to fold second copy, which is the voucher, in a position that will not pick up signature when signed.</td>
<td>Present Business Office Purchase Order</td>
<td>Completed</td>
<td></td>
</tr>
</tbody>
</table>
Finance - Payroll Registers

Directive: 8-1

There shall be one approval per each payroll by the Superintendent and certification by the Board President and Board Secretary.

Objective:

To approve and certify each payroll in a timely manner.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review, revise, and implement payroll procedures necessary</td>
<td>Payroll</td>
<td>Board President</td>
<td>Initiated, On-going</td>
</tr>
<tr>
<td>in order to adjust and balance payroll registers to adjust and balance payroll registers to ensure that they are approved, signed and certified in a timely manner.</td>
<td>Department</td>
<td>Superintendent</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Board Secretary</td>
<td></td>
</tr>
</tbody>
</table>
Finance - Student Activity Funds

Directive: 10-1.

All checks drawn from the Student Activity Funds shall contain two signatures.

Objective:

To ensure that all Student Activity Fund checks contain two signatures.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revise resolutions, prepare and file with the necessary depositories indicating that two signatures are required on all accounts.</td>
<td>Bank Resolutions</td>
<td>Building Principals, Board Secretary</td>
<td>Nov. 1984</td>
</tr>
</tbody>
</table>
Finance - Student Activity Funds


The Board of Education, at its reorganization meeting, shall name the persons authorized to sign the Student Activity Funds checks.

Objective:

To designate by Board Resolution those individuals authorized to sign Student Activity Funds checks.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revise resolutions for each student activity fund account</td>
<td>N/A</td>
<td>Board Secretary</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>indicating those individuals authorized to sign checks and present to Board for approval.</td>
<td>Board Secretary</td>
<td>May 1989</td>
<td></td>
</tr>
</tbody>
</table>

At each future reorganization meeting present for approval a resolution detailing the names of the individuals authorized to sign checks along with the names of the depositories.
Finance - Student Activity Funds

Directive: 10-3.

Bank account reconciliations shall be performed monthly.

Objective:

To work with building personnel to ensure that bank reconciliations are properly performed on a monthly basis.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitor student activity fund accounts for each school to ensure that monthly reconciliations are submitted.</td>
<td>N/A</td>
<td>Board Secretary, Building Principals, Secretaries</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Student Activity Funds


Books and records shall be currently maintained.

Objective:

To ensure that all student activity accounts are currently maintained.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELININESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review guidelines for student activity fund</td>
<td>Guidelines for all individuals</td>
<td>Bus. Administrator</td>
<td>Initiated,</td>
</tr>
<tr>
<td>accounting with Guidelines for all individuals responsible for maintaining those account books and monitor procedures on a regular basis.</td>
<td>responsible for maintaining those account books and monitor procedures on a regular basis.</td>
<td>Building Principal</td>
<td>On-going</td>
</tr>
<tr>
<td>Employ Assistant Business Administrator</td>
<td>Student Activity Fund Accounting</td>
<td>Secretaries</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Budget</td>
<td>Superintendent</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Bus. Administrator</td>
<td></td>
</tr>
</tbody>
</table>
Finance - Student Activity Funds

Directive: 10-5.

All entries in books and records shall be in ink and totaled monthly.

Objective:

To ensure that acceptable bookkeeping and accounting practices are followed in the keeping of student activity fund records.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruct those individuals responsible for student activity guidelines for fund books in the proper procedures and monitor closely to ensure that they are following generally accepted procedures.</td>
<td>Guidelines for Student Activity fund</td>
<td>Bus. Administrator</td>
<td>On-going</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Building Principal</td>
<td></td>
</tr>
</tbody>
</table>

Same as 10-5.
Finance - Student Activity Funds


All checks drawn shall require proper documentary support.

Objective:

To ensure that all checks written on student activity fund accounts are backed with supporting documents.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review requirements of supporting documents with individuals responsible for student activity fund accounts.</td>
<td>Guidelines for student Activity Fund Accounting</td>
<td>Bus. Administrator</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Treasurer of School Moneys

Directive: 10-1.

All entries to the books and records shall be made in ink.

Objective:

To develop accuracy and confidence in the recording of bookkeeping entries in a permanent nature.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide training and monitor the accuracy of recording entries in books and records in a permanent nature using acceptable procedures.</td>
<td>Practice sets of documents</td>
<td>Board Secretary, Treasurer of School Moneys</td>
<td>Initiated, On-going</td>
</tr>
<tr>
<td>Employ Assistant Business Administrator</td>
<td>Budget</td>
<td>Superintendent</td>
<td>Nov. 1988</td>
</tr>
</tbody>
</table>
To develop the understanding of the necessity of reconciling bank accounts in a timely manner by the responsible individual.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timely reconciliation of all bank accounts that are the responsibility of the Treasurer of School Monies.</td>
<td>Auditor’s Assistance</td>
<td>Board Secretary Treasurer of School Monies</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Obtain clarification of “all bank accounts” from auditor and implement recommendations.</td>
<td>Auditor’s Assistance</td>
<td>Board Secretary Treasurer of School Monies</td>
<td>Nov. 1988</td>
</tr>
</tbody>
</table>
Finance - Other Internal Control


Each signatory shall exert control over his/her signature plate or stamp.

Objective:

To investigate the feasibility of requiring each individual stamp or plate.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide a separate plate or stamp for each signatory designated to validate checks in order to strengthen internal controls and develop a means of obtaining these plates or stamps when needed for emergencies.</td>
<td>Auditor's Assistance</td>
<td>Board President Board Secretary Treasurer of School Monies</td>
<td>Nov. 1988</td>
</tr>
</tbody>
</table>
Finance - Other Board Filing System

Directive: 12-1.

The filing system shall be revised so that paid bills are filed alphabetically by vendor.

Objective:

To institute a filing system for filing paid bills in a manner that is conducive to the ease of locating information.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revise or develop the filing system for paid bills in a manner that will provide for the ease of locating documents utilizing the space available.</td>
<td>Survey and Needs Assessment</td>
<td>Bus. Office</td>
<td>Jan. 1989</td>
</tr>
<tr>
<td>Employment of Assistant B.A.</td>
<td>Budget</td>
<td>Superintendent, Bus. Administrator</td>
<td>Nov. 1988</td>
</tr>
</tbody>
</table>
Finance - Other Board Policy Manual


The board policy manual shall be updated so that the present policies in effect are in accord with the manual.

Objective:

To review policy manual to determine those policies that are outdated, removing and revising as necessary.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review policy manual, revision and deleting those that are R/A no longer appropriate to present district operation.</td>
<td>Board of Education, Superintendent, Board Secretary, Asst. Superintendent, Directors</td>
<td></td>
<td>Aug-June</td>
</tr>
</tbody>
</table>

Finance - Type of Accounting System

Directive: 14-1.

The Board of Education shall submit to the State Department of Education, Division of Finance, a request for approval of the computer system in use which will insure that the minimum requirements are met.

Objective:

To obtain State approval of computer system being utilized for budgetary accounting.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have request approval of computer system using the same documentation submitted by other districts to obtain approval since the system being used is identical.</td>
<td>Computer</td>
<td>Bus. Administrator</td>
<td>Aug. 1988</td>
</tr>
<tr>
<td>Printouts</td>
<td>Computer Co.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Finance - Transportation


The Board Secretary shall resolve the difference between the transportation District-Wide Program Cost Report and the Transportation Expenses in the audit report.

Objective:

To determine the cause of a difference in expenses for transportation as shown in the District-Wide Cost Report and audit report.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recalculate transportation cost for year using all available route information to locate the difference between those expenditures shown on the District-Wide Program Cost Report and the audit report.</td>
<td>Computer Printout D-W Program Cost Report</td>
<td>Board Secretary Bookkeeper</td>
<td>Aug. 1988</td>
</tr>
</tbody>
</table>
Finance - Average Daily Balance


The district shall implement short-term investments with any excess cash balances.

Objective:

To effectively invest excess cash in short-term investments to generate added revenue.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project expenditures and cash balances on hand to ensure that any cash is invested in short-term investments in order to generate added revenue.</td>
<td>Analysis of cash receipts versus cash expenditures</td>
<td>Bus. Administrator, Treasurer of School District</td>
<td>Initiating, On-going</td>
</tr>
<tr>
<td>Obtain all monies owed to Board by City and invest all surplus or excess.</td>
<td></td>
<td>Bus. Administrator</td>
<td>Oct. 1988, June 1989</td>
</tr>
</tbody>
</table>
Finance - Filing of Internal Revenue Service Forms 1099


Forms 1099 shall be filed in conformance with Section 6041(a) of the Internal Revenue Code.

Objective:

To ensure that Form 1099 is issued in accordance with the IRS code for all vendors and employees requiring same.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitor vendor history and issue Form 1099 at year end for all vendors and employees as required by IRS code.</td>
<td>Vendor History Report</td>
<td>Bus. Office</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Payment Without Proper Documentation


Proper documentation shall be secured prior to the issuance of payment checks.

Objective:

To require that documentation be secured and attached to vouchers before payment is authorized.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review all vouchers proposed for payment to ensure that the N/A requirement of supporting documentation is available and attached before payment is authorized.</td>
<td>Bus. Administrator</td>
<td></td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Payments Without Proper Documentation


Reimbursement vouchers for insurance shall contain proper documentation, such as invoices for the full year and proof of payment.

Objective:

To ensure that payment is made on reimbursement claims only after complete documentation is provided.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop guidelines for payment of reimbursement claims directing that payment will be made only after proper supporting documentation is supplied and approved.</td>
<td>N/A</td>
<td>Bus. Administrators</td>
<td>Dec. 1988</td>
</tr>
</tbody>
</table>
Finance - In-Office Checks


In-office checks drawn shall be entered into the computer and assigned a computer check number at the earliest possible computer check run.

Objective:

To enter in-office checks into the computer in a timely manner.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approve only those in-office checks that prove to be extreme emergencies and monitor all checks issued to ensure that they are entered into the computer in a timely manner, preferably before the check is drawn. All transactions are to be initiated by the individual preparing same.</td>
<td>N/A</td>
<td>Bus. Administrator</td>
<td>Initiated, On-going</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Bus. Office Staff</td>
<td></td>
</tr>
</tbody>
</table>
Finance - In-Office Checks


All persons signing contracts on behalf of contractors must be identified as to title and/or position with the contractor.

Objective:

To require and have placed on contract when signing the title and/or position of the individual with the contract.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicate title and/or position with contractor on contract when signing.</td>
<td>Business Admin.</td>
<td>Initiated,</td>
<td>On-going</td>
</tr>
<tr>
<td>All contracts signed in presence of all individuals signing.</td>
<td>Board Secretary</td>
<td>Initiated,</td>
<td>On-going</td>
</tr>
</tbody>
</table>
Finance - Transportation


All documentation which initiates payment to third parties doing business with the Board must be viewed as to correctness before approval.

Objective:

To review all documentation which initiates payment to third parties doing business with the Board must be viewed as to correctness before approval for payment.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check all documentation submitted for payments to third parties for correctness before authorization.</td>
<td>Bus. Admin.</td>
<td>Initiated.</td>
<td>On-going</td>
</tr>
</tbody>
</table>
Finance - Payment of Bills


Payment shall not be made before services have been provided.

Objective:

To approve payment of bills only after services have been rendered and documented.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review all requests for payment along with documentation to Sign-off Sheet</td>
<td>Bus. Admin.</td>
<td>Initiated, On-going</td>
<td></td>
</tr>
</tbody>
</table>
Finance - Checks


Checks shall be drawn to the proper name of the corporate entity doing business with the Board.

Objective:

To review and update vendor list ensuring that only proper names of all vendors doing business with the Board are used on checks and other documents.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
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<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Update vendor list with proper names of all vendors doing business with the Board to ensure that names appearing on checks are identical to those on contracts, agreements, and other documents on file.</td>
<td>Vendors list Contracts- Agreements Check Registers</td>
<td>Bus. Admin. Bus. Office</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Transportation


All transportation bids shall be accompanied by deposit amount of 5% of the annual amount of the contract.

Objective:

To require and receive a deposit of 5% of the annual contract amount on all transportation bids received.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESOURCES</th>
<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review bids received to make sure that they meet all requirements including the correct bid bond amount. In the case of transportation, it is to be 5% of the contract amount.</td>
<td>NJSA 18A:39-4</td>
<td>Board Secretary</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Finance - Transportation


Transportation contracts shall not be executed without receipt of a performance bond in the amount of the contract.

Objective:

To execute transportation contracts only after performance bond in the amount of the contract is received.

<table>
<thead>
<tr>
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<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request and receive a performance bond in the amount of the contract before it is executed.</td>
<td>NJAC 6:21-14.1</td>
<td>Board Secretary</td>
<td>Initiated, On-going</td>
</tr>
</tbody>
</table>
Facilities

Directive:

Correct Level III Subcodes violations (building, electrical, fire, health and safety, plumbing) and program operations and conditions found in OMS, OMS, Cleveland, Forest, Oakwood.

Objective:

To investigate and remove all facilities subcodes violations and program operation conditions identified in Level III in all public schools in Orange.

<table>
<thead>
<tr>
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<th>STAFF</th>
<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop a work schedule with specific timelines to remove subcode violations and program operations conditions identified in Level III Review Report for all public schools.</td>
<td>Level III</td>
<td>Bus. Admins.</td>
<td>Nov. 1988</td>
</tr>
<tr>
<td>Develop a checklist, with timelines, identifying the date started, date completed for program operations conditions and each building code violation for all public schools.</td>
<td>Review Report</td>
<td>Building/Grounds</td>
<td>Nov. 15, 1988</td>
</tr>
<tr>
<td>Work completed per schedule and checklist for all public schools.</td>
<td>DAP Obj. 12 G,I</td>
<td>Supervisor</td>
<td>Aug. 1989</td>
</tr>
</tbody>
</table>
Facilities

Directive:
The district must provide a desirable solution to inadequate facilities noted during the Level III evaluation.

Objective:
To reinvestigate the original plan for the elimination of inadequate and outdated facilities.

<table>
<thead>
<tr>
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<th>TIMELINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Board of Education, along with city officials, will reinvestigate and reassess the original plan (Project Pride) in terms of the ability to fund a project of this magnitude based on the economic conditions of the City.</td>
<td>Facilities std. Architect DAP Obj. 12 A-F</td>
<td>Bd. of Education City Officials Superintendent Bus. Admins.</td>
<td>Sep. 1988-June 1990</td>
</tr>
</tbody>
</table>

The investigative and reassessment process will also include the following:

a. Update facilities study and project a plan of action.

b. Investigate renovations vs. new facilities.

c. Revise long-range plans.

Immediately develop and implement a specific 3-year plan (with timelines) to upgrade all inadequate facilities, removal of building subcode violations as well as improving program operations, conditions and elimination of substandard classrooms cited in Level III Report, but expand to all public schools.

a. This will include painting all schools over a 3-year period.

b. This will utilize present personnel to carry out plan.

c. Adhere to work schedule and checklist items in CAP facilities objective for all items.

d. Semi-annual reports to the superintendent.

e. Include developing schedules and checklist for removing program operation conditions and subcode violations for all public schools.
Facilities

Directive:

Upgrade or abandon instructional spaces which do not meet requirements as contained in N.J.A.C. 6:22-3.1.

Objective:

To obtain approval of additional substandard spaces identified during Level III evaluation after meeting N.J.A.C. 6:22-3.1 requirements.

<table>
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</tr>
</thead>
<tbody>
<tr>
<td>Develop and implement a specific plan with timelines to upgrade/replace substandard classrooms.</td>
<td>Business</td>
<td>Administrator</td>
<td>Oct. 1988</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Building/Grounds Supervisor</td>
<td>On-going</td>
</tr>
</tbody>
</table>

a. Quarterly written status reports to Superintendent.

b. Request approval of the following substandard spaces after meeting the requirements of N.J.A.C. 6:22-3.1.

Clarendon
- Library
- Seminar Room
- Speech Room
- Gym

Paret
- Kindergarten (2nd floor)
- Media Center (3rd floor)

Sunnyside
- Media Center (2nd floor)
- Speech Education Classroom
- Multi-purpose Room
- Kindergarten (2nd floor)

Trounce Rd & Co School:
- Rooms-121, 122, 126, 130, 139, 143, 146, 125, 229

Trounce High School:
- Rooms-121, 210, 215, 220
- Rooms-1st floor: 1, 6, 13, 14, 16, 19
- Rooms-2nd floor: 19, 23